Alliance for Water Stewardship Assessment Report

Prepared for UNION DE BANANEROS ECUATORIANOS S.A.- UBESA.

Prepared by: SGS

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REPORT DETAILS

REFERENCE	AWS-000381, AWS-000380, AWS-000379, AWS-000378, AWS-000369, AWS-000377
CERTIFICATE No	**SGS2021_AWS 0011**
REPORT TITLE	**ALLIANCE FOR WATER STEWARDSHIP ASSESSMENT REPORT**
DATE SUBMITTED:	July 01, 10, 11, 12, 13, 2021
CLIENT:	UNION DE BANANEROS ECUATORIANOS S.A.- UBESA. The certification is a Group Certification and include the sites: • Site 1 Banaroyal S.A. - Finca Isabel María: Panamericana E25 km 7.5 vía Quevedo parroquia San Juan Cantón Puebloviejo – Los Ríos, Ecuador. • Site 2 Banaroyal S.A. - Finca Blanca Rosa: Panamericana E25 km 7.5 vía Quevedo parroquia San Juan Cantón Puebloviejo – Los Ríos, Ecuador. • Site 3 Megabanana S.A. - Finca Banaloli: Km. 7.5 Vía Babahoyo – San Juan, entrando por Sector Puente Caña–Babahoyo - Los Ríos, Ecuador. • Site 4 Megabanana S.A. - Finca María José: Km. 8.5 Vía Babahoyo – San Juan, entrando por Sector Santa Rita – Babahoyo - Los Ríos, Ecuador. • Site 5 Sociedad Agropecuaria Pimocha C.A. - Finca Elba: Km. 8.5 Vía Babahoyo – San Juan, entrando por Sector Cuatro Varas - Babahoyo - Los Ríos, Ecuador. • Site 6 Zanpoti S.A. - Finca Lola: Km. 25 Vía Babahoyo – San Juan, entrando por Sector Cuatro Varas - Babahoyo - Los Ríos, Ecuador.
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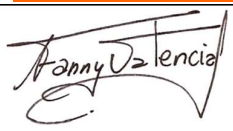
SIGNED:	 Fanny Valencia Juscamaita – Auditor Líder
TECHNICAL SIGNATORY	
STATUS	FINAL

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1 EXECUTIVE SUMMARY

The scope of services covers the conformity assessment in compliance with the AWS International Water Stewardship Standard Version 2.0, March 2019 for UNION DE BANANEROS ECUATORIANOS S.A.- UBESA., as a stated The certification is a Group Certification and include the sites:

- **Banaroyal S.A. - Finca Isabel María**
- **Banaroyal S.A. - Finca Blanca Rosa**
- **Megabanana S.A. - Finca Banaloli**
- **Megabanana S.A. - Finca María José**
- **Sociedad Agropecuaria Pimocha C.A. - Finca Elba**
- **Zanpoti S.A. - Finca Lola**

The assessment has been completed in compliance with AWS Certification requirements, Version 2, December 2019. This visit was carried out as **On-site audit**, and also a remote audit, using information technology tools only for documentary review due to the existing restrictions in Ecuador to avoid contagion by the COVID19 Pandemic.

As the audit was conducted during the COVID period, it was followed the “Revised RECERT Interim Offsite Policy FINAL 28 June 2021”, where the requirements were fulfilled:

- It was requested an authorization for a remote audit which was granted prior to the start of the audit.
- Use of technology that will enable virtual site
- The minimum 30-day stakeholder outreach criteria: We made into a4ws.org website, the public publication for this recertification audit. Until now, we do not receive any comment for this topic. The auditor member of SGS and the organization made publicity into social media; and only received a good comment for this process.
- We made a 09 interview’s to internal / external stakeholders defined in the stakeholder mapping

SGS has not been received any voluntary feedback from stakeholders (such as complaints, claims).

In addition, after our internal risk assessment, we made **visit on-site to the farms** to verify various issues, such as capture, discharge, infrastructure, among others. We visit the site, for tour installations and stakeholders’ interview in this audit. We sample for this audit a María Jose; Lola, Isabel María Farms.

Given the document review undertaken, verification of evidence and site visit inspections performed, SGS recommends that UNION DE BANANEROS ECUATORIANOS S.A.- UBESA: Banaroyal S.A. - Finca Isabel María; Banaroyal S.A. - Finca Blanca Rosa; Megabanana S.A. - Finca Banaloli; Megabanana S.A. - Finca María José; Sociedad Agropecuaria Pimocha C.A. - Finca Elba; Zanpoti S.A. - Finca Lola is awarded AWS Core Certified status with a surveillance audit interval of annual frequency.

A total of 01 minor non-conformances was raised during the audit process. The organization will be responded to the findings raised with appropriate root cause analysis and action plans as evidence for each, so the certification could be granted. The actions for the minor non-conformities taken will be followed-up at the first annual surveillance visit.

2 SCOPE OF ASSESSMENT

The scope of services covers the conformity assessment in compliance with the AWS International Water Stewardship Standard Version 2 - March 2019 for UNION DE BANANEROS ECUATORIANOS S.A.- UBESA; who coordinated a group that are conformed by **06 Sites,** that has a different business name, related in the next list**:**

- **AWS-000381 Banaroyal S.A. - Finca Isabel María:** Panamericana E25 km 7.5 vía Quevedo parroquia San Juan Cantón Puebloviejo – Los Ríos, Ecuador.
- **AWS-000380 Banaroyal S.A. - Finca Blanca Rosa:** Panamericana E25 km 7.5 vía Quevedo parroquia San Juan Cantón Puebloviejo – Los Ríos, Ecuador.
- **AWS-000379 Megabanana S.A. - Finca Banaloli:** Km. 7.5 Vía Babahoyo – San Juan, entrando por Sector Puente Caña–Babahoyo - Los Ríos, Ecuador.
- **AWS-000378 Megabanana S.A. - Finca María José:** Km. 8.5 Vía Babahoyo – San Juan, entrando por Sector Santa Rita – Babahoyo - Los Ríos, Ecuador.
- **AWS-000369 Sociedad Agropecuaria Pimocha C.A.- Finca Elba**: Km. 8.5 Vía Babahoyo – San Juan, entrando por Sector Cuatro Varas - Babahoyo - Los Ríos, Ecuador.
- **AWS-000377 Zanpoti S.A. - Finca Lola:** Km. 25 Vía Babahoyo – San Juan, entrando por Sector Cuatro Varas - Babahoyo - Los Ríos, Ecuador.

The assessment has been completed in compliance with AWS Certification requirements, Version 2, December 2019.

The scope for those 06 sites is:

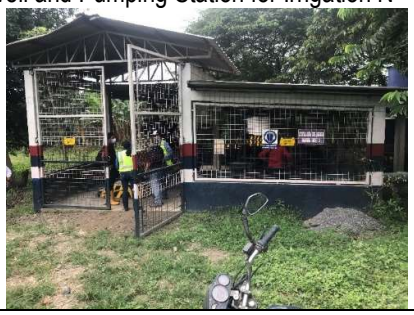
- **Field and packing: Cultivation and packaging in conventional banana boxes for export**
- **Campo y Planta Empacadora: Cultivo y empaque en cajas de Banano convencional para exportación**

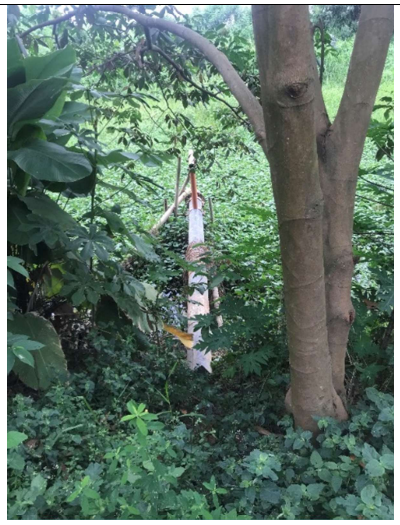
The assessment was conducted during into 5 man-days on-site, from July 01, 10, 11, 12, 13, 2021 by on-site & remote audit. We include on-site visit for tour and stakeholder's interview between 12-12 July 2021.

SGS made a Risk Assessment AWS; to review the performance & maturity and location criteria. We determinate, that this audit; could be performed in on-site include a documentary remote review; due to the circumstances of the pandemic. The use of ICT contributed to the effectiveness of the audit to achieve the established objectives.

During the visit, we can confirm the different aspects to the sites, that are evidence in the table 2.1.

Table 2.1: Photos Virtual Visit

<table>
<tr><th colspan="2">FINCA MARÍA JOSE; LOLA, ISABEL MARÍA</th></tr>
<tr><th colspan="2">FARM 1</th></tr>
<tr><td>Well Capture Packing
 
  </td><td>Flow Measurement System
 
  </td></tr>
<tr><td>Well and Pumping Station for Irrigation N ° 2
  </td><td>Pumping system and flow distribution
  </td></tr>
</table>

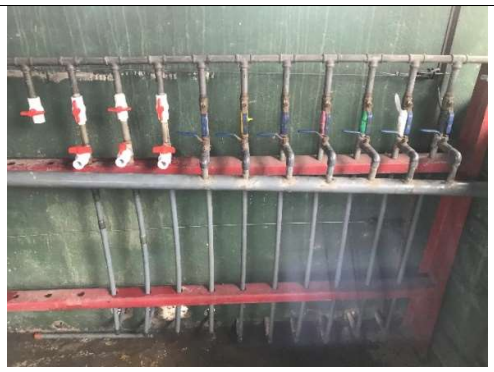


Pumping system and flow distribution

Chemical dosing system (project)

Surface Catchment Irrigation Pumping Station N ° 4

Flow and Distribution Measurement System



Process water discharge point

FARM 2

Collection Well and Flow Measurement for Distribution

Catchment Well and Flow Measurement

Process water discharge point – Drainage

Natural reserve

FARM 3

Surface catchment

Catchment Well - Pumping System

3 DESCRIPTION OF CATCHMENT AND DITE

The geographical scope has been Field and packing plant; include Administrative Office.
The 06 Farms are into the same Catchment. Also consider the discharge in this catchment.

- Superficial Catchment: Guayas River
  - Sub- Catchment: Babahoyo River
  - Discharge: Babahoyo River
- Underground Catchment: Aquifer: Babahoyo – Ventanas
  - Water well of El Milagro Aquifer (Site Delia Margarita and Isabela)
  - There are discharges of infiltration: Babahoyo – Ventanas Aquifer

For AWS, the organization defined Catchment: Babahoyo River & Babahoyo-Ventanas Aquifer
We consider the same catchment, because the water to feed the Babahoyo-Ventanas Aquifer, are possible infiltration from Babahoyo River.

