

CERTIFICATION REPORT

Alliance for Water Stewardship (AWS)



Audit Number: AO-000460

SITE DETAILS

Site: **Zanpoti - Finca Nueva Esperanza, Tosagua**

Address: Provincia Manabí, Cantón Tosagua, Parroquia Angel Pedro Giler km 1 vía a la Pastora, 131552, Tosagua, ECUADOR

Contact Person: Javier Castro

AWS Reference Number: AWS-000462

Site Structure: Single Site

CERTIFICATION DETAILS

Certification status: Certified Core

Date of certification decision: 2023-Oct-19

Validity of certificate: 2026-Oct-19

AUDIT DETAILS

Audited Service(s): AWS Standard v2.0 (2019)

Audit Type(s): Initial Audit

Audit Start Date: 2022-Dec-07

Lead Auditor: Juan Carlos Cerón Vinueza

Audit team participants:

Juan Carlos Cerón, Lead Auditor

Site Participants:

David Meza, Production manager

Darwin Palma, Production Supervisor

José Cedeño, Other

Fatima Alarcón, Assistant Manager - EHS

Javier Castro, Assistant Manager - EHS

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ADDITIONAL INFO

Summary of Audit Findings: A total of 23 non-conformities (4 major non-conformities, 10 minor non-conformities and 9 observations) were raised during the initial certification audit

The Client is requested to define corrective actions for each of the non-conformities and submit these to WSAS within 30 days of receipt of the audit report, by 03/04/2022. The major non-conformity must be sufficiently addressed and closed out within 90 days of receipt of the report by 03/05/2022. Minor non-conformities must be closed by the time of the next annual audit.

The audit team recommends AWS certification of FINCA NUEVA ESPERANZA - ZANPOTI at Core level pending approval of the corrective actions plan

CLOSURE OF FINDINGS AND CORRECTIVE ACTION PLAN:

The Client has successfully resolved the major non-conformity and submitted the corrective action plan addressing all findings.

Proof of implementation has been requested for the Minors and this will be evaluated during the Surveillance Audit. The client is requested to upload evidence of implementation prior to the Surveillance Audit.

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Scope of Assessment: The scope of services covers the Initial certification audit for assessing conformity of Finca Nueva Esperanza against the AWS International Water Stewardship Standard Version 2.

Finca Nueva Esperanza is a banana farm with a total area of 215.71 hectares, of which 199.03 hectares are in production. It is in the province of Manabí, Municipality of Tosagua, Ángel Pedro Giler Parish, approximately 10 km from the city of Tosagua.

Finca Nueva Esperanza has the following general infrastructure for its production processes:

- 24 lots of "Musa acuminata" banana plantations
- 1 banana packing areas
- Storage areas for chemicals and organic fertilizers
- Support areas such as automotive and mechanical maintenance workshops
- Administrative areas

The estimated annual production of the farm in boxes of bananas for export is confidential.

Finca Nueva Esperanza is located on the Chone Basin (UH 15167 / Source: IGM – ESPOL aquifers Research). The main river in the basin is the Chone River, which originates at the confluence of the Grande and Garrapata rivers and flows into the water outlet of the Bahía de Caráquez City. The Chone River runs west from the southeastern part of the state and runs completely through the basin. Finca Nueva Esperanza is located near the Carrizal River and there is a public irrigation canal on the perimeter of the farm.

The audit was conducted onsite on 07-12-2022 to 09-12-2022.

The on-site visit included the assessment of visit water extraction well, water catchment facilities, water purification area, product packing area, Lot 17, 18 and 19 of banana plantation, wastewater treatment system, water drains, water recirculation facilities, IWRA, stakeholder interviews and meetings to identify documents submitted as evidence.

The following external stakeholders were interviewed during the audit:

- Potable Water Company EMMAP-EP / Carlos Pinargote / Environmental Technician / Authorization: YES
- Community of Las Cañitas / Diego Alcívar and Estrella Zabala / Community representative / Authorization: YES
- Ángel Pedro Giller Parish Council / Ignacio Almeida / President of the Ángel Pedro Giller Parish Council / Authorization: YES

FINDINGS

NUMBER OF FINDINGS PER LEVEL

Observation	9
Minor	10
Major	4

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FINDING DETAILS

Finding No:	TNR-003189
Checklist Item No:	1.1.1
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2023-Dec-09
Checklist item:	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.
Findings:	<ul style="list-style-type: none">- The location of existing wells has not been identified.- Drainage station discharge point (excess water).- Drinking water inlet (characteristics of the pipe and whether it has additional elements such as valves and meter).- Drinking water purification station- Wastewater treatment system (recirculation and post-treatment).
Corrective action:	Training in AWS for a better understanding of the Standard and mapping of the findings.
Evidence of implementation:	The map has not been attached. The technical reviewer cannot analyze the close of the finding but the corrective action has been accepted.

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Finding No: TNR-003190
Checklist Item No: 1.2.1
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2023-Dec-09
Checklist item: 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.

Findings: The site has NOT completed its interaction with stakeholders on its shared water challenges at the time of the audit.

Some preliminary water challenges being discussed with stakeholders are as follows:

- Availability of drinking water
- Drinking water quality
- High water demand challenges
- Effluent quality
- Impact of effluent on receiving waters
- Catchment ecosystem health
- Source water Ecosystem health Geopolitical challenges in water importation

Corrective action: Translated with www.DeepL.com/Translator (free version)
Produce a report with evidence of meetings with stakeholders.

Finding No: TNR-003191
Checklist Item No: 1.3.1
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2023-Dec-09
Checklist item: Existing water-related incident response plans shall be identified.
Findings: The emergency plan contemplates generic elements and is more focused on occupational health and safety aspects rather than from the perspective of water-related emergency management. All the points described in indicator 1.3.5 must be taken into consideration. As an example, a septic tank rupture.

Corrective action: Include water-related issues in the Emergency Plan.

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Finding No:	TNR-003192
Checklist Item No:	1.3.3
Status:	Open
Finding level:	Observation
Due date:	2023-Dec-09
Checklist item:	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.
Findings:	Once the NC associated with indicator 1.2.1 has been closed, the organization shall review compliance with this indicator.
Finding No:	TNR-003193
Checklist Item No:	1.3.4
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2023-Dec-09
Checklist item:	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.
Findings:	Evidence has only been presented on the coliform analysis platform but not from a point of discharge analysis perspective.
Corrective action:	Include in the planning the performance of additional examinations compared to the analyses performed at discharge.

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Finding No:	TNR-003195
Checklist Item No:	1.3.5
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2023-Dec-09
Checklist item:	Potential sources of pollution shall be identified and if applicable, mapped, including chemicals used or stored on site.
Findings:	<p>1°.- It is not clear the total correlation between the plan 1_3_5_-1_POSSIBLE_SOURCES_OF_CONTAMINATION and what is established in the Excel 1_3_5_-2_Sites_of_possible_contamination_NEW_ESPERANZA.</p> <p>Example: No location of the leachate collection tank in composting, clear and differentiated identification of the general diesel storage tanks and the drainage diesel storage tanks.</p> <p>2°.- Likewise, the systematic only reflects that the proximity to watercourses is taken into consideration, but not other factors that minimise the risk of affecting these watercourses (existence or not of retention basins, double wall tanks, etc...) Likewise, the risk in relation to leaks from septic tanks must be considered as it is difficult to locate a breakage of these installations.</p>
Corrective action:	List all possible sources of contamination and further detail control measures in each area.
Finding No:	TNR-003197
Checklist Item No:	1.5.4
Status:	Open
Finding level:	Observation
Due date:	2023-Dec-09
Checklist item:	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.
Findings:	Once the NC associated with indicator 1.2.1 has been closed, the organisation shall review compliance with this indicator.

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Finding No:	TNR-003196
Checklist Item No:	1.5.5
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2023-Dec-09
Checklist item:	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.
Findings:	<p>The assessment of the state of conservation, including threats to people or the environment, has not been based on a scientific and replicable system which has analysed, from an environmental perspective, the existing species of flora and fauna as well as the existing habitats at all levels (riparian habitats, aquatic habitats, nesting and/or breeding areas of species, etc.), their level of conservation and, based on this scientific analysis, the conclusions derived that allow specific actions to be established to maintain or improve them. From the social perspective, a similar methodology should be followed, ensuring that the communities most likely to be affected are known. All of this, as the indicator establishes, must be agreed with stakeholders at different levels.</p> <p>Likewise, as the canal is a shared element with adjacent communities, it should be considered as an IWRA.</p>
Corrective action:	Verify and reconsider the conservation status and threats to people and the environment.
Finding No:	TNR-003198
Checklist Item No:	1.5.7
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2023-Dec-09
Checklist item:	The adequacy of available WASH services within the catchment shall be identified.
Findings:	In addition to the WASH within the basin, the WASH available to stakeholders (local communities and workers) should be specified at a more micro level.
Corrective action:	Include the level of Access Wash of the Communities, partners.

