

CERTIFICATION REPORT

Alliance for Water Stewardship (AWS)



Audit Number: AO-001455

SITE DETAILS

Site: **Union de Bananeros Ecuatorianos S.A. (UBESA)**
Address: Av. Las Monjas # 10 y Av. Carlos Julio, Arosamena, ECUADOR
Contact Person: Sergio Calero
AWS Group Reference Number: AWS-G-000002
Site Structure: Group Site

CERTIFICATION DETAILS

Certification status: Certified Core
Date of certification decision: 2025-Jun-19
Validity of certificate: 2028-Jun-18

AUDIT DETAILS

Audited Service(s): AWS Standard v2.0 (2019)
Audit Type(s): Re-Certification Audit
Audit Start Date: 2025-Feb-10
Audit End Date: 2025-Feb-14
Lead Auditor: Juan Carlos Cerón Vinueza
Audit team participants:
Juan Carlos Cerón, Lead Auditor

Site Participants:
Javier Castro, Certifications Analyst
Carlos Espinoza, Certifications Analyst
Betel Mori Clement, Certifications Manager
Hector Galeas, Farm Manager
Manuel Andrade, Farm Administrator
Sergio Calero, Certification Analyst
Jose Velez, Head of Irrigation
Luis Coello, Warehouse Responsible
Delia Leon, Plant Manager
Franklin Leon, Warehouse responsible

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ADDITIONAL INFO

Summary of Audit Findings: During the re-certification audit, 6 major non-conformities, 19 minor non-conformities, and 1 observation were raised. Major non-conformities were related to the management requirements for Groups, repeat issues (previous minor non-conformities that were not resolved), and lack of evidence on the progress against targets.

The Client is requested to perform a root cause analysis and define corrective actions for each of the non-conformities and to submit these to WSAS within 30 days of receipt of the audit report by 14/05/2025.

The major non-conformities must be closed within 90 days of receipt of the report. In order to meet this timeline evidence is to be submitted to WSAS (within 75 days) by 28/06/2025.

Minor non-conformities must be closed out by the time of the next annual audit.

The audit team recommends re-certification of Union de Bananeros Ecuatorianos S.A. (UBESA) at Core level pending approval of the corrective actions plan for all non-conformities and closure of the major non-conformities.

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 recertification audit for assessing conformity of Union de Bananeros Ecuatorianos S.A. (UBESA) multisite against the AWS International Water Stewardship Standard Version 2.

The Union of Ecuadorian Banana Producers S.A. (Ubesa) was established in September 1958 and its headquarters are in the city of Guayaquil, Av. Las Monjas No. 10. The company belongs to the DOLE Ecuador group (Corporación DOLE Food Company), a corporation that produces and markets more than of 170 fresh fruits and vegetables. In 1990, the company Unión de Bananeros Ecuatorianos S.A. definitively assumed the role of sole representative of DOLE in the country. UBESA sells bananas, pineapple, plantains, purple, mango and cucumber. It exports its products to the United States, Europe, Asia and the Middle East. For its AWS certification UBESA Group is formed by the group of companies: Megabanana S.A. (Finca María Jose and Finca Banaloli), Zampoti S.A. which includes Sociedad Agropecuaria Pimocha S.A. (Finca Elba and Finca Lola), Banaroyal S.A. (Finca Blanca Rosa and Finca Isabel María).

A brief description of the farms that make up the group is presented below:

- BLANCA ROSA is a banana farm with a total area of 338 hectares, of which 322 hectares are in production. It is in the province of Los Rios, Municipality of Quevedo, San Juan Parish, E25 km 7.5 av approximately 75 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

- 1 sectors of "Musa acuminata" banana plantations
- 1 banana packing areas
- Storage areas for chemicals and 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.

Employees: 192

- ISABEL MARIA is a banana farm with a total area of 319 hectares, of which 247.62 hectares are in production. It is in the province of Los Rios, Municipality of Quevedo, San Juan Parish, E25 km 7.5 av approximately 75 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

- 3 sectors of "Musa acuminata" banana plantations
- 3 banana packing areas
- Storage areas for chemicals and 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.

Employees: 285

- MARIA JOSE is a banana farm with a total area of 589 hectares, of which 374 hectares are in production. It is in the province of Los Rios, Municipality of Babahoyo, Santa Rita Sector, Km 8.5 Via Babahoyo - San Juan, approximately 50 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

- 1 sectors of "Musa acuminata" banana plantations
- 2 banana packing areas
- Storage areas for chemicals and 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.