The Guayas catchment is part of the Guayas Hydrographic Demarcation (RHPGHD), it has the code GU-09 within the National Water Plan; the main river in the Guayas Catchment is the Babahoyo.
According to the Regional Hydraulic Plan of the Guayas Hydrographic Demarcation, the Guayas river catchment has an area of 899,200 ha, its main river is the Babahoyo and originates at 4200 meters above sea level in the Pucajata mountain.

We presented below a map in order to identify the catchment (Figure 3.1).

In the area of the Catchment where the UBESA AWS Group farms are located, there are six to seven months with a shortage or deficit of water, and between five to six months with surpluses. To meet the water requirements for cultivation in the months of deficit, the farms for their production are supplied with irrigation water through underground wells with an average depth of 60 m; Advantageously, the Guayas aquifer has a natural recharge capacity of 2608 hm3 / year, that is, 14.5% of the total water that enters the Catchment. This groundwater is recharged naturally as infiltration from precipitation and by infiltration from irrigation; of the total, 2,126 hm3 per year are exploitable, that is, up to 81.5%

According to the RHPGHD, since 13 stations for Quality analysis of quality of water from Guayas Catchment, only in 1 station is 50% of the water quality standard for human consumption met, in the rest it is not met, due to the indicators that exceed the standard such

as coliforms, dissolved oxygen (DO), biochemical oxygen demand (BOD), iron, aluminum, turbidity, heavy metals, among others

Figure 3.1: Map of Location of the 06 Sites

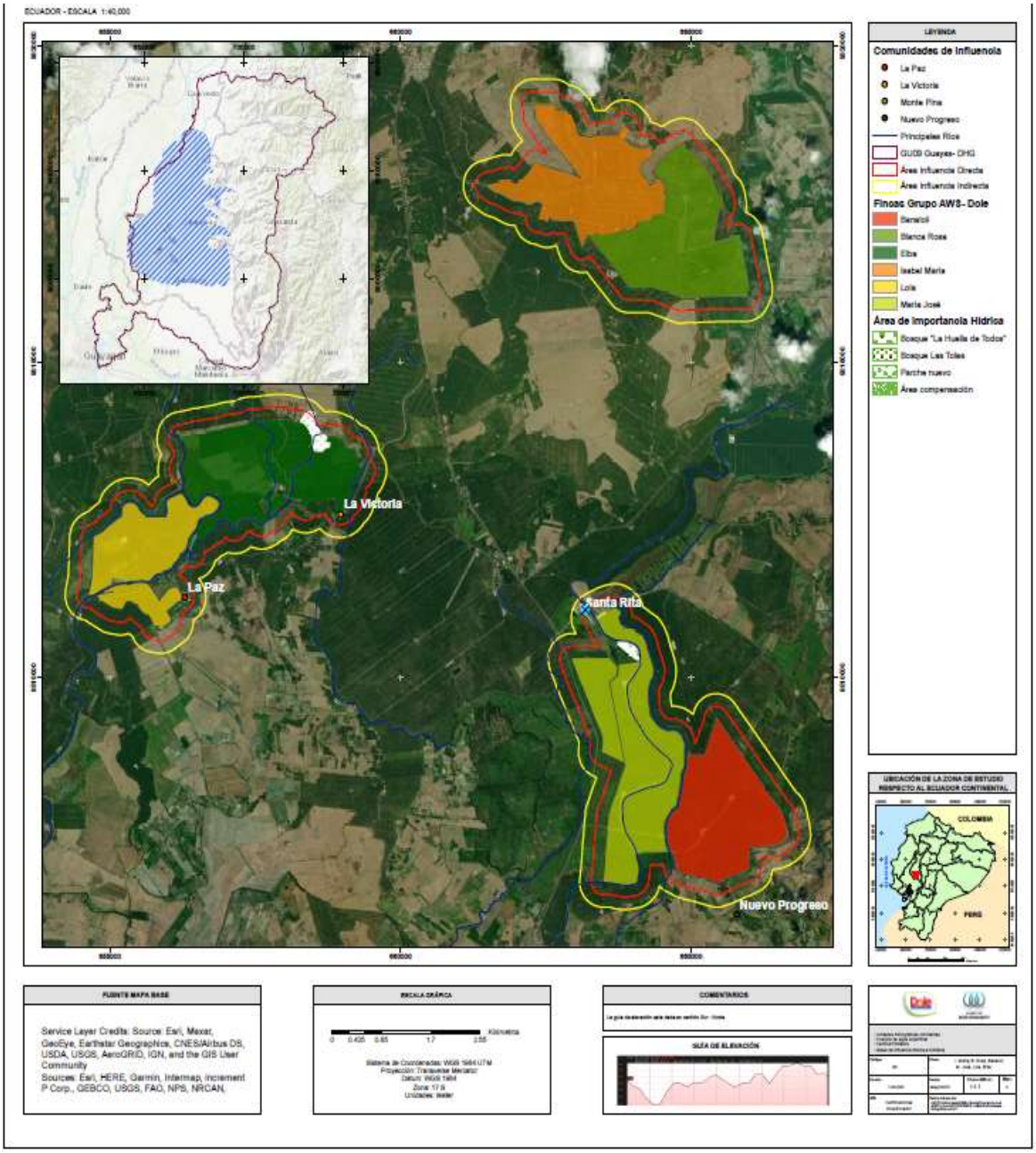
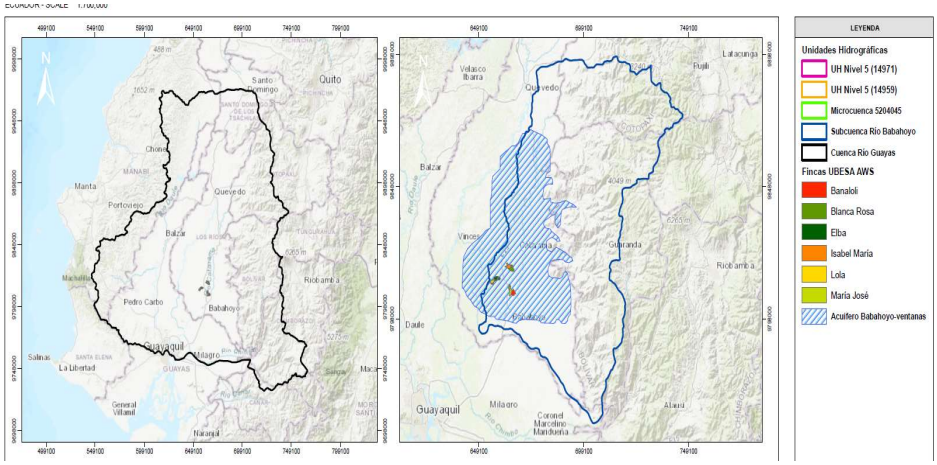


Figure 3.2: Map of Location of the same Catchment of the 06 Sites



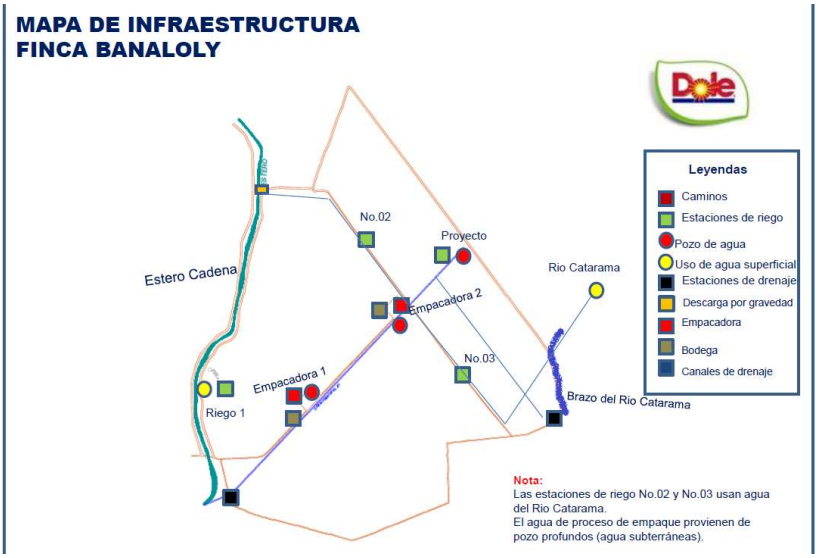
We obtain the description of the catchment, discharges and infrastructure of the both sites.

We presented below a map in order to identify the site (Figure 3.3,4,5,6,7,8).

<u>Farm Banaloli:</u> The site has a:

- 02 point of superficial catchment: Brazo Rio Catarama y Estero Cadena: Both into the Babahoyo River Catchment
- 03 water well from the Babahoyo-Ventanas Aquifer
- There are 01 gravity discharges: Estero Cadena: Into the Babahoyo River Catchment
- There are discharges of infiltration: Babahoyo-Ventanas Aquifer
- It has 02 Packing Plants
- It has 03 irrigation stations
- It has 1 purification plant in the packaging sector,
- Also, bathrooms in the field and packing area; Septic tank in field

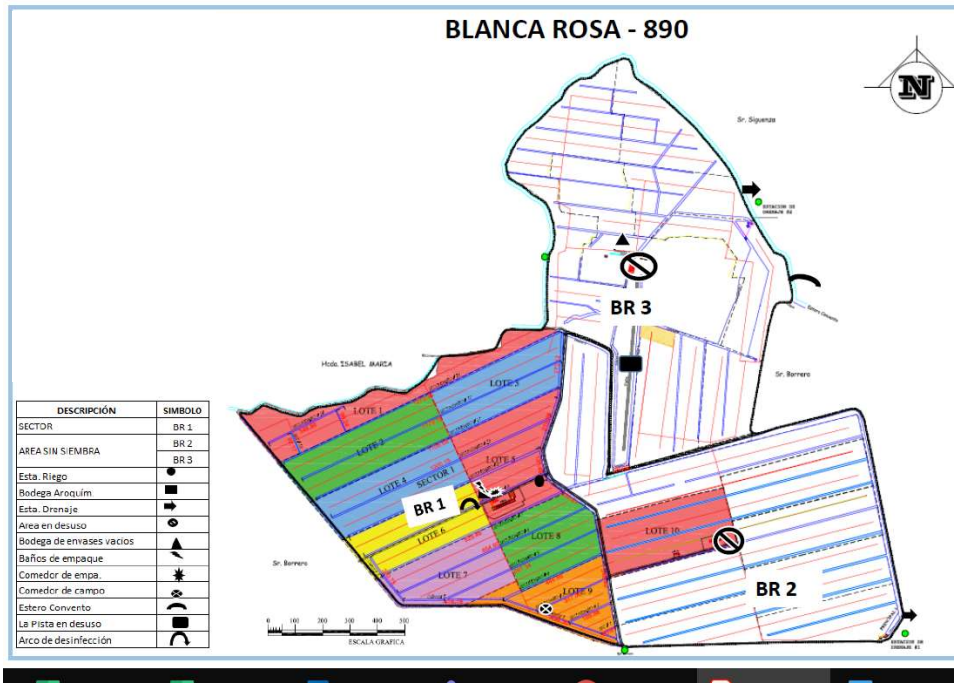
Figure 3.3: Map the Site Banaloli



Farm Blanca Rosa:The site has a:

- 03 water well from the Babahoyo-Ventanas Aquifer
- There are 02 gravity discharges: Estero Convento
- There are discharges of infiltration: Babahoyo-Ventanas Aquifer
- It has 02 Packing Plants
- It has 03 irrigation stations
- It has 1 purification plant in the packaging sector,
- Also, bathrooms in the field and packing area; Septic tank in field

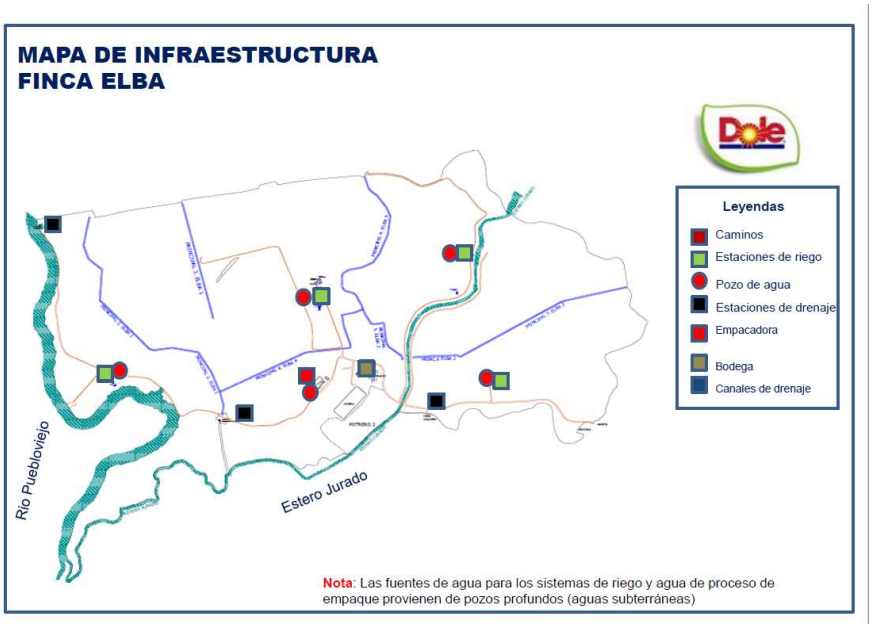
Figure 3.4: Map the Site Blanca Rosa



Farm Elba: The site has a:

- 05 water well from the Babahoyo-Ventanas Aquifer
- There are 02 gravity discharges
- It has 02 drainage channels
- There are discharges of infiltration: Babahoyo-Ventanas Aquifer
- It has 01 Packing Plants
- It has 04 irrigation stations
- It has 1 purification plant in the packaging sector,
- Also, bathrooms in the field and packing area; Septic tank in field

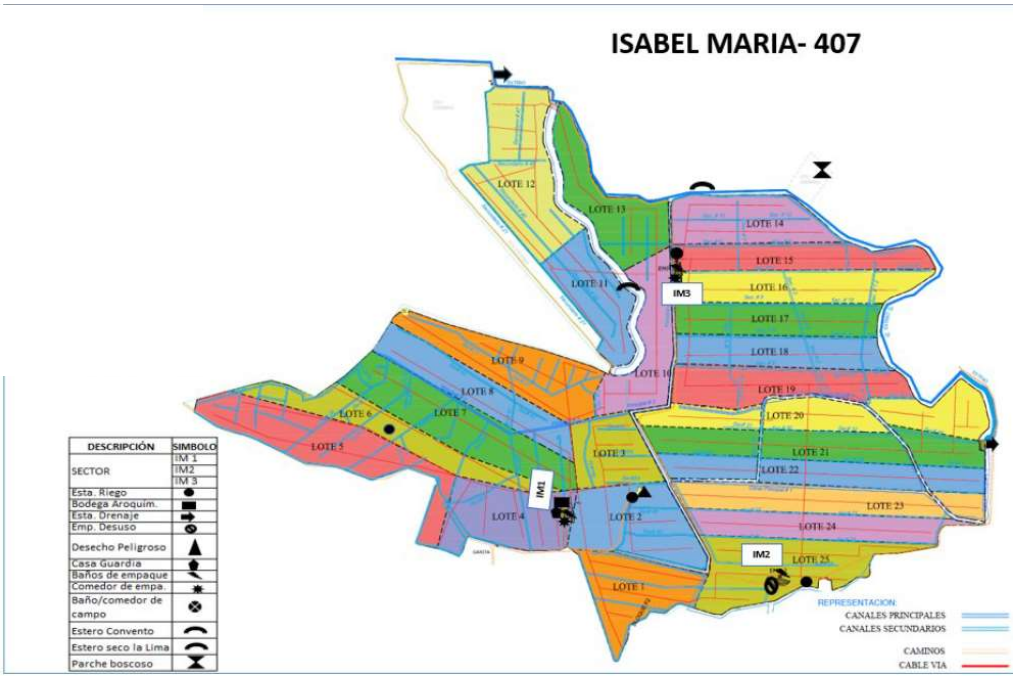
Figure 3.5: Map the Site Elba



Farm Isabel María: The site has a:

- 03 water well from the Babahoyo-Ventanas Aquifer
- There are 02 gravity discharges: Estero Convento
- It has 04 irrigation stations
- It has 1 purification plant in the packaging sector,
- Also, bathrooms in the field and packing area; Septic tank in field lots

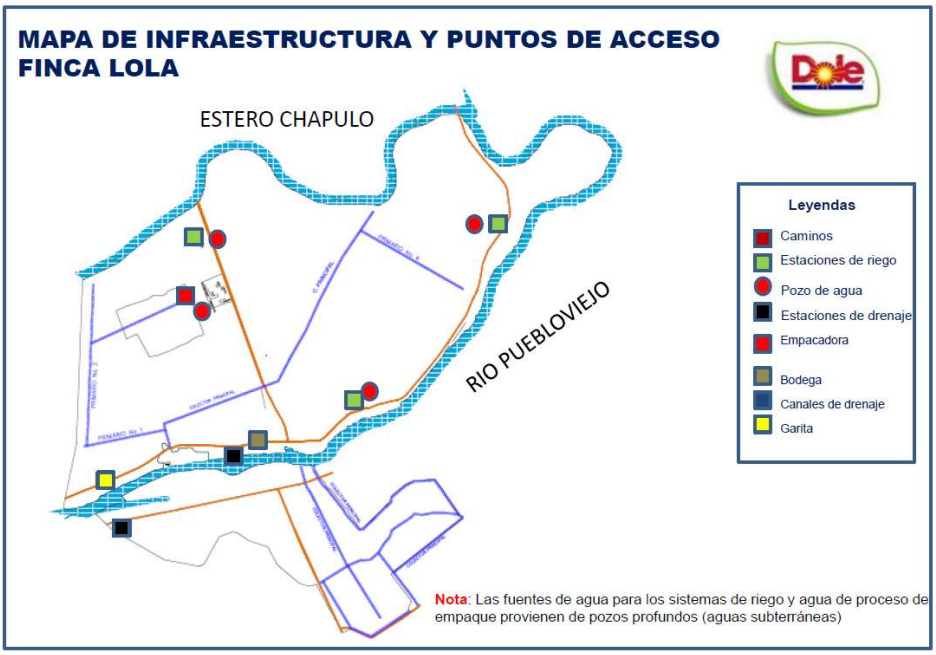
Figure 3.6: Map the Site Isabel María



Farm Lola: The site has a:

- 03 water well from the Babahoyo-Ventanas Aquifer
- There are 01 gravity discharges: Estero Cadena: Into the Babahoyo River Catchment
- It has 02 drainage channels
- There are discharges of infiltration: Babahoyo-Ventanas Aquifer
- It has 01 Packing Plants
- It has 03 irrigation stations
- It has 1 purification plant in the packaging sector,
- Also, bathrooms in the field and packing area; Septic tank in field

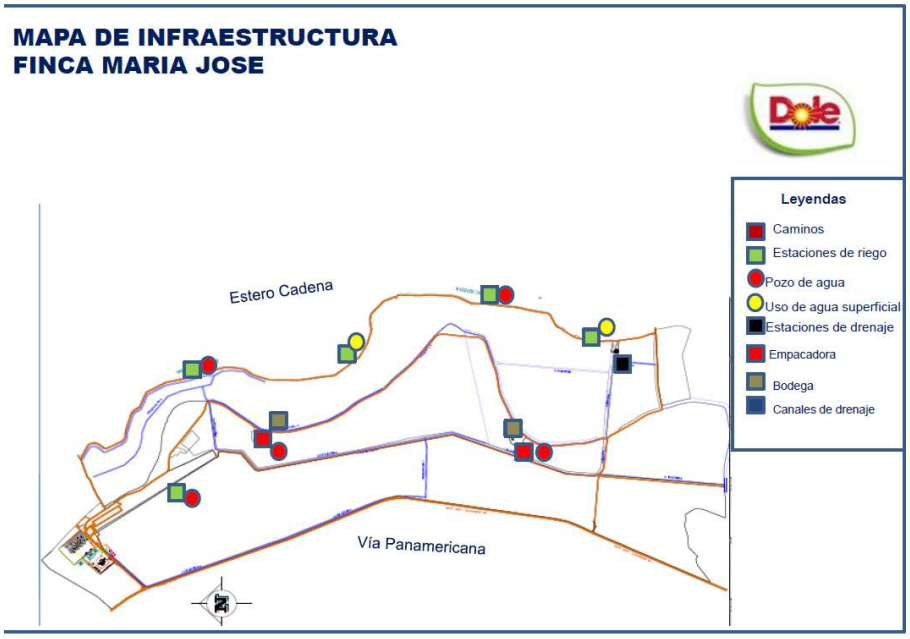
Figure 3.7: Map the Site Lola



Farm Lola: The site has a:

- 02 point of superficial catchment: Estero Cadena: Into the Babahoyo River Catchment
- 05 water well from the Babahoyo-Ventanas Aquifer
- It has 01 drainage channels
- There are discharges of infiltration: Babahoyo-Ventanas Aquifer
- It has 02 Packing Plants
- It has 05 irrigation stations
- It has 1 purification plant in the packaging sector,
- Also, bathrooms in the field and packing area; Septic tank in field