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Finding No: TNR-002514
Checklist Item No: 1.6.1
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2023-Dec-09
Checklist item: Shared water challenges shall be identified and prioritized from the information gathered.
Findings: Shared WASH (waste management) challenges have not been identified. The challenge was commented on by the stakeholders interviewed
The causes and organizations with which the challenge is shared have not been established.
Corrective action: Include the waste challenge within the initiatives.
Evidence of implementation: The technical reviewed has analysed the documents below:

1.6.2_ - SHARED WATER CHALLENGES. Shared WASH (waste management) challenges have been identified.

Management through the Parish and Cantonal GAD for waste collection in the Communities surrounding the Nueva Esperanza farm.

Finding No: TNR-002534
Checklist Item No: 1.6.2
Status: Closed
Finding level: Major
Due date: 2023-May-02
Checklist item: Initiatives to address shared water challenges shall be identified.
Findings: Initiatives to address shared water challenges related to waste management was not identified
Corrective action: Identify in initiatives to address shared water challenges, waste management.
Evidence of implementation: The technical reviewed has analysed the documents below:

1.6.2_ - SHARED WATER CHALLENGES

Initiatives to address shared water challenges related to waste management has been identified

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Audit Number: AO-000460

Finding No: TNR-002515
Checklist Item No: 1.7.1
Status: Closed
Finding level: Major
Due date: 2023-May-02
Checklist item: 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.
Findings: FINCA NUEVA ESPERANZA water-related Risks Potential costs and business impact have not been identified.
Corrective action: Identify potential costs and business impact of each identified risk
Evidence of implementation: The technical review analysed the documents below like evidence of implementation:
Excel file 1.7.1.

Finding No: TNR-003199
Checklist Item No: 2.3.2
Status: Open
Finding level: Observation
Due date: 2023-Dec-09
Checklist item: 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.
Findings: It should be verified that defining as objectives elements that constitute in themselves a fulfilment of the standard should be checked, as marking an objective in that line implies that it does not comply with the indicator to which it corresponds and could constitute a non-conformity.

Finding No: TNR-003200
Checklist Item No: 2.4.1
Status: Open
Finding level: Observation
Due date: 2023-Dec-09
Checklist item: A plan to mitigate or adapt to identified water risks developed in co-ordination with relevant public-sector and infrastructure agencies shall be identified.
Findings: The company has defined the risk level "Methodology tab" but has not determined that it means negligible, low, medium, moderate or high risk so that the system can be applied by different people.

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Audit Number: AO-000460

Finding No:	TNR-003201
Checklist Item No:	3.2.1
Status:	Open
Finding level:	Observation
Due date:	2023-Dec-09
Checklist item:	A process to verify full legal and regulatory compliance shall be implemented.
Findings:	Improve traceability between the requirement that is claimed to be met and the document that allows the document to be evidenced in such a way that it can be quickly located, as well as determining whether the documentation has an expiry date.
Finding No:	TNR-003202
Checklist Item No:	3.2.2
Status:	Open
Finding level:	Observation
Due date:	2023-Dec-09
Checklist item:	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.
Findings:	Once the NC associated with indicator 1.2.1 has been closed, the organisation shall review compliance with this indicator.
Finding No:	TNR-003203
Checklist Item No:	3.4.2
Status:	Open
Finding level:	Observation
Due date:	2023-Dec-09
Checklist item:	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.
Findings:	Once the NC associated with indicator 1.2.1 has been closed, the organisation shall review compliance with this indicator.

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Finding No:	TNR-002519
Checklist Item No:	3.7.2
Status:	Closed
Finding level:	Major
Due date:	2023-May-02
Checklist item:	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.
Findings:	Evidence of commitment to suppliers and service providers has not been identified
Corrective action:	Send by letter or mail the commitment to the service providers such as Food and Drinking Water Company.
Evidence of implementation:	The documents shown below has been analysed like evidence of implementation: Excel file 3.7.2. La Finca Nueva Esperanza solo tiene 2 proveedores de servicios que ocupan agua de la misma Cuenca, los proveedores de insumos agrícolas son de distinta Cuenca y de otros países. CONCLUSION DE CIERRE. Se adjunta firma de compromiso con proveedor de agua perteneciente al sector público. Se verifica acuerdo de compromiso entre la Finca y el gerente de la empresa contratada.
Finding No:	TNR-003204
Checklist Item No:	4.1.3
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2023-Dec-09
Checklist item:	The shared value benefits in the catchment shall be identified and where applicable, quantified.
Findings:	Benefits have not been quantified
Corrective action:	Correctly identify benefits at Basin level, indicate quantification.

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Finding No:	TNR-003205
Checklist Item No:	4.2.1
Status:	Open
Finding level:	Observation
Due date:	2023-Dec-09
Checklist item:	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.
Findings:	The site has not "evaluated the site's response to the incident(s) and proposed preventive and corrective actions will be identified, as well as measures to mitigate future incidents", i.e. drills should be planned and executed after improving the emergency plan.
Finding No:	TNR-003206
Checklist Item No:	5.1.1
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2023-Dec-09
Checklist item:	The site's water-related internal governance, including positions of those accountable for compliance with water-related laws and regulations shall be disclosed.
Findings:	The site's internal water governance, including the positions of those responsible for compliance with water laws and regulations, has only been disclosed internally.
Corrective action:	Disseminate the positions of those responsible for compliance with laws and regulations externally.

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Audit Number: AO-000460

Finding No:	TNR-002521
Checklist Item No:	5.2.1
Status:	Closed
Finding level:	Major
Due date:	2023-May-02
Checklist item:	The water stewardship plan, including how the water stewardship plan contributes to AWS Standard outcomes, shall be communicated to relevant stakeholders.
Findings:	According to the stakeholder meetings, The Water Stewardship Plan has not been communicated to them. Also, FINCA NUEVA ESPERANZA has not published his Stakeholder Announcement,
Corrective action:	Upload to the system the records where the Custody Plan was socialised with different stakeholders.
Evidence of implementation:	According to the records (5.2.1_EVIDENCIA_SOCIALIZACIÓN_DE_PLAN_DE_CUSTODIA (1) / 5.2.1_ANUNCIO_DE_PARTES_INTERESADAS (1)), The Water Stewardship Plan has (12/05/2022 and 29/11/2022) been communicated to them. Also, FINCA NUEVA ESPERANZA has published his Stakeholder Announcement,
Finding No:	TNR-003207
Checklist Item No:	5.3.1
Status:	Open
Finding level:	Observation
Due date:	2023-Dec-09
Checklist item:	A summary of the site's water stewardship performance, including quantified performance against targets, shall be disclosed annually at a minimum.
Findings:	Define the systematic approach to be followed to meet this indicator.

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Report Details

Report	Value
Report prepared by	Juan Carlos Cerón Vinuesa
Report approved by	Gregorio Crespo Espinosa
Report approved on (Date)	02/02/2023

Surveillance

Proposed date for next audit
2023-Dec-11

Comment The 1st surveillance audit will take place 2023.

Stakeholder Announcements

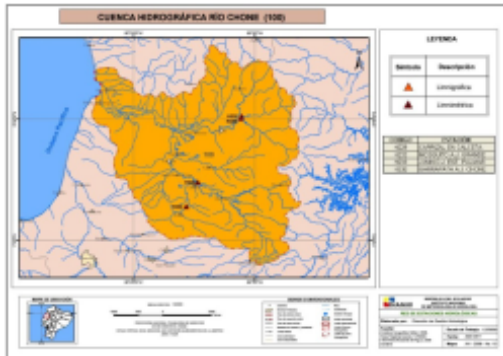
Date of publication	Location
05/11/2022	WSAS Website - https://watersas.org/stakeholder-announcements/
05/11/2022	AWS Website - https://a4ws.org/certification/stakeholder-announcements/
01/12/2022	Stakeholder announcements by the company
Comment	Finca Nueva Esperanza has not published his Stakeholder Announcement, a nonconformity was raised in this area

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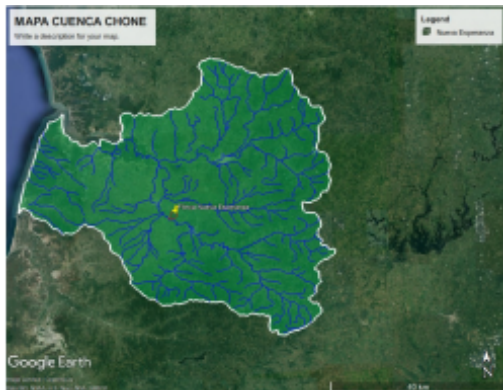
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Catchment Information



Description of the Chone basin

Cuenca Hidrográfica Chone.jpg



Location of the farm in relation to the basin.