Employees: 335

- BANALOLI is a banana farm with a total area of 338 hectares, of which 288 hectares are in production. It is in the province of Los Rios, Municipality of Babahoyo, Puente Cana Sector, Km 7.5

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Via Babahoyo - San Juan, approximately 50 km from the city of Guayaquil
The site has the following general infrastructure for its production processes:

- 1 sectors of "Musa acuminata" banana plantations
- 2 banana packing areas
- Storage areas for chemicals and 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.

Employees: 269

- LOLA is a banana farm with a total area of 228.56 hectares, of which 209.52 hectares are in production. It is in the province of Los Rios, Municipality of Babahoyo, Cuatro Varas Sector, Km 25 Via Babahoyo - San Juan, approximately 50 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

- 1 sectors of "Musa acuminata" banana plantations
- 1 banana packing areas
- Storage areas for chemicals and 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.

Employees: 213

- ELBA is a banana farm with a total area of 387 hectares, of which 327 hectares are in production. It is in the province of Los Rios, Municipality of Babahoyo, Cuatro Varas Sector, Km 8.5 Via Babahoyo - San Juan, approximately 50 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

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

Employees: 279

UBESA Group is formed by the group of companies: Megabanana S.A. (Finca María Jose and Finca Banaloli), Zampoti S.A. (Finca Elba and Finca Lola) and Banaroyal S.A. (Finca Blanca Rosa and Finca Isabel María) which are in Guayas River Basin. The Guayas River basin is located between the provinces of Los Ríos, Guayas, Cotopaxi, Bolívar, Manabí, Cañar, Chimborazo and Santo Domingo, in the western center of Ecuador. It limits to the north with the basin of the Esmeraldas River; to the south with the river basins Zapotal, Taura, Canar and Santiago; to the east with the basins of the Esmeraldas and pasta; and to the west with the Jama, Chone, Portoviejo and Jipijapa basins. they stretch out between the parallels 00° 14' S, 02° 27' S and the meridians 78° 36' W, 80° 36' W. The Guayas basin belongs to the Western slope, it constitutes the most of the southwestern Pacific coast, it is made up of seven sub-basins¹ whose drainage network is born in the western foothills of the Andes Mountains and on the eastern slope of the Chongón-Colonche Coastal Range that makes up the rivers Daule and Babahoyo, which join their flows 5 kilometers before the city of Guayaquil giving rise to the Guayas River which has a length of 93 km from La Puntilla in the province of Guayas to Punta Arenas on Isla Puná (estuary) to flow to the Pacific Ocean in the Gulf of Guayaquil (INOCAR, 2010). Its width fluctuates between 1.5 km and 3 km, except at the height of the city of Guayaquil where It is divided into 2 branches that border Santay Island with a width of 5 km, its depth varies between 5 m and 12 m compared to MLWS². The Guayas River annually discharges 30 thousand million m³ of water, the abundant availability of the water resource reaches 8,847 m³/hb/year, being higher than the world average of 6,783 m³/hb/year. (INOCAR, 2010). Their Flow varies according to the season, in the dry season the average flow is 230 m³/sec, while in the wet season it is more than 1,500 m³/sec (ESPOL, 2000)

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The audit was conducted onsite on 10-02-2025 to 14-02-2025.

The onsite site visit included the assessment of four banana plantation farm (Elba, Lola, Isabel Ma. and Blanca Rosa) in which has been visited the following infrastructure: water extraction well, water catchment facilities, water purification area, product packing area, 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:

- Neibolt Calero Garcia / Provincial Government of Los Rios / Provincial Director of Environmental Management / Environmental Regulator / Authorization: YES
- Vicente Ortiz / GAD Pueblo Viejo / Environmental Coordinator GAD Pueblo Viejo / Environmental Regulator / Authorization: YES
- Juana Icaza Monserrath / La Pax Community / Representative of the La Paz community / Neighbor / Authorization: YES

FINDINGS

Observation	1
Minor	19
Major	6

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FINDING DETAILS

Finding No: TNR-016908
Checklist Item No: 0.3.2.1
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2026-Feb-10
Checklist item: The group shall operate an Internal Control System (ICS) which meets the requirements of the AWS Standard and AWS certification requirements.
Findings: The UBESA Groups has not presented a management system for the control of the AWS standard requirements
Corrective action: Include the 6 farms in the Group's Integrated Management System.
Specific data to develop:
* Create the organizational chart of the UBESA-AWS Group (SGID803).
* Prepare a document listing the members of the UBESA-AWS Group (SGID804) with corresponding details.