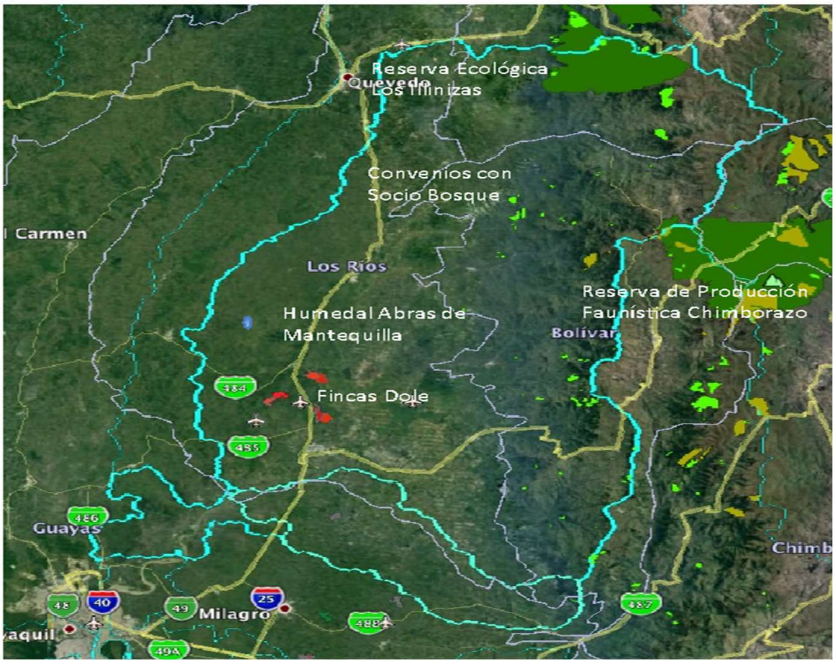
Figure 3.8: Map the Site María José



There has identified the Map of the Guayas GU-09 catchment the location of conservation initiatives (Figure 3.9)

Figure 3.9: Map o conservation initiatives

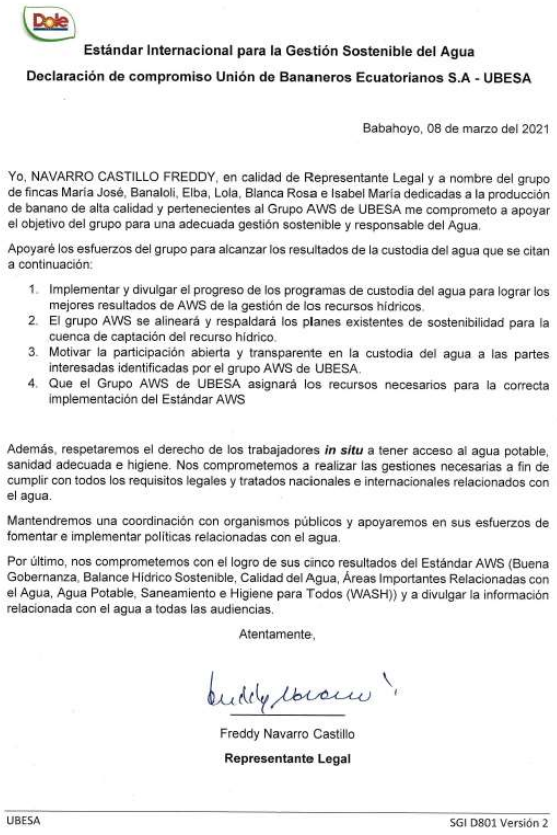
Source: Map of protected areas and protective forests (MAE, 2014; MAE, 2019)+



Limits of the Guayas Forest agreements	Farms Grupo UBESA AWS	Protected areas	Forests Socio	Forest agreements

Also, the organization has a commitment in order to promote all the principals of AWS, such we evidence into the Compromise. (Figure 3.10)

Figure 3.10: Commitment of UBESA



Estándar Internacional para la Gestión Sostenible del Agua

Declaración de compromiso Unión de Bananeros Ecuatorianos S.A - UBESA

Babahoyo, 08 de marzo del 2021

Yo, NAVARRO CASTILLO FREDDY, en calidad de Representante Legal y a nombre del grupo de fincas María José, Banaloli, Elba, Lola, Blanca Rosa e Isabel María dedicadas a la producción de banano de alta calidad y pertenecientes al Grupo AWS de UBESA me comprometo a apoyar el objetivo del grupo para una adecuada gestión sostenible y responsable del Agua.

Apoyaré los esfuerzos del grupo para alcanzar los resultados de la custodia del agua que se citan a continuación:

1. Implementar y divulgar el progreso de los programas de custodia del agua para lograr los mejores resultados de AWS de la gestión de los recursos hídricos.
2. El grupo AWS se alineará y respaldará los planes existentes de sostenibilidad para la cuenca de captación del recurso hídrico.
3. Motivar la participación abierta y transparente en la custodia del agua a las partes interesadas identificadas por el grupo AWS de UBESA.
4. Que el Grupo AWS de UBESA asignará los recursos necesarios para la correcta implementación del Estándar AWS

Además, respetaremos el derecho de los trabajadores ***in situ*** a tener acceso al agua potable, sanidad adecuada e higiene. Nos comprometemos a realizar las gestiones necesarias a fin de cumplir con todos los requisitos legales y tratados nacionales e internacionales relacionados con el agua.

Mantendremos una coordinación con organismos públicos y apoyaremos en sus esfuerzos de fomentar e implementar políticas relacionadas con el agua.

Por último, nos comprometemos con el logro de sus cinco resultados del Estándar AWS (Buena Gobernanza, Balance Hídrico Sostenible, Calidad del Agua, Áreas Importantes Relacionadas con el Agua, Agua Potable, Saneamiento e Higiene para Todos (WASH)) y a divulgar la información relacionada con el agua a todas las audiencias.

Atentamente,

Freddy Navarro Castillo

Representante Legal

UBESA SGI D801 Versión 2

4 SUMMARY OF SHARED WATER CHALLENGES & I IMPORTANT AREAS RELATED TO WATER

Shared challenges

UBESA has identified the shared water challenges and prepared the document “Shared water challenges”. It details the water challenges which are mainly:

- **Waste management and pollution prevention in water bodies:**
  Contamination of bodies of water with solid and liquid waste is permanent next to the site and throughout the catchment. The communities continue to burn or dispose of the waste to the rivers because the municipalities do not have the capacity for weekly collection.
- **Access to water**
  Currently, some communities cannot easily access water for different uses because the catchments are located at considerable distances.
  On the other hand, there is not enough interest and support from the cantonal GADs to facilitate and improve access.
- **Catchment water stress:**
  The level of water stress in the Chimbo catchment is 30.8%, which means high; while in the Guayas catchment it is 22%, which means a medium level. For this reason, this water deficit is worrisome for all the actors in the catchment since productive and human activities are put at risk at the sites and in the catchment.

Also, they include the different actions to approach those.

Important areas related to water

Into the sites, the organization identified:

- Deep Irrigation Wells // Deep Wells for Packing
- Estero Chapulo, Cadena, Convento
- Part River Catarama, River Puebloviejo
- Forest las Tolas, La Huella de Todos, Parches Boscosos.

Into the catchment, the organization identified:

- Wetland Abras de Mantequilla
- Protective Forest Cerros Samanu, Guineales y Mumbes (Refugio de Vida Silvestre Samama Mumbes)
- Protective Forest Naranja Pata // Wildlife Production Reserve Chimborazo
- KBA Tiquibuzo // Matiavi Salinas (Peña Blanca)

5 OBJECTIVES

There are stablish the “Water Management Plan UBESA V.2” where the objectives and indicators are described.

There is a matrix for the “Monitoring Plan”; where monitoring activities and the progress of the achievement of the objectives.

Some objectives are the follow:

- Promote spaces for dialogue with stakeholders at the catchment level in the area of direct and indirect influence.
- Conserve the water resource used during irrigation
- Reduce the risk of flooding on the farm
- Avoid contamination of aquifers that are influenced by the group of farms.
- Create awareness about the conservation of the water resource among the workers and communities identified in the area of influence.
- Provide quality water for human consumption from own and acquired sources, enough for all workers on the farms and community of greater social interest.

6 STAKEHOLDERS & PUBLIC CONSULTATION

The stakeholder's announcements was requested al 13 June 2021 an into the AWS website was updated the 07 July 2021, which was prior to the first visit on-site, and it was an open consultation any stakeholder to comment. However, no stakeholder communicated to SGS through this time.

The public consultation also include auditors member of SGS and the organization UNION DE BANANEROS ECUATORIANOS S.A.- UBESA. made publicity into social media, boards and others; and only received a good comments for this process.

In addition, into the preliminary investigation, we have not been detected that the site has been the subject of any complaint or penalty fee related to water by any national authority.

During the audit; also, we performed different interview; in order to confirm their relevant interested and challenges related to water, If they recognize the person responsible for legal compliance of the related issues for UBESA, the content of the Water Management Plan of UBESA and advances&results; and also the shared actions oriented at good water management. Some cases were:

- Neighbor: General Administrator (Has. Grupo Borrero, neighbor of Hda. Isabel María
- Social Projects Supervisor (Foundation DALE)
- Community Member of Santa Rita
- Worker of Farm Isabel María - Packaging Coordinator
- Worker of Farm Isabel María - (Human Resources Assistant)
- Worker of Farm Blanca Rosa - Harvest
- Worker of Farm Blanca Rosa - Field Coordinator
- Worker of Farm Blanca Rosa – Harvest
- Worker of Farm Lola - Plant Coordinator
- Worker of Farm María José: Farm Worker (Packer)

7 INDICATORS CHECKLIST

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

The Audit Checklist – AWS Standard V2.0 is available to any interested party. The link with this information is here.

8 AWS CRITERIA FOR GROUP-SITE:

We also review the “AWS Certification Requirements v2.0 December 2019”

Clause 4.1.1: Both farms are on the same catchment which is the catchment: Babahoyo River & Babahoyo-Ventanas Aquifer

Clause 4.1.2: The single management of all the farms is through UBESA.

Clause 4.1.3: Both farms are agriculture only, and both use water from the aquifers. The products of both farms are mostly exported to international retailers.

Clause 4.2: Group-site operation, as all farm have independent management, and one ICS.

Clause 4.3: They fall into Group Certification. Clause 4.3.3: Confirm the Scope, and include ICS and Group Member Agreement

Clause 5.1: The management of the group, is defined by UBESA. UBESA prepared a formal document approved by the General Manager in order to designed a AWS Group representative Sergio Calero – Senior Certifications Analyst.