Mapa Cuenca Chone.jpg

Catchment Information

Finca Nueva Esperanza is located on the Chone Basin (UH 15167 / Source: IGM – ESPOL aquifers Research). The main river in the basin is the Chone River, which originates at the confluence of the Grande and Garrapata rivers and flows into the water outlet of the Bahía de Caráquez City. The Chone River runs west from the southeastern part of the state and runs completely through the basin. Finca Nueva Esperanza is located near the Carrizal River and there is a public irrigation canal on the perimeter of the farm.

The Chone Basin has a surface area of 2,734 km², with total water resources of 2,062 hm³, which constitutes an annual production module of 0.41 hm³/ km² and an available volume per capita of 8,893 m³. The Tosagua canton represents 14% of the total area of the basin, with 367 km². The basin belongs to an area with abundant water resources, but the intra-annual distribution is not uniform. The largest river within the basin is the Chone, with a total length of 127 km; the area of the hydrographic basin is 1932 km². The main tributaries are the Garrapata, Mosquito and Carrizal rivers. The basin presents an average annual precipitation of 1000 mm (3129 hm³), a runoff sheet of 685.4 mm, which is high in the eastern part of the basin (between 800-1000) mm and low in the western part (between 200-600mm).

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Client Description and Site Details

Client/Site Background

FINCA NUEVA ESPERANZA is part of ZANPOTI S.A. which is dedicated to the cultivation and packaging of Cavendish-type bananas.

The farm has 24 production lots in 199.03 hectares of production with a total dimension of 215.71 total hectares. The organization has an environmental license issued by the Ministry of Environment, Water and Ecological Transition (MAATE), in addition to having permits related to the use of surface water and groundwater through wells. The farm is located in the Chone Basin (UH 15167 / Source: IGM – ESPOL aquifers Research Aquifer: From the Chone Basin). Rivers found in the sector near to the farm are: Rio Carrizal and the public irrigation channel. The organization has 61 people in the packing process and 184 in the field. Stakeholders close to the site are: La Poza Community, La Palma Community, Las Canitas Community, La Estancilla Community and La Pastora Community.

The organization has the following infrastructure on site:

- For irrigation: Surface collection station (1 surface collection from the Carrizal River) & Underground water collection wells (1 for the preparation of chemical products, 1 in the Sigatoka control sector)
- For packaging: 1 underground water collection well
- Water storage: an artificial lagoon, surface 0.8 ha
- Process wastewater discharges: 1 of packing site and 2 water drains
- Wastewater Infrastructure: Septic tanks in the required places with on-site treatment / 6 septic tanks

Summary of Shared Water Challenges

Summary of Shared Water Challenges

The site has not completed its interaction with stakeholders on their shared water challenges at the time of audit.

Some preliminary water challenges which are under discussion with stakeholders are the following:

Potable Water Availability

Potable Water Quality

High Water Demand Challenges

Effluent Quality

Impact of Effluent on Receiving Waters




Catchment Ecosystem Health

Source Water Ecosystem Health Geopolitical Challenges in Importing Water

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0.1 General Requirements for Single Sites, Multi-Sites and Groups	
0.1.1	<i>Eligibility Criteria</i>
0.1.1.1	<i>The site(s) occupy one catchment OR an exception has been granted.</i>
	Yes 
Comment	FINCA NUEVA ESPERANZA is in the Chone Basin (UH 15167 / Source: IGM – ESPOL aquifers Research Aquifer: From the Chone Basin).
0.1.1.2	<i>The scope of the proposed certification shall be under the control of a single management system.</i>
	Yes 
Comment	FINCA NUEVA ESPERANZA operates under a single management system
0.1.1.3	<i>The scope of the proposed certification shall be homogeneous with respect to primary production system, water management, product or service range, and the main market structures.</i>
	Yes 
Comment	FINCA NUEVA ESPERANZA is part of ZANPOTI S.A. which is dedicated to the cultivation and packaging of Cavendish-type bananas, water management, and product range, and the main market structures are homogeneous.

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1 STEP 1: GATHER AND UNDERSTAND

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.

 in progress

Comment FINCA NUEVA ESPERANZA has presented maps with detailed information:

- 1- Site boundaries and nearby communities (Maps 1)
- 2- Water-related infrastructure, including infrastructure on site (map 2):
 - For irrigation: Surface collection station (1 surface collection from the Carrizal River) & Underground water collection wells (1 for the preparation of chemical products, 1 in the Sigatoka control sector)
 - For packaging: 1 underground water collection well
 - Water storage: an artificial lagoon, surface 0.8 ha
 - Process wastewater discharges: 1 of packing site and 2 water drains
 - Wastewater Infrastructure: Septic tanks in the required places with on-site treatment / 6 septic tanks
- 3- Water sources providing water to the site; which include: Potable water supplied by a public utility, EMMAP-EP; drinking water supplied by internal production plant. (Map 3)
- 4- Discharge points and wastewater treatment infrastructure (Map 3)
- 5- Catchment(s) that the site affect(s) and is reliant upon for water: The Site's delineated catchment (surface and groundwater) it affects and reliant upon for water is the Chone Basin. Also, the Site's water supplier is EMMAP-EP which, in turn, relies on Carrizal River. Sanitary wastewater is treated on site.
- 6- IWRA Map (Map 6)
- 7- Chone Basin map (Map 7)

Finding No: TNR-003189

1.2 *Understand relevant stakeholders, their water related challenges, and the site's ability to influence beyond its boundaries.*

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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.

 in progress

Comment

A broad range of stakeholders with water-related interests, influence and responsibilities has been identified and engaged, through a systematic process. (Document Listado de partes interesadas AWS Nueva Esperanza) These include water and wastewater service providers, regulatory bodies, NGOs, large water consumers in the area (neighborgs with short period crops) and communities. The stakeholder register includes contact information, a log of responses, and the water-related challenges shared with each stakeholder. A matrix of interested parties is verified in the document "Stakeholders and degree of influence" Date 10-07-2022

Sample:

- La Poza Community / Interest: Water care and supply / Type of actor: community
- Prefecture of Manabí / Interest: Legal compliance / Type of actor: State institution
- Webnutrition / Interest: Water supply for your service / Type of actor: supplier

Finding No: TNR-003190

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.

 Yes

Comment

FINCA NUEVA ESPERANZA has include different methods of influence in Document Listado de partes interesadas AWS Nueva Esperanza columns I to L:

- Partner: Work together as equal partners to address a common water challenge
- Involve: Where the site takes a lead on an initiative and involves other organizations or groups with a common interest
- Consult: Actively meet or discuss proposed actions
- Inform: Let stakeholders know what you are doing, allowing them to respond if they have questions or concerns
- Reciprocate: Explore if there is action you can take in return

The Site has presented the assessment on a matrix of interested parties registered in the document "Stakeholders and degree of influence" Date 10-07-2022.

Sample:

- La Poza Community / Water care and supply / Type of actor: community / Commitment: High / Degree of influence: 2 / Interest: 1 / Action: Key stakeholder
- Prefecture of Manabí / Legal compliance / Type of actor: State institution / Commitment: High / Degree of influence: 1 / Interest: 2 / Action: Keep informed
- Webnutrition / Water supply for your service / Type of actor: supplier / Commitment: High / Degree of influence: 2 / Interest: 2 / Action: Key stakeholder

Stake holder consultation Sample:
Stakeholder: EMMAP-EP
Meeting of 05-12-2022

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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.*



in progress

Comment FINCA NUEVA ESPERANZA have identified:
- Finca Nueva Esperanza Emergency Plans / Date: December 2021 (Document 1)
Identified situations (Item 2.1 page 7): Spills: Chemical products, lubricants and fuels / earthquake
- Fuel Supplier Emergency Plans / Date: May 2017 (Document 2)
Identified situations: Spills in water channels (Page 10.10)

The Site's Emergency Response Plan specifically states (Document 1 - Annexes 6a):
Water-related Incident. Specific steps that will be taken during and after a water-related incident are listed. Also, water main shut-off locations, communication related to the emergency and assembly points.

Finding No: TNR-003191

1.3.2 *Site water balance, including inflows, losses, storage, and outflows shall be identified and mapped*



Yes

Comment FINCA NUEVA ESPERANZA 2021 Water Balance (Document 1) includes:
Inflows: rainwater (precipitation) + irrigation water (river) + human consumption water (public network) + Production process water (well for packing plant) + drone spraying water
Outflows: evapotranspiration + water exported with fruit + surface drainage + water infiltrated into the underground layers + wastewater and production process discharge
Storage: artificial lagoon
Period: according to the banana calendar / 2021 / with 13 periods in 2021

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.*



Obs.

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Comment FINCA NUEVA ESPERANZA 2021 Water Balance (Document 1 3 3 - 1) includes variances for Items a through in Section 1.3.2 is tracked periodically (13 periods in one year) by the Site and available in the Site's Water Balance electronic file.

Sample: Period 4 2021 / Week 14

-Sample for inflows:

Precipitation: week 14 2021 / Precipitation: 22 mm / total farm area: 215.71 / TOTAL: 47456.2 m3 / OK

Irrigation water: week 14 2021 / 946.25 m3 / Initial reading: 199215 - Final reading 199415 / Conversion factor from gallons to m3 is applied / OK

Water for THIPS control / week 14 2021 / 12.52 m3 / Reading of number of tanks: 61.5 tanks of 55 gal / Conversion factor from gallons to m3 is applied / OK

Process water: week 14 2021 / 509.5 m3 / Reading 2038 m3 (divided for 4 weeks) / OK

Water for human consumption: for week 14 of 2021 / 243.75 m3 / Bill reading 192228 of 05-01-2021 with a total of 975 for month 4

Water in Sigatoka fumigation / Week 14: 0.35 m3 / Sum of the application in sectors: 0.35 m3

Evapotranspiration / Week 14: 19.74 mm / DOLE log evaporation reading: Week 14: 19.74 mm / transformation: 1.25 crop factor (25% more irrigation per crop type) / 10 conversion factor / Productive area

Sample for outflows

Drains / Week 14: 161982.25 m3 / Formula: Engine hours*60*3.785/10000 (Engine gallon performance)

Performance of motor 2: 1.2 m3/s / (NC - There is no evidence of support for the performance (gallons/minutes) of the drainage outlet pumping equipment)

Kilograms of exported fruit / Week 14: 189381.60.05 kg / Quantity: Number of boxes * 18.14 kg per box

Fruit moisture according to the fruit moisture study of May 2020 is: 0.76%

Residual water discharges from the process / It is assumed: that the water for the productive process and domestic activities + water for human consumption is discharged from the system / Week 14: 765.77 m3

Final 2021 Water Balance: Entry – Exit - accumulation = 0


FINCA NUEVA ESPERANZA: $3.2-11.4+8.2=0$ (In millions of liters)

NC-Water storage has not been estimated in the water balance (Artificial Lagoon)

It is considered a minor NC due to the miscalculations do not surpass the 5% of error in the calculations

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.

 in progress

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Comment FINCA NUEVA ESPERANZA Water Quality Monitoring Plan applies to:

- Irrigation water
- Packaging plant water
- Drinking potable water
- Packaging plant discharge water

For all the Water Quality Parameters the local legal requirements are applied. Sampled are collected annually or semi-annually by an external laboratory accredited for water analysis for the local Accreditation Organism (SAE).

Water quality monitored parameters and local legislation are:

- Surface water withdrawals / Irrigation water - Table 3 AM097A / Frequency: Semi-annual
- Well for irrigation and packing house / Table 1 Annex 1 of AM097 / Frequency: Annual
- Recirculating tank / Table 9 Annex 1 of AM097 / Frequency: Annual

Sample of water quality analysis in 2022

Irrigation water / Table 3 AM097A / Date: 10-08-2022 / Status: complies with all microbiological parameters (Document 1 3 4 - 1, page 2)

Irrigation water / Table 3 AM097A / Date: 10-08-2022 / Status: complies with all physicochemical parameters

Well water (packer) / Table 1 Annex 1 of AM097 and INEN 1108 / Date: 10-08-2022 / Status: meets all parameters

Well water (drink water) / Table 1 Annex 1 of AM097 and INEN 1108 / Date: 10-08-2022 / Status: meets all parameters

Recirculation tub discharge / Table 9 Annex 1 of AM097 / date: 10-08-2022 / Status: complies


Discharge water / Table 9 Annex 1 of AM097 / date: 10-08-2022 / Status: complies

All Water quality parameters complies with local legal regulations, however, a water related challenge related to water quality has been identified (coliforms in irrigation water)

Finding No: TNR-003193

Finding No: TNR-003194

1.3.5 *Potential sources of pollution shall be identified and if applicable, mapped, including chemicals used or stored on site.*

 in progress

Comment FINCA NUEVA ESPERANZA has identified potential sources pollution based in:

- a) Hazards given in their Safety Data Sheets (MSDS)
- b) Listing as a pollutant in a local or external regulation or in an internal standard (provided it was used at the Site)

FINCA NUEVA ESPERANZA has identified a List of "sites of possible contaminants" is identified / Date: 10-7-2022 (Document 1 3 5 - 1 & Document 1 3 5 - 2)

The identification of the type of product, use, risk of contamination and preventive measures is verified (Document 1 3 5 - 1, column E) .

The site has adequate a map of Finca Nueva Esperanza with the areas of:

- Compost area
- Organic product preparation area
- Septic tanks
- Irrigation and drainage station (Fuel Storage)
- Hazardous and non-hazardous waste storage areas

During the visite of the site, the important H&S measures, which are rigorously implemented, could be observed and there are no reports of accidents. In the chemical and agrochemical storage areas the MSDS are stored and the responsable was trained to comply with local regulations (RAR document 1 3 5 - 3). Hazardous Waste and waste storage areas are identified with risk signals to comply with local regulations. Diesel storage tanks was identified with risk signals, there is a secondary containment bucket to avoid potential spills into bodies of water.



During the visit of the key areas, the audit team was required to wear safety equipment and always was accompanied by staff.

Finding No: TNR-003195

CERTIFICATION REPORT

Alliance for Water Stewardship (AWS)

Audit Number: AO-000460

1.3.6	<i>On-site Important Water-Related Areas shall be identified and mapped, including a description of their status including Indigenous cultural values.</i>	 Yes
Comment	<p>FINCA NUEVA ESPERANZA has identified IWRA in a document called "Finca Nueva Esperanza IWRA" (Document 1 3 6 - 1). The criteria used for the identification is verified with the identification of the areas of importance related to water. The status of this IWRA is it is in good condition and using the rating scale recommended in the AWS Standard Guidance 2.0 shown below (Document 1 3 6 - 1, column E)), is deemed "4".</p> <p>0. Lost or beyond a financially feasible restoration 1. Severely degraded and will require considerable restoration 2. Somewhat degraded and will require some restoration 3. Acceptable condition but would benefit from improvement 4. Good condition requiring little work apart from protection 5. Excellent condition and protected requiring no work (beyond, perhaps, ongoing maintenance and monitoring</p> <p>Sample: Heritage Forest / inside the Nueva Esperanza farm with a dimension of 4 ha Type: Conservation area Status: Preserved</p> <p>Sample: Poza (Artificial Lagoon) / Inside the Farm with 0.8 ha dimension Type: body of water Status: Preserved</p> <p>Sample: Rio Carrizal (Adjoining Part) / Limited on the map of Finca Nueva Esperanza adjoining to the south at 725m Type: adjacent river Status: Preserved</p> <p>Sample: Riverside with vegetative area in conservation of the Carrizal River behind the Compostera / Area: 1 ha Type: conservation area Status: Preserved</p> <p>Sample: Irrigation channel / Limited on the map of Finca Nueva Esperanza adjoining to the north and east at 4000m Type: adjoining body of water Status: Preserved</p>	
1.3.7	<i>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.</i>	 Yes

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Audit Number: AO-000460

Comment The document Costs related to Water for 2021-2022 is verified (Document 1 3 7 - 1)
Values are checked (According to the cliente monetary data is confidential):
- Amounts for water supply
- Amount of water treatment
- Costs of materials and inputs for facilities (valves and pipes)
- Water infrastructure costs
- Payments to the government for permits
- Salary payments to personnel (Firefighter, irrigator, irrigation and drainage coordinator)
An annual cost of 145K USD per year is verified
The Site does not directly generate any water-related revenue.
Site management is aware of the scope of short and long-term investment/commitments related to water stewardship and is committed to provide resources necessary (including financial support) to meet them through annual budgets

1.3.8 *Levels of access and adequacy of WASH at the site shall be identified.*



Yes

Comment FINCA NUEVA ESPERANZA has used an internal tool to evaluate access to WASH.
According to the document the organization complies with
-Staff hygiene facilities
-Sink signage
-Shower facilities
- WASH training
- Provision of PPE
- Store of PPE
- Water availability

During the audit and site visit it was possible to assess the adequacy of WASH at the Site level; the site shows a high level of organisation, production areas are clean and neat, sanitary infrastructure complies with local regulation (there are enough toilets and water consumption infrastructure).
In the workers interview all of them identify that they have access to toilets and drinkable water as they need.