Clause 5.2: UBESA has a ICS formed.
Clause 5.3: homogeneous their main production systems. Both farms are agriculture only
Clause 5.4: UBESA prepared a formal document approved by the General Manager in order to designed a AWS Group representative Senior Certifications Analyst. His defined responsibilities are:

- a commitment by the group member to fulfil the requirements of the AWS Standard; and to provide the group management with required information per the needs of the ICS in a timely manner;
- internal and external audits;
- report non-conformities; and
- management to terminate the membership of any member if continued participation by that member threatens the credibility of the group

Clause 5.4: The team auditor verified:

- Copies of contracts between the group and individual group members of the UBESA Group into “group membership agreement” of March 2021.
- The “Group Members Identification” where they identified all the sites.
- They had a maps of sites and property areas for each farm;

- They had a F08 Planning Internal Audit and the Internal audit report for the UBESA Group made in 7,14,15,16 of April 2021.
- As a result from the audit, generated 05 non-conformities minor. Also, they made an Action Plan for each non- conformities and sign for the manager of the farms. Cases:
    - SAC N°01-2021 about updated of the action of the Step 1. In process of implementation of actions;
    - SAC N°02-2021 about point of contaminations into some farms. In process of implementation in Blanca Rosa;
    - SAC N°03-2021 about point of contaminations into some farms. In process of implementation of actions in Maria Jose;
    - SAC N°04-2021 about sewer system in Elba. In process of implementation of the actions.
    - SAC N°05-2021 about improvements of wash into the farm. Action in implementation.
- UBESA group, do not received any complaints and appeals.

Clause 6.1.1 SGS informed to UBESA on in the initial meetings before certification agreement about the AWS Standard and AWS certification requirements for group operations.

Clause 6.1.2 SGS made a preliminary review to made a risk assessment of the client group on May 2021. Also, we determinate into the audit plan for this audit, the review of the principal operations and the sampling of the sites. We determinate the tour for 3 site, took in consideration of the cover the majority of "legal business" of the group, cover a different “Cantons” (districts) and stakeholders; in order to see the overall the performance of the group of AWS management.

Clause 6.1.3 SGS selected at random of the sites for sampling. We consider to made a tour of MARÍA JOSE; LOLA, ISABEL MARÍA, which are represented by different business legal. Also, in the documentary review, we cover by sampling for all the sites. All the activities are planned into the Audit Plan.

Clause 6.1.4, 6.1.5 This is the first audit. This is the first selection of group members for the audit.

Clause 6.1.6. As we comment into the Clause 5.4, the Internal audit was been carry out April 2021.

Clause 6.2 As a result of this audit, we identified a 01 Minor Nonconformity for the group UBESA of 06 sites, detailed in the chapter 9. We did not identify any Major Nonconformity. We consider that not a systematic problem for group's ICS.

Clause 6.3.2 The person in charge of the designated group is the Senior Certifications Analyst: Sergio Calero (sergio.calero@dole.com), who knows his responsibilities as described above.

Clause 6.3.2.2 There is a description of the structure and relationships of the group in the "the organization chart". Among the members of the group, they have the relationship of being suppliers of UBESA. Contact details for farms:

SUB-CODE	BUSSINESS NAME	FARM NAME	CONTACT DETAIL
01	Sociedad Agropecuaria Pimocha C.A.	Finca Elba	LIWINSGTON CEVALLOS - Administrador
02	Zanpoti S.A.	Finca Lola	CARLOS SANTILLAN - Administrador
03	Megabanana S.A.	Finca Banaloli	DAVID OSORIO- Administrador
04	Megabanana S.A.	Finca María José	EDISON SANTILLAN - Administrador
05	Banaroyal S.A.	Finca Blanca Rosa	PEDRO PULUA - Administrador
06	Banaroyal S.A.	Finca Isabel María	A. VELASTEGUI - Administrador

Clause 6.3.2.3 A record of all sites in the group is given in Table 8.1

Clause 6.3.3.1 The audit team of SGS for this certification audit is impartial and has not carried out consulting and/or implementation for the UBESA Group.

The internal auditors are impartial to the Group. The auditors are from DOLE and they do not worker into any of those farms, for this reason are impartiality.

Clause 6.3.3.2 The audit has been carried out by Ing. Carlos Espinoza and Ing. Angel Castillo; who have taken an AWS 2.0 course from AWS in 2021 which requirements of the standard and the group. They also have previous experience in the certification in 2019 of other sites, such Finca Elba.

Clause 6.3.3.3 They have carried out a review of the standard in internal audit of 13,14 and 15 April of 2021 and generated 05 non-conformities that have been commented on in clause 5.4. Within the internal audit, they have reviewed all the group's sites to ensure compliance with the requirements of the AWS standard. Due to the experience in other processes of certification of the auditors, confidence can be placed in the findings of conformity/non-conformity of the group in the internal audit.

Clause 6.3.3.4 During this audit, it is observed that the organization has already taken action on the points detected in the internal audit, for which no recurrence is observed. That´s mean the reliance that can be placed upon the group. See clause 5.4 the details of Non-conformities, and are different of the Non-conformities detected in the present audit.

Clause 6.3.3.5 An audit plan of SGS has been presented for the entire process, detailing all the points to be reviewed. The audit plan has been reviewed. In the clause 6.1.3 we indicated the in this audit we take as a sampling a MARÍA JOSE; LOLA, ISABEL MARÍA FARM, which are represented by different business legal; in order to obtain all the perspective of the farms. The farms visit in this audit were identified in the next chart with "x" and into the next surveillance are identified with "O". In all the cycle of certification we visit all the farm of this group.

SUB-CODE	BUSSINESS NAME	FARM NAME	V01	V02	V03
01	Sociedad Agropecuaria Pimocha C.A.	Finca Elba		O	
02	Zanpoti S.A.	Finca Lola	X		
03	Megabanana S.A.	Finca Banaloli		O	
04	Megabanana S.A.	Finca María José	X		O
05	Banaroyal S.A.	Finca Blanca Rosa			O
06	Banaroyal S.A.	Finca Isabel María	X		

Clause 6.3.3.6 For subsequent surveillance audits, SGS recommended to continue sampling the sites (2) to ensure coverage in the certification cycle of all sites. See the table before.

Also, we show the Group-site details into the next table.

Table 8.1: Group-site Details

SUB-CODE	BUSSINESS NAME	FARM NAME	LOCATION	ACTIVITIES	Hectares	Latitude	Longitude
01	Sociedad Agropecuaria Pimocha C.A.	Finca Elba	Km. 8.5 Vía Babahoyo – San Juan, entrando por Sector Cuatro Varas - Babahoyo - Los Ríos, Ecuador.	Scope in English: Field and packing: Cultivation and packaging in conventional banana boxes for export Alcance en Español: Campo y Planta Empacadora: Cultivo y empaque en cajas de Banano convencional para exportación.	**358**	1°41'28.04'' S	79°34'48.64'' W
02	Zanpoti S.A.	Finca Lola	Km. 25 Vía Babahoyo – San Juan, entrando por Sector Cuatro Varas - Babahoyo - Los Ríos, Ecuador.	Scope in English: Field and packing: Cultivation and packaging in conventional banana boxes for export Alcance en Español: Campo y Planta Empacadora: Cultivo y empaque en cajas de Banano convencional para exportación.	**228**	1°42'01.51'' S	79°36'06.14'' W
03	Megabanana S.A.	Finca Banaloli	Km. 7.5 Vía Babahoyo – San Juan, entrando por Sector Puente Caña– Babahoyo - Los Ríos, Ecuador.	Scope in English: Field and packing: Cultivation and packaging in conventional banana boxes for export Alcance en Español: Campo y Planta Empacadora: Cultivo y empaque en cajas de Banano convencional para exportación.	**307**	1°43'49.09'' S	79°31'04.68'' W
04	Megabanana S.A.	Finca María José	Km. 8.5 Vía Babahoyo – San Juan, entrando por Sector Santa Rita –	Scope in English: Field and packing: Cultivation and packaging in conventional banana boxes for export Alcance en Español: Campo y Planta Empacadora: Cultivo y	**389**	1°43'42.98'' S	79°31'02.76'' W

			Babahoyo - Los Ríos, Ecuador.	empaque en cajas de Banano convencional para exportación.			
05	Banaroyal S.A.	Finca Blanca Rosa	Panamericana E25 km 7.5 vía Quevedo parroquia San Juan Cantón Puebloviejo – Los Ríos, Ecuador.	Scope in English: Field and packing: Cultivation and packaging in conventional banana boxes for export Alcance en Español: Campo y Planta Empacadora: Cultivo y empaque en cajas de Banano convencional para exportación.	**339**	1°39'25.53'' S	79°31'03.40'' W
06	Banaroyal S.A.	Finca Isabel María	Panamericana E25 km 7.5 vía Quevedo parroquia San Juan Cantón Puebloviejo – Los Ríos, Ecuador.	Scope in English: Field and packing: Cultivation and packaging in conventional banana boxes for export Alcance en Español: Campo y Planta Empacadora: Cultivo y empaque en cajas de Banano convencional para exportación.	**407**	1°38'37.40'' S	79°32'04.59'' W

9 AUDIT FINDINGS

The findings raised during the audit were provided to UBESA, who responded afterwards to the findings through an action plan sent to SGS for review. The action plan was approved by the Lead Auditor.

Relating to this Audit

Non-conformance

As a result, 01 minor non-conformance were raised during the audit process detailed at the Table below 9.1.

Table 9.1. Current Minor Non-Conformances raised during the AWS audit process

No.	Type	Ref.	Details	Causes	Action Proposed by Client
1	Minor Non-conformities	4.1.1	The standard states that performance will be evaluated against the objectives of the site's sustainable water management plan and contribution to achieving the results of sustainable water management. However, there is evidence of a partial deviation regarding the presentation of documented information with respect to the previous point. In the "Water Stewardship Plan", the organization indicates that it carries out the performance evaluation against the objectives. However, although in said Plan there is a monitored% of follow-up; This is the measurement of the progress of the activities; but not specifically of the performance with respect to the objectives for each member of the group, and which would serve to be disclosed to the stakeholders. Despite this, these results are found in other records within the GIS, and the achievement of objectives is evidenced. Case: Goal: consumption of applied water sheet less than recommended - Irrigation Registry - Finca Isabel María.	As the AWS Group system is new for the Dole organization, the specific criteria for each farm were not considered, resulting in a misinterpretation to evaluate the achievements of the results of sustainable water management.	Implement the monitoring of the indicators for each specific goal, according to the operational reality of each AWS member; according to the objectives set out in the Water Custody Plan - Group. Generate quarterly management reports, in which the progress of each goal set in the Custody Plan is detailed, later it will be socialized with internal and external stakeholders.