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.*



Yes

Comment The products used as inputs for production are not manufactured in the basin of origin "Chone Basin" as is presented in Document 1 4 1 - 1, site of origin in column D

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





Comment FINCA NUEVA ESPERANZA has identified:
- Provider of transport of product to port / METROMODAL
The justification that the water used for washing trucks and containers comes from another basin (Guayas Basin) is verified as is presented in Document 1 4 2 - 1, site of origin in column E

1.5 *Gather water-related data for the catchment, including water governance, water balance, water quality, Important Water-Related Areas, infrastructure, and WASH*

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1.5.1	<i>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.</i>	 Yes
Comment	<p>FINCA NUEVA ESPERANZA has identified key policy and planning documents from service providers and public agencies engaged in water supply, wastewater collection, treatment and re-use, stormwater management, and integrated water resources management in Document 1 5 1 - 1. It shows a good understanding of the complex institutional arrangements in the catchment, and of the medium-term plans and initiatives of those institutions.</p> <p>Water governance initiatives / 2021</p> <ul style="list-style-type: none"> - Conservation of areas under the National System of Protected Areas of the Chone River Estuary Biocorridor - National Water Strategy 	
1.5.2	<i>Applicable water-related legal and regulatory requirements shall be identified, including legally-defined and/or stakeholder-verified customary water rights.</i>	 Yes
Comment	<p>Legal requirements identification</p> <p>SGI 2022 legal matrix is verified – last update October 2022</p> <p>The identification of the applicable legal and regulatory bodies related to water belonging to Ecuador and Manabí is verified.</p> <p>Water supply requirements:</p> <p>The site relies on EMMAP-EP for its water supply and does not have any water rights. FINCA NUEVA ESPERANZA has a contract for water supply. Monthly payments for water consumption are made.</p> <p>Wastewater treatment requirements:</p> <p>The site has not a provider of wastewater treatment because wastewater is treated internally</p>	
1.5.3	<i>The catchment water-balance, and where applicable, scarcity, shall be quantified, including indication of annual, and where appropriate, seasonal, variance.</i>	 Yes
Comment	<p>Based on the information on the catchment gathered in step 1.1 above, the site has gathered qualitative and quantitative data on the catchment water balance Chone Basin Level Water Balance document is verified / Date: 2021 / Author: Robert Yaguachi (Document 1 5 3 - 1)</p> <p>Data is presented in page 1</p> <p>Inflows:</p> <ul style="list-style-type: none"> - Precipitation - Annual transfer to the basin from Daule Peripa <p>Outflows:</p> <ul style="list-style-type: none"> - Evapotranspiration - Surface runoff - Annual transfer from the basin to the outside - Variation in storage - Storage of water in soil and infiltration into the aquifer <p>The information of PHRDHG 2015 water balance plan was taken for prepared the analysis.</p>	
1.5.4	<i>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.</i>	 Obs.

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Comment The document Water quality at the basin level Date: 2021 Author: Robert Yaguachi (Document 1 5 4 - 1) is reviewed.
15 monitoring stations of the hydrographic demarcation of the Chone Basin are analyzed (Table 2). The stations indicate that the requirements of the water quality standard are NOT met, coliforms are exceeded. There is a challenge related to water in the quality aspect.

NC-There is no evidence of the estimation of the maximum and minimum annual variations.

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.* in progress

Comment The organization has made a review of its IWRA at the level of the Chone basin (Document 1 5 5 - 1). Ecological areas close to the organization have been identified:
- Carrizal River
- Heritage Forest

Also, they have identified IWRA at considerable distances to the site and with no direct influence from the site

- Reservoir of Hope
- La Segua wetland
- San Vicente Wetland

For all IWRA, the status description is verified in each area.

Finding No: TNR-003196

1.5.6 *Existing and planned water-related infrastructure shall be identified, including condition and potential exposure to extreme events.* Yes

Comment The existing water-related infrastructure status in the basin is dated October 2021. Document 1 5 6 - 1) is verified. Water infrastructure in the catchment is primarily owned and operated by the water service provider. Also, there is a common infrastructure in the Irrigation channel, which has an infrastructure (gate) that is used by all users of irrigation water. In case this gate collapse could cause an event of flood

1.5.7 *The adequacy of available WASH services within the catchment shall be identified.* in progress

Comment The suitability of Wash services is reviewed in the document "Basin Level WASH Services Author: Robert Yaguachi updated to October 2022" (Document 1 5 7 - 1)

The data analyzed were taken from the INEC 2010 census on access to:

- Water demand
- Access to sewerage
- Water coverage

The following analysis is verified:

- The demand for water for domestic use in the Chone basin was 25.52 hm³ in 2010, it will be 29.17 hm³ by 2025 and 31.40 hm³ by 2035 (Memoria-PHRDHM). According to data taken from the INEC in 2014, 53.96% of the population of the province of Manabí had access to drinking water.

- According to data taken from the INEC in 2014, 80.97% of the population of the province of Manabí had access to Water Exclusive hygienic services.

Complementary to the information of this indicator, some additional data of the main towns of the Chone river basin are detailed below (INEC, 2010, Development Plan and Land Management of the Chone Canton 2014-2019)

- In the Chone canton, 76.14% of homes do not have access to sewerage, 21.19% do not have access to the public water network and 81.10% do not dispose of garbage through a collection service. (PDOT Canton Chone 2014-2019)

- It was determined that in the province of Manabí, the Tosagua canton presented a significantly low density in terms of access to sewerage, 135 of 9,514 homes had the service, representing 1% of the population. (INEC 2010)

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Finding No: TNR-003198

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.*



in progress

Comment The organization has reviewed its Shared Water Challenges Date: 2021 executed by Author: Robert Yaguachi (Document 1 6 1 - 1)
The following challenges have been identified:
- Water quality / Conservation and protection of water quality
- Access to water / Preservation and maintenance of infrastructure
- Waste Management / Reduce the probability of water contamination
NC - However, shared on-site WASH (waste management) challenges have not been identified. The challenge was commented on by the stakeholders interviewed
The causes and organizations with which the challenge is shared have not been established.

Finding No: TNR-002514

1.6.2 *Initiatives to address shared water challenges shall be identified.*



closed

Comment Initiatives for shared challenges 2022 and 2023 (Document 1 6 2 - 1)
The planning of the initiatives for the shared challenges in 2022 and 2023 is verified (Column G)
Sample:
Water quality
- Management of dialogue spaces
- Meeting of communities
- Survey of communities on issues related to water and WASH
Access to water
- Generate dialogue spaces with stakeholders involved
- Conduct meeting with users

NC-Initiatives to address shared water challenges related to waste management was not identified

Finding No: TNR-002534

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.*



closed

Comment The site applied WWF's Water Risk Filter's Operation Risk assessment module (Document 1 7 1 - 1)
The methodology analyzes the risks:
• Shortages
• Enabling environment

An analysis of the farm is verified (Document 1 7 1 - 2)
- FINCA NUEVA ESPERANZA / Overall Risk: 3.27






NC - Potential costs and business impact have not been identified

Finding No: TNR-002515

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1.7.2	<i>Water-related opportunities shall be identified, including how the site may participate, assessment and prioritization of potential savings, and business opportunities.</i>	 Yes
Comment	<p>The matrix of water resources opportunities (Document 1 7 2 - 1) is verified in which the opportunity and related actions are analyzed</p> <p>Opportunities (sample):</p> <ul style="list-style-type: none"> - Vulnerability awareness - Water care with stakeholders - Compliance with local regulations - Positioning of a favorable image <p>Potential savings identified:</p> <ul style="list-style-type: none"> - Reduction of costs due to transfer of water from other sectors - Reduction of costs due to the use of hydrocleaner - Avoid lawsuits and fines for non-compliance. - Avoid loss of customers 	
1.8	<i>Understand best practice towards achieving AWS outcomes: Determining sectoral best practices having a local/catchment, regional, or national relevance.</i>	
1.8.1	<i>Relevant catchment best practice for water governance shall be identified.</i>	 Yes
Comment	<p>Method: best practices in water governance / Date: October 2022 (Document 1 8 1 - 1)</p> <p>Sample:</p> <ul style="list-style-type: none"> - Education and training in conservation of water resources (activities for site and basin) - Collaborative work with universities in the sustainable management of the Chones basin - Activities that help the conservation and protection of water quality in the basin - Share irrigation information with the Department of Irrigation and Provincial Drainage - Share rainfall information with GD Tosagua and the Parish Council 	
1.8.2	<i>Relevant sector and/or catchment best practice for water balance (either through water efficiency or less total water use) shall be identified.</i>	 Yes
Comment	<p>Method: best practices water balance / Date: October 2022 (Document 1 8 2 - 1)</p> <p>Sample:</p> <ul style="list-style-type: none"> - Training internal staff - Change of efficient sprinklers - Development of a water consumption control platform - Recirculation of process water in the packing plant 	
1.8.3	<i>Relevant sector and/or catchment best practice for water quality shall be identified, including rationale for data source.</i>	 Yes
Comment	<p>Method: best water quality practices / Date: October 2022 (Document 1 8 3 - 1)</p> <p>Sample:</p> <ul style="list-style-type: none"> - Monitoring of water quality in the area of influence upstream - Maintenance of the fence and conservation of trees along the canal to avoid contamination by waste water 	
1.8.4	<i>Relevant catchment best practice for site maintenance of Important Water-Related Areas shall be identified.</i>	 Yes

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Comment Method: best practices related to AIRA maintenance / Date: October 2022 (Document 1 8 4 - 1, column I)

Sample:

- Internal

Preserve the natural state of the Bosque Finca and natural regeneration area

Preserve the natural state of the flora and fauna of the area adjacent to the river

- External

Coordinate meetings with the university for data analysis and visits to the dam to verify state of conservation and potential challenges

1.8.5 *Relevant sector and/or catchment best practice for site provision of equitable and adequate WASH services shall be identified.*



Yes

Comment Method: WASH best practices / Date: October 2022 (Document 1 8 5 - 1, column C)

Sample:

- Training of workers and employees on WASH

- Install our own water treatment plant for human consumption on the farm




- Conduct a survey to obtain WASH data from workers in their homes

- Conduct a survey to obtain WASH data from communities

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2	STEP 2: COMMIT & PLAN - Commit to be a responsible water steward and develop a Water Stewardship Plan	
2.1	<i>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.</i>	
2.1.1	<i>A signed and publicly disclosed site statement OR organizational document shall be identified. The statement or document shall include the following commitments:</i> <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. 	 Yes
Comment	Declaration of commitment FINCA NUEVA ESPERANZA / Date: 04-29-2022 / Signed by Carlos Franco – Legal Representative ZANPITI (FINCA NUEVA ESPERANZA) / Complies with the requirements of the standard (Document 2 1 1 - 1) Published: <ul style="list-style-type: none"> - Billboards on the farm (RAR files 2 1 1 - 2) - Admission to the Parish Council of GAD La Estancilla (RAR files 2 1 1 - 3) - Suppliers communications (RAR files 2 1 1 - 4) 	
2.2	<i>Develop and document a process to achieve and maintain legal and regulatory compliance.</i>	
2.2.1	<i>The system to maintain compliance obligations for water and wastewater management shall be identified, including:</i> <ul style="list-style-type: none"> - Identification of responsible persons/positions within facility organizational structure - Process for submissions to regulatory agencies. 	 Yes
Comment	FINCA NUEVA ESPERANZA system to maintain compliance obligations is verified to maintain legal obligations (Document 2 2 1 - 1) <ul style="list-style-type: none"> - ISO 14001 management system activities - Legal identification through the Lexis system <p>The identificación of responsible of maintaining the legal compliance is defined in the Legal Matriz 2021 (Document 2 2 1 - 2). Most of the legal requirements are responsibility of the AWS responsible</p> <p>The process for submissions to regulatory agencies is identified in the local regulations, the COA or Ambiental Code identifies the procedure for communications. All the communications with the regulatory agency are made via QUIPUX (email) or physical document. Sample Communication with GAD Provincial (Document 2 2 1 - 3)</p>	
2.3	<i>Create a water stewardship strategy and plan including addressing risks (to and from the site), shared catchment water challenges, and opportunities.</i>	
2.3.1	<i>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.</i>	 Yes

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Comment	It is verified in the sustainable water management plan (Document 2 3 1 - 1, rows 5 - 6 - 7) <ul style="list-style-type: none">- Mission: produce products taking care of their natural resources, especially water- Vision: To be world-class banana producers and care for terrestrial and aquatic ecosystems- Strategy: Water resources management	
2.3.2	<p><i>A water stewardship plan shall be identified, including for each target:</i></p> <ul style="list-style-type: none">- <i>How it will be measured and monitored</i>- <i>Actions to achieve and maintain (or exceed) it</i>- <i>Planned timeframes to achieve it</i>- <i>Financial budgets allocated for actions</i>- <i>Positions of persons responsible for actions and achieving targets</i>- <i>Where available, note the link between each target and the achievement of best practice to help address shared water challenges and the AWS outcomes.</i>	<div> Obs.</div>

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Comment	<p>It is verified in the sustainable water stewardship plan (Document 2 3 2 - 1) - FINCA NUEVA ESPERANZA</p> <p>Objectives: maintain contact with public entities and NGOs in charge of managing and preserving the SEGUA Wetland Activities: Manage meetings Indicator: meeting executed / meeting scheduled Desired Outcome: Good Water Governance / Water Quality / AIRA Measurement: 1 meetings Monitoring: by percentage of progress Terms: annual Budget: valued in dollars Positions of those responsible for the actions and the achievement of the objectives: YES Relate to each objective and the achievement of best practices: YES Advance 2022: does not apply Program 2023: 1 meeting</p> <p>Objectives: maintain contact with public entities and universities to identify opportunities related to water quality Activities: Manage meetings Indicator: meeting executed / meeting scheduled Desired Outcome: Good Water Governance / Water Quality Measurement: 1 meetings Monitoring: by percentage of progress Terms: annual Budget: valued in dollars Positions of those responsible for the actions and the achievement of the objectives: YES Relate to each objective and the achievement of best practices: YES Advance 2022: does not apply Program 2023: 1 meeting</p> <p>Objectives: Create a means to communicate the uses and consumption of water on the farm Activities: Manage meetings / generate methodology Indicator: meeting executed / meeting planned and methodology created Desired outcome: good water governance / Water balance Measurement: 1 meetings / 1 methodology Monitoring: by percentage of progress Terms: annual Budget: valued in dollars Positions of those responsible for the actions and the achievement of the objectives: YES Relate to each objective and the achievement of best practices: YES Advance 2022: does not apply Program 2023: 1 meeting and 1 methodology</p> <p>Objectives: Obtain WASH information from workers' homes Activities: Surveys Indicator: survey carried out / worker number Desired outcome: Water quality / WASH Measurement: number of surveys Monitoring: by percentage of progress Terms: annual Budget: valued in dollars Positions of those responsible for the actions and the achievement of the objectives: YES Relate to each objective and the achievement of best practices: YES Advance 2022: 17.14% Program 2023: 1 meeting and 1 methodology</p> <p>Objectives: Maintain and improve the AIRA of the site Activities: conservation of the area (bank of the Carrizal river) / maintain the forest within the farm / maintain the lagoon</p>
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Indicator: compliance with plans
Desired result: AIRA / Water quality
Measurement: number of surveys
Monitoring: by percentage of progress
Terms: annual
Budget: valued in dollars
Positions of those responsible for the actions and the achievement of the objectives: YES
Relate to each objective and the achievement of best practices: YES
Progress 2022: 100%
Program 2023: 1 meeting and 1 methodology

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.*


Obs.

Comment Plan document to mitigate or adapt to risks / October 2022 (Document 2 4 1 - 1)
The methodology analyzes the risks:
• Shortages / Use of water necessary for irrigation (through evapotranspiration and precipitation analysis) / EMMAP EP
• Favorable environment / Compliance with legal obligations / Ministry of the Environment and ARCA

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3 STEP 3: IMPLEMENT - Implement the site's stewardship plan and improve impacts
3.1 <i>Implement plan to participate positively in catchment governance.</i>
3.1.1 <i>Evidence that the site has supported good catchment governance shall be identified.</i> ✔ Yes
<p>Comment The site has engaged actively with catchment regulators, public service providers and neighbors' communities to introduce the concept of water stewardship and propose collaborative initiatives, as evidenced by stakeholder interview, emails, presentations, and other material on meetings.</p> <p>Sample: Spaces for dialogue with stakeholders (Document: 3 1 1 - 1 1 Reunión con ESPAM MFL) - FINCA NUEVA ESPERANZA Stakeholder: ESPAM MFL (Higher Polytechnic Agricultural School of Manabí) Meeting on 11-29-2022 The topics covered are verified: algae problems in the reservoir of the Esperanza dam and water quality monitors in theses</p>
3.1.2 <i>Measures identified to respect the water rights of others including Indigenous peoples, that are not part of 3.2 shall be implemented.</i> ✔ Yes
<p>Comment FINCA NUEVA ESPERANZA does not limit the right of access to water of other organizations. Surface water use has been available through an ARCA concession since 2014 (Document 3 1 2 - 1). A water consumption equivalent to 91% of the concession is verified in Document 3 1 2 - 2 / Cell F3</p>
3.2 <i>Implement system to comply with water-related legal and regulatory requirements and respect water rights.</i>
3.2.1 <i>A process to verify full legal and regulatory compliance shall be implemented.</i> 🔍 Obs.
<p>Comment FINCA NUEVA ESPERANZA has a legal compliance process (Document 3 2 1- 1) referenced to:</p> <ul style="list-style-type: none"> - Environmental licenses (Document 3 2 1 - 3) - Waste generating records (Document 3 2 1 - 4) - Water concession permits (Document 3 2 1 - 5) - Payments related to water consumption (Emmap-EP Potable Water Company bills) (RAR Folder 3 2 1 - 6) - Payments related to water concessions (ARCA) <p>The Management system provides a methodology for review the compliance with regulatory requirements annually in his Legal matrix (Document 3 2 1 - 1)</p>
3.2.2 <i>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.</i> 🔍 Obs.
<p>Comment The organization does not limit the right of access to water of other organizations. Surface water use is available through an ARCA concession since 2018 (Document 3 2 2 - 1). The organization has made an analysis in which they show that they do not affect to the water consumption of the community (Document 3 2 2 - 2)</p>
3.3 <i>Implement plan to achieve site water balance targets.</i>