Observation and opportunities improvement

The certification audit for UNION DE BANANEROS ECUATORIANOS S.A.- UBESA against the AWS Standard is for the initial assessment and as such allows for many areas for improvement going forward.

Some observations were raised during the audit which are for future improvement, but no action is necessary during this audit period, however, these issues would most likely come under scrutiny during a surveillance audit scenario. Some cases:

- Consider continuing to monitor the ICS in the organization; reinforcing their responsibility as well as the responsibilities of each farm administrator.
- The organization may consider continuing with the various visits campaigns to the various villages in order to collect the relevant issues with greater accuracy.
- The organization may consider continuing with the DALE foundation to implement the various approaches with stakeholders.

10 SUMMARY

In reviewing the evidence presented by: UNION DE BANANEROS ECUATORIANOS S.A.-UBESA it is apparent that a considerable quantity of effort and work has been put into the preparation for the audit for Alliance for Water Stewardship Certification.

The minor non-conformance was considered to have partially met the AWS Core criterion requirement and requested to make some improvements to be considered fully compliant at the next surveillance visit.

Observations were made during the audit, these are to be considered as areas for improvement which will likely be reviewed in future surveillance audits, no action is required on behalf of the organization during this audit cycle.

The action plan submitted to SGS in response to the findings was reviewed and evaluated for compliance to the AWS standard. All actions were accepted for implementation and the actions taken will be reviewed at the first surveillance.

11 CONCLUSIONS AND RECOMMENDATIONS

The organization has demonstrated effective implementation of its management system and is capable of achieving its policy objectives, as well as the intended results of the respective management system

During the audit, we evidencing a high commitment by the all members of the group in the sustainable management of water and a joint work with various important stakeholders such as the DALE Foundation and the Santa Rita Community among others.

Given the evidence review in visit inspections performed and remote documentary review, SGS recommends that, based on the results of this audit, **UNION DE BANANEROS ECUATORIANOS S.A.- UBESA** to awarded **AWS Certification Core level for their 06 Sites on a Group-site Certificate covering Banaroyal S.A. - Finca Isabel María; Banaroyal S.A. - Finca Blanca Rosa; Megabanana S.A. - Finca Banaloli; Megabanana S.A. - Finca María José; Sociedad Agropecuaria Pimocha C.A. - Finca Elba; Zanpoti S.A. - Finca Lola, to AWS International Water Stewardship Standard Version 2.0.**

The audit frequency is recommended to be annually.

12 REFERENCES

1. Documento auditoria Grupo UBESA AWS v2
2. Mapeo del alcance físico del sitio
3. Actores interesados y Grado de influencia
4. Datos relacionados con el agua
5. Carta Compromiso UBESA 2021
6. Plan de Gestión del Agua UBESA AWS
7. Plan de Monitoreo AWS
8. Resultados AWS de UBESA
9. Entre otros

13 ANEX 1: CHECKLIST INDICATORS

REFERENCE	CRITERIA	INDICATORS	EVIDENCE	NON CONFORMITIES
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: - 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.	The geographical scope has been Field and packing plant; include Administrative Office. The 06 farms are located in the same catchment area. Also consider the discharge in this basin. • Surface catchment: Guayas river o Sub-basin: Babahoyo River o Download: Babahoyo River • Underground catchment: Aquifer: Babahoyo - Windows o El Milagro Aquifer water well o There are infiltration discharges: Babahoyo - Ventanas Aquifer For AWS, the organization defined Catchment: Babahoyo River and Babahoyo-Ventanas Aquifer We consider the same basin, because the water that feeds the Babahoyo-Ventanas Aquifer is possible infiltration of the Babahoyo River. The Guayas basin is part of the Guayas Hydrographic Demarcation (RHPGHD), it has the code GU-09 within the National Water Plan; the main river of the Guayas Basin is the Babahoyo. According to the Regional Hydraulic Plan of the Guayas Hydrographic Demarcation, the Guayas river basin has an area of 899,200 ha, its main river is the Babahoyo and originates at 4200 meters above sea level in the Pucajata mountain. Below we present a map to identify the watershed (Figure 3.1). In the area of the Basin where the UBESA AWS Group farms are located, there are six to seven months with a shortage or deficit of water, and between five and six months with surpluses. To meet the water requirements for cultivation in the months of deficit, the farms for their production are supplied with irrigation water through underground wells with an average depth of 60 m; Advantageously, the Guayas aquifer has a natural recharge capacity of 2608 hm3 / year, that is, 14.5% of the total water that enters the Basin. This groundwater is naturally recharged as infiltration by precipitation and by infiltration by irrigation; of the total, 2,126 hm3 per year are exploitable, that is, up to 81.5% According to RHPGHD, from 13 stations for Analysis of the quality of the water quality of the Guayas Basin, only in 1 station 50% of the water quality standard for human consumption is met, in the rest it is not met, by the indicators that exceed the standard such as coliforms, dissolved oxygen (DO), biochemical oxygen demand (BOD), iron, aluminum, turbidity, heavy metals, among others We obtain the description of the basin, discharges and infrastructure of both sites. Below we present a map to identify the site (Figure 3.3,4,5,6,7,8). Finca Banaloli: The site has: • 02 surface catchment points: Brazo Catarama River and Estero Cadena: Both in the Babahoyo River Basin • 03 water well of the Babahoyo-Ventanas Aquifer	N/A

			• There are 01 gravity discharges: Estero Cadena: To the Babahoyo River Basin • There are infiltration spills: Babahoyo-Ventanas Aquifer • It has 02 Packing Plants • It has 03 irrigation stations • It has 1 treatment plant in the packaging sector, • In addition, toilets in the field and packing area; Septic tank in field Finca Blanca Rosa: The site has: • 03 water well of the Babahoyo-Ventanas Aquifer • There are 02 gravity discharges: Estero Convento • There are infiltration spills: Babahoyo-Ventanas Aquifer • It has 02 Packing Plants • It has 03 irrigation stations • It has 1 treatment plant in the packaging sector, • In addition, toilets in the field and packing area; Septic tank in field Finca Elba: The site has: • 05 water well of the Babahoyo-Ventanas Aquifer • There are 02 gravity discharges • Has 02 drainage channels • There are infiltration spills: Babahoyo-Ventanas Aquifer • Has 01 Packing Plants • It has 04 irrigation stations • It has 1 treatment plant in the packaging sector, • In addition, toilets in the field and packing area; Septic tank in field Finca Isabel María: The site has: • 03 water well of the Babahoyo-Ventanas Aquifer • There are 02 gravity discharges: Estero Convento • It has 04 irrigation stations • It has 1 treatment plant in the packaging sector, • In addition, toilets in the field and packing area; Septic tank in field lots Finca Lola: The site has: • 03 water well of the Babahoyo-Ventanas Aquifer • There are 01 gravity discharges: Estero Cadena: To the Babahoyo River Basin • Has 02 drainage channels • There are infiltration spills: Babahoyo-Ventanas Aquifer • Has 01 Packing Plants • It has 03 irrigation stations • It has 1 treatment plant in the packaging sector, • In addition, toilets in the field and packing area; Septic tank in field Finca Lola: The site has: • 02 surface catchment point: Estero Cadena: To the catchment of the Babahoyo river • 05 water well of the Babahoyo-Ventanas Aquifer • Has 01 drainage channels • There are infiltration discharges: Babahoyo-Ventanas Aquifer • It has 02 Packing Plants • It has 05 irrigation stations • It has 1 treatment plant in the packaging sector, • In addition, toilets in the field and packing area; Septic tank in field	

1.2.	Understand relevant stakeholders, their waterrelated 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: - 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.	They have the record: List of AWS stakeholders. It has: Ministry of the Environment and Water Ministry of Agriculture and Livestock Decentralized Autonomous Government (Prefecture of the Rivers) The Julia The Maria The Tecas Santa Rita Blanca Rosa (Carlos Borrero) Victory Chapulo Eleanor WWF Dole Enclosure "La Victoria" Enclosure "La Paz" Enclosure "New Progress" Enclosure "Santa Rita" The Union Aerial Spraying Runway (Star) Short Cycle Producers (Rice and Cocoa) Municipality of Puebloviejo Babahoyo Municipality Farm workers Vicente Piedrahita School New Progress School Dale Foundation The methodology for the identification of stakeholders, specifically vulnerable groups, was used as the Territorial Ordinance Development Plan of the GAD of the Municipality of Pueblo Viejo (San Juan de Pueblo Viejo) 2015 - 2019.	N/A
		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	"There is a matrix where the stakeholders and their degree of influence are evidenced The organization has a method that allows it to assess the degree of stakeholder influence on good water governance. Stakeholder List registry is reviewed, updated as of May-21. The method analyzes ability to influence, degree of influence, ability to generate change.	N/A

		ultimate receiving water body for wastewater.		
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.	1.3.1 Existing water-related incident response plans shall be identified.	There are emergencies such as fire, flood, earthquake, etc. There is an emergency plan. For example, there is a procedure for the action of brigade members and there are drills and brigades. No emergency has been generated.	N/A
		1.3.2 Site water balance, including inflows, losses, storage, and outflows shall be identified and mapped.	There is a water balance for each farm, with a balance of 52 weeks. The entrances and exits and the storage of water in the ground are evidenced. Cases: In: Amount of rain that fell on the Farm Underground water used extracted through wells to meet the optimal needs of the crop Use of well water used in washing fruit, in the packing plant and in domestic activities (kitchen, bathrooms, showers) Water consumed by all the staff of the Finca. It corresponds to the water that is brought in drums which is bought outside the Farm Water used in the work of fumigation of the crop, according to calendars. This water is brought by airplanes from their companies out: Water that the crop consumes, transpires and the water that evaporates (this includes the water used in aerial spraying that remains on the leaves and then evaporates). It is the water contained in the fruit that is exported (this water is part evapotranspiration) Water that leaves the Farm via pumping drainage, includes crop drains and part of the water that was used in fruit washing and domestic activities The residual water from the fruit washing process is discharged into the drainage channels, a part of this infiltrates and the rest comes out together with the crop drains. Wastewater from domestic activities infiltrates the soil.	N/A
		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 high and low variances shall be quantified.	There is a water balance for each farm, with a balance of 52 weeks. The entrances and exits and the storage of water in the ground are evidenced. Cases: Balanoli In: 7642027.3 m3 Out: 6075569.8 m3+ Reserved Isabelk Maria In:7669155.09 m3 Out: 5849823.5 m3 + Reserved Lola In: 5576600.43 m3 Out: 4277669.46 m3	N/A

		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.	There is the analysis of residual water discharge. Minimum frequency once a year. It is evidenced that they comply with LMP	N/A
		1.3.5 Potential sources of pollution shall be identified and if applicable, mapped, including chemicals used or stored on site.	Possible sources of contamination have been identified in the Map of possible sources of contamination in each Farm. For example in the agrochemical and waste warehouse. The warehouse has cement floors and a contingency kit	N/A
		1.3.6 On-site Important Water-Related Areas shall be identified and mapped, including a description of their status including Indigenous cultural values.	Se ha considerado: • Deep Irrigation Wells // Deep Wells for Packing • Estero Chapulo, Cadena, Convento • Part River Catarama, River Puebloviejo • Forest las Tolas, La Huella de Todos, Parches Boscosos.	N/A
		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.	There is a Table with the costs related to water and the applicable social, economic and environmental value "1.3.7 Cost related to water 2020"	N/A
		1.3.8 Levels of access and adequacy of WASH at the site	Evaluation of compliance with WASH criteria for each Farm through the WBCSD Water methodology. There is the excel "1.3.8 WBCSD_WASH_Herramienta_Autoevaluación". Compliance with Wash is evident, but some	N/A

		shall be identified.	improvements in some Farms Cases: Banaloli Score 1. Isabel Mari Score 2.	
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 used in out-sourced water-related services.	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.	There is an excel Identification of primary inputs :. They have Urea, phosphate, etc. However, they are not within the same catchment.	N/A
		1.4.2 The embedded water use of outsourced services shall be identified, and where those services originate within the site's catchment, quantified.	There is an excel Identification of services. They have distribution contractors, etc. However, they are not within the same catchment.	N/A
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.	Se tiene el documento "1.5.1 Iniciativas de gobernanza hidrica Guayas" esto es de ORODELTI!!!!!! Las iniciativas identificadas son: Gestión del plan de manejo de la unidad hídrica Guayas Conservación de áreas bajo el Sistema Nacional de Áreas Protegidas y Socio Bosque Ejecución de ordenanzas y otros instrumentos Aplicación de la tarifa por uso y aprovechamiento de agua cruda Competencias de GAD provinciales de Cotopaxi, Tungurahua y Los Ríos	N/A
		1.5.2 Applicable water-related legal and regulatory requirements shall be identified, including legally-defined and/or stakeholder-verified customary water rights.	There is the "SGI 2020 Legal Matrix" where the legal requirements applicable to the organization and monitoring have been identified. Cases: Regulation of the Water Resources Law, Uses and Use of Water Text of the Secondary Legislation of the Ministry of the Environment, Book VI Regulation on Authorizations for the Use and Exploitation of Water	N/A
		1.5.3 The catchment water-balance, and where applicable,	There is the Regional Hydraulic Plan of the Guayas Hydrographic Demarcation, where with the analysis of the organization's staff, it has been determined that in	N/A

		scarcity, shall be quantified, including indication of annual, and where appropriate, seasonal, variance.	September, there is a deficit. In addition, it is concluded that 22% of mean water stress	
		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.	"There is WATER QUALITY BASIN LEVEL and it is part of the Regional Hydraulic Plan of the Guayaquil Hydrographic Demarcation of 2015, the water quality data is analyzed in 94 monitoring stations where it is shown that the water quality studies of the Basin, no point complies with the LMP, especially in the level of coliforms and others. Furthermore, there is no monitoring of the aquifer's water quality.	N/A
		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.	Important areas related to water Into the catchment, the organization identified: • Wetland Abras de Mantequilla • Protective Forest Cerros Samanu, Guineales y Mumbes (Refugio de Vida Silvestre Samama Mumbes) • Protective Forest Naranja Pata // Wildlife Production Reserve Chimborazo • KBA Tiquibuzo // Matiavi Salinas (Peña Blanca)	N/A
		1.5.6 Existing and planned water-related infrastructure shall be identified, including condition and potential exposure to extreme events.	"It has been identified in the document 1.5.6 Infrastructure identified existing Guayas basin, infrastructure such as: Irrigation systems Water systems for human consumption Mini hydroelectric plants Current water infrastructure exhibition Flood control Water storage works	N/A

		1.5.7 The adequacy of available WASH services within the catchment shall be identified.	Bypass or pumping worksIn the document "1.5.7 Suitability of wash basin Guayas services" the state of Wash in the basin is analyzed. None of the GAD has 100% sewage, drinking water or waste collection. Varies between 50 and 90% coverage	N/A
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.	The 3 types of shared challenges have been identified: • Waste management and pollution prevention in bodies of water: Contamination of bodies of water with solid and liquid wastes is permanent near the site and throughout the basin. Communities continue to burn or dump waste into rivers because municipalities do not have the weekly collection capacity. • Access to water Currently, some communities cannot easily access water for different uses because catchments are located at considerable distances. On the other hand, there is not enough interest and support from the cantonal GADs to facilitate and improve access. • Water stress in the catchment: The level of water stress in the Chimbo basin is 30.8%, which means high; while in the Guayas basin it is 22%, which means a medium level. For this reason, this water deficit is worrisome for all the actors in the basin since productive and human activities are put at risk at the sites and in the basin.	N/A
		1.6.2 Initiatives to address shared water challenges shall be identified.	Some iniciatives: Influence and motivation before the cantonal GAD so that in coordination with the Ministry of Environment and Water, and with the water and irrigation boards, the inventory of water resources is updated and the permits for use and exploitation in the territory of physical scope of the site. One of the key aspects is the analysis of the current state of the provision of water for human consumption for the communities in this territory, in order to identify their strengths, weaknesses and actions to improve access to water by local communities.	N/A
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.	The 1.7.1 AWS Water Risk Filter has been revised The organization has used the Water Risk Filter tool. Risks have been determined: *Physical Risk * Regulatory Risk * Reputational Risk *Others Cases: Lola - Physical Risk 2.9 Isabel Maria - Reputational Risk 2.82	N/A
		1.7.2 Water-related opportunities shall be identified, including how the site may participate, assessment and	There is a "Matrix of opportunities 1.7.2" where the opportunities have been defined. Case: Awareness about the existing vulnerability to adverse weather conditions and their possible effects. Research and creation of new technologies for the optimal use and exploitation of water. Management of a strategy for the efficient use of fertilizers and detergents and design a mechanism for the replacement of fertilizers.	N/A

		prioritization of potential savings, and business opportunities.		
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 identified.	There is "1.8.1 Guayas Water Governance Best Practices" " Case: Training for key actors such as environmental management directors of municipalities and members of parish councils, of a priority sector of the upper Babahoyo river basin (Cotopaxi provincial GAD, Pangua cantonal GAD and El Tingo parish GAD) on the principles of sustainable water management; to achieve through them greater communication and dissemination of these principles in their territories and, to support initiatives for the sustainable management of water in the basin.	N/A
		1.8.2 Relevant sector and/or catchment best practice for water balance (either through water efficiency or less total water use) shall be identified.	There is the document 1.8.2 Best practices Hydric Balance Guayas Case: - Change and use of more efficient sprinklers.	N/A
		1.8.3 Relevant sector and/or catchment best practice for water quality shall be identified, including rationale for data source.	They have identified the document is 1.8.3 Best practices Guayas water quality Case: - Treatment of wastewater from packing houses for reuse in garden irrigation, forest plantations, other crops, etc. The result of wastewater treatment with various mechanisms generates benefits such as savings in the demand for water and energy. In this way, better quality water is freed or saved for crop irrigation	N/A
		1.8.4 Relevant catchment best practice for site maintenance of Important Water-Related Areas shall be identified.	There is a document 1.8.4 Best Practices Areas related to Guayas Water Case: -The most effective management of the protected areas and wetlands in the Guayas basin, fundamentally the Los Illinizas Ecological Reserve, part of the páramos of the Chimborazo Fauna Production Reserve and the Abras de Mantequilla wetland. The upper parts of the Basin are the factories and reservoirs of water.	N/A
		1.8.5 Relevant sector and/or catchment best practice for site provision of equitable and adequate WASH services shall be identified.	"The organization has identified practical improvements in document 1.8.5 Best practices wash Guayas Case: -Establishment of safe water supply points in strategic places of the farms, with equitable access for employees and workers. "	N/A
REFERENCE	CRITERIA	INDICATORS	EVIDENCES	NON CONFORMITIES
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	2.1.1 A signed and publicly disclosed site statement OR organizational document shall be identified. The statement or document shall include the	There is the "1- Letter of commitment of 2021" signed by the senior management The organization has a Declaration of Commitment from Unión de Bananeros Ecuatorianos SA - UBESA drawn up on 08-Mar-21 (Document Declaration of Commitment from Unión de Bananeros Ecuatorianos SA - UBESA drawn up on 08-Mar-21 was revised) signed by Freddy Navarro Castillo - Legal Representative of ZANPOTI SA - Finca Lola; MEGABANA S. A. - Estates María José and Banaloli; SOCIEDAD AGROPECUARIA PIMOCHA	N/A

	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.	following commitments: - 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.	C.A - SAPICA - Finca ELBA; and BANAROYAL S. A. - Fincas ISABEL MARÍA and BLANCA ROSA This commitment includes: - Implementation and dissemination of the standard. - Development of the standard considering site sustainability plans. - Involve stakeholders. - Assign resources.	
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: - Identification of responsible persons/positions within facility organizational structure - Process for submissions to regulatory agencies.	The organization has an evaluation process, where the person in charge with the legal area delivers the various reports to the ministry and other authorities. Responsible for compliance and presentation to regulators: Sergio Calero - Certification Analyst.	N/A

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.	The "Water Management Plan V.2" is established where the objectives and indicators are found. There is a matrix for the “Monitoring Plan”; where the activities and the progress of the achievement of the objectives are monitored. Some objectives are as follows • Promote spaces for dialogue with stakeholders at the basin level in the area of direct and indirect influence. • Conserve the water resource used during irrigation. • Reduce the risk of flooding on the farm. • Avoid contamination of aquifers that are influenced by the group of farms. • Create awareness about the conservation of water resources among workers and communities identified in the area of influence. • Provide quality water for human consumption from own and acquired sources, enough for all workers on the farms and community of greater social interest.	N/A

		2.3.2 A water stewardship plan shall be identified, including for each target: - How it will be measured and monitored - 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.	In addition, the matrix of the "Water Management Plan" is shown, where it is detailed for each type of result and objective activities, responsible parties, schedules.	N/A
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 co-ordination with relevant public-sector and infrastructure agencies shall be identified.	They have: Adaptation Plan_2020 AWS Group; for the subject of emergencies. Climate Change Mitigation Plan Own Farms 2021 for the issue of risks.	N/A