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3.3.1	<i>Status of progress towards meeting water balance targets set in the water stewardship plan shall be identified.</i>	 Yes
Comment	<p>Objectives: Create a means to communicate the uses and consumption of water on the farm (Document 3 3 1 - 1, row 35) Activities: Manage meetings / generate methodology Indicator: meeting executed / meeting planned and methodology created Advance 2022: email of 12-06-2022 is verified with the delivery of information on 2022 concerns and applied irrigation Status: in progress</p>	
3.3.2	<i>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.</i>	 Yes
Comment	<p>Objective: Not to exceed the water consumption of the risk concession (Document 3 3 2 - 1, row 35) Farm: FINCA NUEVA ESPERANZA</p> <p>Sample: Packing area 1 Concession: 1647656 m3 2021 until week 52: 1502188 m3 / 91.17% 2022 until week 46: 1477758 m3 / 89.7% Status: Accomplish</p>	
3.3.3	<i>Legally-binding documentation, if applicable, for the re-allocation of water to social, cultural or environmental needs shall be identified.</i>	 Yes
Comment	<p>There is no legally binding document that obliges the organization to reallocate water to social, cultural, or environmental needs.</p>	
3.4	<i>Implement plan to achieve site water quality targets</i>	
3.4.1	<i>Status of progress towards meeting water quality targets set in the water stewardship plan shall be identified.</i>	 Yes
Comment	<p>Objectives: maintain contact with public entities and universities to identify opportunities related to water quality (Document 3 4 1 - 1, row 12) Activities: Manage meetings / Execution of analyzes Advance 2022: execution of 1 meeting with ESPAM MFL (Escuela Superior Politécnica Agropecuaria de Manabí) on 11-29-2022. The topics covered are verified: algae problems in Embale de la Esperanza and water quality monitors in thesis. Physicochemical and microbiological analyzes of discharges and collection sources are verified Status: in progress</p>	
3.4.2	<i>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.</i>	 Obs.
Comment	<p>Because water quality is a shared challenge, FINCA NUEVA ESPERANZA has not identified or quantified best practices regarding site effluents</p>	
3.5	<i>Implement plan to maintain or improve the site's and/or catchment's Important Water-Related Areas.</i>	
3.5.1	<i>Practices set in the water stewardship plan to maintain and/or enhance the site's Important Water-Related Areas shall be implemented.</i>	 Yes

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Comment	Objectives: Maintain and improve the IWRA of the site (Document 3 5 1 - 1, row 22) Activities: conservation of the area (bank of the Carrizal river) / maintain the forest within the farm / maintain the lagoon (RAR Folder 3 5 1 - 2) Advance 2022: Identification of vegetative barriers in areas that border the Carrizal river / March 2022 2022 forest clearing record Photographic record of the current state of the lagoon Status: in progress	
3.6	<i>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.</i>	
3.6.1	<i>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.</i>	 Yes
Comment	FINCA NUEVA ESPERANZA has a WASH verification tool for the Nueva Esperanza farm updated to 2022 The organization has identified the following WASH requirements: - Staff hygiene facilities - Sinks - Shower facilities - WASH training - Provision of PPE - Store of PPE - Water availability For 2022 a compliance of 100% of the activities is verified (Document 3 6 1 - 1, sheets 1 to 9) The organization has evidence of - Physicochemical analysis of drinking water Water monitoring: 03-09-2022 / Compliance is verified in accordance with the INEN 1108:2018 standard - Compliance with the number of public toilets and access to hygiene facilities / Photographic evidence is verified according to local legislation DE2393 Also, Adequate WASH facilities are maintained at the Site through robust housekeeping and a Preventive/on-demand maintenance program for water and sanitation (toilets, showers, sinks) facilities.	
3.6.2	<i>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.</i>	 Yes

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Comment	<p>The responsibility for the delivery of drinking water belongs to the Tosagua, Junin, Calceta and Sucre Commonwealth (EMMAP-EP Drinking Water Company). The organization has made an analysis of the quantity of water used vs the water treated for the EMMAP-EP, the result shows that FINCA NUEVA ESPERANZA does not impinging on the human right to safe water. (Document 3 6 2 - 2)</p> <p>The analysis of compliance with the water concession is verified by 91% for 2021, so the organization does not affect the right to use water or sanitation to its interested parties. (Document 3 6 2 - 1 cell G3)</p> <p>The Site has never received any concerns or complaints from internal or external sources that their operations are impinging on the human right to safe water and sanitation of communities, or that traditional access rights for indigenous and local communities are not being respected.</p>		
3.7	<i>Implement plan to maintain or improve indirect water use within the catchment:</i>		
3.7.1	<i>Evidence that indirect water use targets set in the water stewardship plan, as applicable, have been met shall be quantified.</i>		Yes
Comment	<p>Objectives: Create a means to communicate the uses and consumption of water on the farm (Document 3 7 1 - 1, row 16)</p> <p>Activities: Manage meetings / generate methodology / request for information</p> <p>Evidence Scheduled the request for information for the first semester of 2023</p> <p>Status: in process</p>		
3.7.2	<i>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.</i>		closed
Comment	<p>NC - Evidence of commitment to suppliers and service providers has not been identified</p> <p>Finding No: TNR-002519</p>		
3.8	<i>Implement plan to engage with and notify the owners of any shared water-related infrastructure of any concerns the site may have.</i>		
3.8.1	<i>Evidence of engagement, and the key messages relayed with confirmation of receipt, shall be identified.</i>		Yes
Comment	<p>The site has reviewed water infrastructure plans for the catchment, both for water supply and wastewater management, and has communicated to stakeholders that it does not have any concerns or comments on these plans. Engagement with the stakeholders is ongoing, so that there will be more opportunities to address any common risks such as supply interruptions due to natural hazards such as floodings</p> <p>Sample (Document 3 8 1 - 1):</p> <p>The email of 12-06-2022 to Carlos Pinargote Environmental Technician of EMMAP-EP is verified with the subject of requesting a meeting to address the risk of the state of the Gate of the Estancilla reservoir.</p> <p>Received: by mail on 06-12-2022 from Engineer Carlos Pinargote</p>		
3.9	<i>Implement actions to achieve best practice towards AWS outcomes: continually improve towards achieving sectoral best practice having a local/catchment, regional, or national relevance.</i>		

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3.9.1	<i>Actions towards achieving best practice, related to water governance, as applicable, shall be implemented.</i>	 Yes
Comment	<p>Method: best practices in water governance / Date: October 2022</p> <p>Execution of activities is evidenced:</p> <ul style="list-style-type: none"> - Education and training in conservation of water resources (site activities) / Date: 05-12-2022 / Topic: water resources (Document 3 9 1 - 1) - Collaborative work with universities in the sustainable management of the Chones basin / meeting with ESPAM MFL (Escuela Superior Politécnica Agropecuaria de Manabí) on 11-29-2022. The topics covered are verified: algae problems in Embale de la Esperanza and water quality monitors in thesis. Physicochemical and microbiological analyzes of discharges and collection sources are verified (Document 3 9 1 - 2) - Share irrigation information with the Department of Provincial Irrigation and Drainage / mail from 12-06-2022 with the delivery of information on 2022 concerns and applied irrigation (Document 3 9 1 - 3) <p>Planning for 2023 is verified</p> <ul style="list-style-type: none"> - Activities that help the conservation and protection of water quality in the basin - Share rainfall information with GD Tosagua and the Parish Council 	
3.9.2	<i>Actions towards achieving best practice, related to targets in terms of water balance shall be implemented.</i>	 Yes
Comment	<p>Method: best practices water balance / Date: October 2022</p> <p>Execution of activities is evidenced:</p> <ul style="list-style-type: none"> - Training for internal staff / Date: 05-12-2022 / Topic: water resources (Document 3 9 2 - 1) - Development of a water consumption control platform / WATER BASE document is verified, which records irrigation and packaging water consumption (Document 3 9 2 - 2) <p>Planning for 2023 is verified</p> <ul style="list-style-type: none"> - Change of efficient sprinklers - Recirculation of process water in the packing plant 	
3.9.3	<i>Actions towards achieving best practice, related to targets in terms of water quality shall be implemented.</i>	 Yes
Comment	<p>Method: best water quality practices / Date: October 2022</p> <p>Execution of activities is evidenced:</p> <ul style="list-style-type: none"> - Monitoring of water quality in the area of influence upstream / Monitoring of water from 08-10-2022 (Document 3 9 3 - 1 1 & 3 9 3 - 1 2) - Conservation of trees along the canal to avoid contamination by water waste / The document of November 2022 is verified with the linear meters planted with trees. There is an advance of 76.4% <p>Planning for 2023 is verified</p> <ul style="list-style-type: none"> - Maintenance of the enclosure along the canal to avoid contamination by waste water 	
3.9.4	<i>Actions towards achieving best practice, related to targets in terms of the site's maintenance of Important Water-Related Areas shall be implemented.</i>	 Yes