REFERENCE	CRITERIA	INDICATORS	EVIDENCE	NON CONFORMITIES
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.	The "Water Management Plan V.2" is established where the objectives and indicators are found. • Promote spaces for dialogue with stakeholders at the basin level in the area of direct and indirect influence. Status of progress. 57% Target measured for December 2021 It is verified during the interviews, that they are in coordination with the basin authorities to follow up on governance issues	N/A

		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.	Carrying out a meeting with Parish Boards and the community to ensure that there are no problems water rights. Cases: La Victoria. there are no ethnic or aboriginal or Indigenous groups in which water rights are part of the legal and regulatory requirements,	N/A
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.	Legal Matrix was revised, revision 2020 *AM-061; AM-097 Environmental quality and effluent discharge standard - Reports of quality and effluent discharge monitoring for 2021 *Organic Law of Water Resources; - AM-061 Reform; AM-021: Wells authorization of the Wells for each farm *Banaroyal analysis report of 03.22.21 Drinking water	N/A
		3.2.2 Where water rights are part of legal and regulatory requirements, measures identified to respect the water rights of others including Indigenous peoples, shall be implemented.	In the project settlement area and its surroundings there are no ethnic or aboriginal groups in which water rights are part of the legal and regulatory requirements,	N/A
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.	The "Water Management Plan V.2" is established where the objectives and indicators are found. • Conserve the water resource used during irrigation. Status of progress. 83% Target measured for December 2021	N/A
		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.	The excel "Data Entry" of each farm is verified. The% of water consumption, recirculation, etc. have been determined Instruments and their calibration have been identified There is a registry of Irrigation Applications 2020-2021 Case: Isabel María. Irrigation difference: Reduction of irrigation time from -5 to -20 min - decrease in water consumed per ha.	N/A
		3.3.3 Legally-binding documentation, if applicable, for the re-allocation of water to social, cultural or environmental needs shall be identified.	There is no re-allocation of water to social, cultural or environmental needs shall be identified.	N/A

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.	The "Water Management Plan V.2" is established where the objectives and indicators are found. • Avoid contamination of aquifers that are influenced by the group of farms. Status of progress. 75% Target measured for December 2021	N/A
		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.	The "quality of discharge water" that the organization has to control in the quantity and water it discharges to surface water bodies to which it has access to discharge is considered a shared challenge. From the tour made by each farm (María José, Lola, and Isabel María) it was found that the organization has landfills through which it pours the water used for irrigation into each body of water.	N/A
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.	The "Water Management Plan V.2" is established where the objectives and indicators are found. • Create awareness about the conservation of water resources among workers and communities identified in the area of influence. Status of progress. 33% Target measured for December 2021 Reforestation actions are identified to ensure the water cycle in some areas into the farms like living fences. * Plant native plant species on slopes of primary channels that discharge to aquatic ecosystems. * Implement a 20-meter protection zone between crops and bodies of water (river and estuary).	N/A
3.6.	Implement plan to provide access to safe drinking water, effective sanitation, and protective hygiene (WASH) for all workers at all premises under the site's control.	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.	The "Water Management Plan V.2" is established where the objectives and indicators are found. • Provide quality water for human consumption from own and acquired sources, enough for all workers on the farms and community of greater social interest. Status of progress. 50% Target measured for December 2021 It was possible to identify that each of the farms visited (María José, Lola, and Isabel María) have access to drinking water sources of underground water (deep wells) and surface water sources (only María José - Estero Cadena) with their respective treatment.. It was observed in each of the farms visited (María José, Lola, and Isabel María) that they have sanitary batteries (toilets, sinks) for the workers, which includes the provision of soap, alcohol gel and paper towels for hands.	N/A
		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	There are no ethnic or aboriginal Indigenous groups During the tour and conversation with stakeholders, the communities did not indicate any problem with the right to water on the part of the company	N/A

		communities are being respected, and that remedial actions are in place where this is not the case, and that these are effective.		
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.	N/A	N/A
		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	N/A	N/A
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.	The organization has a: Comunication with the Group "Nuevo Progreso Comunity"of the January 2021; Group "Santa Rita Comunity"of the January 2021; Newsletter NotiNotas February 2021 Community La victoria; Socialization of the Blanca Rosa and Isabel Maria farms Sign Declaration of socialization. All of this communications had a confirmation of receip for the leader of the communities	N/A
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.	The organization has just started to implement some good practices identified in Step 1.. Case: Training for key actors such as environmental management directors of municipalities	N/A
		3.9.2 Actions towards achieving best practice, related to targets in terms of water balance shall be implemented.	The organization has just started to implement some good practices identified in Step 1. Case: - To measuare efficient sprinklers.	N/A
		3.9.3 Actions towards achieving best practice, related to targets in terms of water quality shall be implemented.	The organization has just started to implement some good practices identified in Step 1.Case: - Start with the implementation to treatment of wastewater from packing houses for reuse	N/A

		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.	The organization has just started to implement some good practices identified in Step 1. Case: Start consider to help for the conservation management of the protected areas	N/A
		3.9.5 Actions towards achieving best practice related to targets in terms of WASH shall be implemented.	The organization has just started to implement some good practices identified in Step 1-Case:Plan to to get better water supply points	N/A
REFERENCE	CRITERIA	INDICATORS	EVIDENCES	NON CONFORMITIES
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.	In the matrix "Water stewardship plan version 2" there is a monitoring sheet, where the monitoring of activities and indicators is detailed. The supports of the evidence of the activities of the objectives established by the organization are reviewed Cases: Objective: Promote slope reforestation and environmental awareness campaign Progress 57% Objective: Conserve the water resource used during fruit processing with recirculating systems Progress 83%	NC Minor The standard states that performance will be evaluated against the objectives of the site's sustainable water management plan and contribution to achieving the results of sustainable water management. However, there is evidence of a partial deviation regarding the presentation of documented information with respect to the previous point. In the "Water Stewardship Plan", the organization indicates that it carries out the performance evaluation against the objectives. However, although in said Plan there is a monitored% of

				follow-up; This is the measurement of the progress of the activities; but not specifically of the performance with respect to the objectives for each member of the group, and which would serve to be disclosed to the stakeholders. Despite this, these results are found in other records within the GIS, and the achievement of objectives is evidenced. Case: Goal: consumption of applied water sheet less than recommended - Irrigation Registry - Finca Isabel María.
		4.1.2 Value creation resulting from the water stewardship plan shall be evaluated.	In the matrix "Water stewardship plan version 2" there is a monitoring sheet, where the monitoring of activities and indicators is detailed. The supports of the evidence of the activities of the objectives established by the organization are reviewed Cases: Objective: Promote slope reforestation and environmental awareness campaign Value:Creation of spaces for dialogue to propose solutions to problems related to water availability and quality that affect Objective: Conserve the water resource used during fruit processing with recirculating systems Value: * Social The measurement of the water balance directly commits the farm employees, promoting the responsible use of water resources. * Environmental Intelligent irrigation is carried out based on a technical analysis, there is no over-saturation and water is conserved "	N/A
		4.1.3 The shared value benefits in the catchment shall be identified and where applicable, quantified.	In the matrix "Water stewardship plan version 2" there is a monitoring sheet, where the monitoring of activities and indicators is detailed. The supports of the evidence of the activities of the objectives established by the organization are reviewed Cases: Objective: Promote slope reforestation and environmental awareness campaign Benefit Involvement of stakeholders in issues related to the management of water sources and their conservation. Objective: Conserve the water resource used during fruit processing with recirculating systems Benefit: IThis activity is important to offer the plant the amount of water it requires according to the calculation of the recommended sheet. "	N/A

4.2.	Evaluate the impacts of water-related emergency incidents (including extreme events), if any occurred, and determine the effectiveness of corrective and preventative measures.	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 actions and mitigations against future incidents shall be identified.	There have been no incidents in the period reviewed	N/A
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.	There is a consultation with the organization's stakeholders	N/A
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.	This is the first year of managing AWS. With the dissemination of the results, feedback will be collected and the plan will be updated for the next period.	N/A
REFERENCE	CRITERIA	INDICATORS	EVIDENCES	NON CONFORMITIES
5.1.	Disclose water-related internal governance of the site's management, including the positions of those accountable for	5.1.1 The site's water-related internal governance, including positions of those accountable for	Communications have been made by various means: face-to-face meetings, groups on social networks, conferences	N/A

	legal compliance with water-related local laws and regulations.	compliance with water-related laws and regulations shall be disclosed.		
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.	It is evident that the water management plan and policy have been communicated to internal stakeholders through bulletin boards, Headquarters meetings, and annual review. Stakeholder interview: During the audit; In addition, we carry out different interviews; In order to confirm their relevant interests and challenges related to water, If they acknowledge the person responsible for legal compliance of related issues for UBESA, the content of UBESA's Water Management Plan and progress and results; and also shared actions aimed at good water management. Some cases were • Neighbor: General Administrator (Has. Grupo Borrero, neighbor of Hda. Isabel María • Supervisor of Social projects (Foundation DALE) • Member of the Santa Rita Community • Worker of the Isabel María Farm - Packaging Coordinator • Farm worker Isabel María - (Human Resources Assistant) • Worker at Finca Blanca Rosa - Harvest • Worker of the Finca Blanca Rosa - Field Coordinator • Worker at Finca Blanca Rosa - Harvest • Worker at Finca Lola - Plant Coordinator • Farm Worker María José: Farm Worker (Packer)	N/A
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.	The Water Management Review Act under the AWS standard was held by the 26.08.2020.	N/A
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.	Communications have been made by various means: face-to-face meetings, groups on social networks, conferences Evidence of such communications is reviewed. In this way, the organization has communicated efforts to address challenges such as clean-up campaigns to avoid polluting riverbanks.	N/A
		5.4.2 Efforts made by the site to engage stakeholders and coordinate and support public-sector agencies shall be identified.	Communications have been made by various means: face-to-face meetings, groups on social networks, conferences Evidence of such communications is reviewed. In this way, the organization has communicated efforts to to engage the interested parties, as a strategy of going door to door with the nearby towns to gather and encourage the commitment of residents and lead the	N/A

			meetings in the communities / schools / authorities on water issues	
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.	There have been no fines or claims about the water. There has been no emergency.	N/A
		5.5.2 Necessary corrective actions taken by the site to prevent future occurrences shall be disclosed if applicable.	There have been no fines or claims about the water. There has been no emergency.	N/A
		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.	There have been no fines or claims about the water. There has been no emergency.	N/A