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Comment Method: best practices related to AIRA maintenance / Date: October 2022

Execution of activities is evidenced:

- Internal

Preserve the natural state of the Finca Forest and natural regeneration area / Record of cleaning of areas around the forest of 2022 (Document 3 9 4 - 1)

Preserve the natural state of the flora and fauna of the area adjacent to the river / Identification of vegetative barriers in areas adjacent to the Carrizal river / March 2022 (Document 3 9 4 - 1)

Planning for 2023 is verified

- External

Coordinate meetings with the university for data analysis and visits to the dam to verify state of conservation and potential challenges

3.9.5 *Actions towards achieving best practice related to targets in terms of WASH shall be implemented.*



Yes

Comment Method: WASH best practices / Date: October 2022

Execution of activities is evidenced:

- Training of workers and employees on WASH / Date: 06-12-2022 / Training of personal hygiene (Document 3 9 5 - 1)
- Carry out a survey to obtain WASH data from workers in their homes / the survey and an application of 17.14 to workers are verified. (Document 3 9 5 - 2 1 & Document 3 9 5 - 2 2)

Planning for 2023 is verified

- Install our own water treatment plant for human consumption on the farm /
- Conduct a survey to obtain WASH data from communities

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4 STEP 4: EVALUATE - Evaluate the site's performance.	
4.1	<i>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.</i>
4.1.1	<i>Performance against targets in the site's water stewardship plan and the contribution to achieving water stewardship outcomes shall be evaluated.</i> ✓ Yes
Comment	Responsibilities for progress against targets in the Water Stewardship Plan, anticipated completion dates, percent completed, actions taken, and contributions to the 5 AWS outcomes are recorded in an evaluation data sheet (last updated Oct 2022). (Document 4 1 1 - 1)
4.1.2	<i>Value creation resulting from the water stewardship plan shall be evaluated.</i> ✓ Yes
Comment	It is verified that the organization is pending to execute the financial closure of the year 2022 in the month of April 2023 for tax reasons. A methodology for creating environmental and social value is verified within the water management plan for each indicator
4.1.3	<i>The shared value benefits in the catchment shall be identified and where applicable, quantified.</i> 🚧 in progress
Comment	<p>The evaluation data sheet also includes indicators for Value Creation for Catchment and Catchment Stakeholders, including financial benefit, improved natural capital, ecosystem services, and improved long-term water security. This will be determined upon completion of each target in the Water Stewardship Plan</p> <p>A document is verified in which the shared benefits of the basin are indicated (Document 4 1 3 - 1):</p> <ul style="list-style-type: none"> - Generation of strategic alliances with the University, Water Company EMMAP-EP, and communities to obtain information - Identification of needs related to WASH <p>Finding No: TNR-003204</p>
4.2	<i>Evaluate the impacts of water-related emergency incidents (including extreme events), if any occurred, and determine the effectiveness of corrective and preventative measures.</i>
4.2.1	<i>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.</i> 🔍 Obs.
Comment	It is indicated by the audited team that there have been no accidents or incidents related to their emergency situations in 2022
4.3	<i>Evaluate stakeholders' consultation feedback regarding the site's water stewardship performance, including the effectiveness of the site's engagement process.</i>
4.3.1	<i>Consultation efforts with stakeholders on the site's water stewardship performance shall be identified.</i> ✓ Yes

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Comment The site plans to engage stakeholders at least annually, to seek feedback on the site's performance, including the effectiveness of its engagement process. This engagement will be documented and will also be used to seek input on water challenges and recommended updates to the Water Stewardship Plan.

Consultations are verified in 2022 (Document 4 3 1 - 1) with:
- ESPAM MFL (Higher Polytechnic Agricultural School of Manabí)
- Drinking water company / EMMAP-EP
- Local communities
Issues related to watershed management and WASH are reviewed

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

Comment It does not apply as it is the first sustainable management plan of the organization defined for 2022 to 2023. The planning of the modifications for the period 2024 is verified. The Plan and associated information will be maintained as Controlled Document(s) in the Site's Document Control System (ISO management system). Relevant information and feedback from the evaluation will be incorporated as updates to the Plan to ensure continuous improvement objective. Revisions made will be identified at the end of the controlled version of the document.

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5	STEP 5: COMMUNICATE & DISCLOSE - Communicate about water stewardship and disclose the site's stewardship efforts	
5.1	<i>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.</i>	
5.1.1	<i>The site's water-related internal governance, including positions of those accountable for compliance with water-related laws and regulations shall be disclosed.</i>	 in progress
Comment	<p>Positions responsible for compliance with water-related regulation and governance are identified on Water Stewardship Plan. Also, there is an induction process with information of local governance.</p> <p>A talk of 01-11-2022 is verified with the description of positions and responsibilities within the organization (Document 5 1 1 - 1)</p> <p>The identification of the position and responsibilities for compliance with laws are defined in the legal matrix SGI 2022 (Document 5 1 1 - 2, column N)</p> <p style="text-align: right;">Finding No: TNR-003206</p>	
5.2	<i>Communicate the water stewardship plan with relevant stakeholders.</i>	
5.2.1	<i>The water stewardship plan, including how the water stewardship plan contributes to AWS Standard outcomes, shall be communicated to relevant stakeholders.</i>	 closed
Comment	<p>The Water Stewardship Plan including initial information on how it contributes to AWS Standard outcomes were shared with relevant stakeholders via meetings.</p> <p>NC - However, according to the stakeholder meetings, The Water Stewardship Plan has not been communicated to them. Also, FINCA NUEVA ESPERANZA has not published his Stakeholder Announcement</p> <p style="text-align: right;">Finding No: TNR-002521</p>	
5.3	<i>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.</i>	
5.3.1	<i>A summary of the site's water stewardship performance, including quantified performance against targets, shall be disclosed annually at a minimum.</i>	 Obs.
Comment	<p>The organization has not yet completed the first period of water management, so it does not apply.</p> <p>The site plans to annually prepare or update a Water Stewardship Summary presentation, and disclose it by the end of the first quarter of the calendar year, tentatively during on-site meetings with stakeholders.</p>	
5.4	<i>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.</i>	
5.4.1	<i>The site's shared water-related challenges and efforts made to address these challenges shall be disclosed.</i>	 Yes
Comment	<p>Meeting of 05-12-2022 with Carlos Pinargote, Environmental Technician of EMMAP-EP, with the subject of risk analysis of the state of the Gate of the Estancilla reservoir is verified</p>	

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5.4.2	<i>Efforts made by the site to engage stakeholders and coordinate and support public-sector agencies shall be identified.</i>	 Yes
Comment	<p>The document efforts made by the site of 01-11-2022 with the activities is verified (Document 5 4 2 - 1):</p> <ul style="list-style-type: none"> - Meetings with interested parties - Issues - Action plans 	
5.5	<i>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.</i>	
5.5.1	<i>Any site water-related compliance violations and associated corrections shall be disclosed.</i>	 Yes
Comment	<p>As indicated by the audited team, there have been no breaches related to water regulations in 2022. It is verified in the environmental compliance audits that there are no communications related to non-compliance in legal matters. In addition, the audited stakeholders indicate that they have not filed any type of complaint related to the use and management of water by FINCA NUEVA ESPERANZA.</p>	
5.5.2	<i>Necessary corrective actions taken by the site to prevent future occurrences shall be disclosed if applicable.</i>	 Yes
Comment	<p>In general, a Complain or equivalent issued by a regulatory agency does require a written response – among other items it requires information on corrective actions taken to prevent future occurrences. Moreover, FINCA NUEVA ESPERANZA management system require violations to be entered in the internal corrective action process.</p>	
5.5.3	<i>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.</i>	 Yes
Comment	<p>According to the local legislation, a method of presenting evidence and treatment of the complaint must be presented within 10 days after your notification. As indicated by the audited team, there have been no breaches related to water regulations in 2022</p>	

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Photographic Evidence from Audit

✓
Yes



Poza (Artificial Lagoon) / Limited on the map of Agrícola del Pacífico to the south of the adjoining farm at 1721m

Picture16.jpg



Superficial Water Infrastructure

IMG_20221207_102108.jpg



Dangerous Waste Storage Area

Picture14.jpg



Iwra - Rio Carrizal (Adjoining Part to the farm) / Limited on the map of Finca Nueva Esperanza adjoining to the south at 725m

IMG_20221207_102108.jpg

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Organic fertilizer production area (Compost)

Picture7.jpg



Patrimonio Forest / inside the Nueva Esperanza farm with a dimension of 4 ha

IMG_20221207_110628.jpg

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Infrastructure for pumping surface water

Picture11.jpg



Water drain infrastructure

Picture13.jpg

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Country bathroom (Located in lot 18)

IMG_20221207_111251.jpg



La Estancilla reservoir gate (shared infrastructure)

IMG_20221207_102846.jpg

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Water drain pumping system

Picture17.jpg



Diesel storage tank

Picture12.jpg