Finding No: TNR-016527
Checklist Item No: 0.3.2.2
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2026-Feb-10
Checklist item: The ICS shall include:
a) a documented set of procedures covering group processes;
b) a detailed description of how production units are structured;
c) appropriate procedures for maintenance of records;
d) records from internal audits of production units; and
e) a description of the responsibilities of staff of production units and ICS.
Findings: The site has not presented evidence of a detailed description of how production units are structured.
Corrective action: Include the 6 farms in the Group's Integrated Management System.
Specific data to develop:
* Prepare a document listing the members of the UBESA-AWS Group (SGID804) with corresponding details.
* Restructure the "UBESA-AWS Group Membership Agreement" document (SGID802) based on the Management Plan.

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Finding No: TNR-016528
Checklist Item No: 0.3.2.3
Status: Closed
Finding level: Minor
Due date: 2026-Feb-10
Checklist item: The ICS shall identify the applicable AWS Standard and define procedures and sanctions for dealing with non-conformities resulting from internal audits.
Findings: The group has not defined sanctions for dealing with non-conformities resulting from internal audits.
Corrective action: Include a "Sanctions for UBESA-AWS Group Members" clause (SGIF08P06) in the SGID802 UBESA-AWS Group Membership Agreement document.

Finding No: TNR-016529
Checklist Item No: 0.3.4.3
Status: Closed
Finding level: Major
Due date: 2025-Jul-13
Checklist item: The AWS Group Manager shall keep the following information up to date:
a) Copies of contracts between the group and individual group members;
b) group member list;
c) maps of sites and property areas;
d) internal audit reports;
e) non-conformities (both minor and major), sanctions and follow-up action arising from both internal audits and external audits; and
f) complaints and appeals (to group management, the CAB, or AWS directly).
Findings: The AWS Group Manager has not provided evidence of:
a) Copies of contracts between the group and individual group members;
b) List of the group members;
D) Audit record of Elba, Lola, maria Jose and Blanca Rosa
Corrective action: * Prepare a "Certification and Maintenance Contract for the AWS Standard" (SGID805), signed by those involved.
* Prepare a document listing the members of the UBESA-AWS Group (SGID804) with corresponding details.
* Conduct internal audits for all farms in the Group and prepare the corresponding audit report.

Evidence of implementation: Evidence attached

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Finding No:	TNR-016530
Checklist Item No:	0.3.4.4
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
Checklist item:	The internal audits shall be conducted with sufficient scope and detail to provide group management with a robust appraisal of whether or not each group member continues to maintain conformity with the AWS Standard and certification requirements
Findings:	The group has not presented information of internal audits of Elba, Lola, maria Jose and Blanca Rosa
Corrective action:	<ul style="list-style-type: none">* Complete and submit the internal audit information for all 6 farms of the UBESA Group. Ensure reports are delivered and documented.* Report non-conformities for both internal and external audits in the "NCAP Matrix (SGID806).
Finding No:	TNR-016531
Checklist Item No:	0.3.4.5
Status:	Closed
Finding level:	Major
Due date:	2025-Jul-13
Checklist item:	Each member of the group shall be internally audited on at least once per year.
Findings:	The group has not presented information of internal audit of Elba, Lola, maria Jose and Blanca Rosa .
Corrective action:	<ul style="list-style-type: none">* Complete and submit the internal audit information for all 6 farms of the UBESA Group. Ensure reports are delivered and documented.* Report non-conformities for both internal and external audits in the "NCAP Matrix (SGID806).* Apply the sanctions procedure in case of non-attention to non-conformities.
Evidence of implementation:	Evidence attached

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Finding No: TNR-016533
Checklist Item No: 0.3.4.7
Status: Closed
Finding level: Major
Due date: 2025-Jul-13
Checklist item: The AWS Group Representative shall perform an annual review of the status of all members of the group and shall take a decision as to continuing membership of each member. This decision shall be based on internal audits and other information.
Findings: No annual review has been presented.
Corrective action: * Conduct an annual performance and compliance review, documenting evidence in the "Management Review" record SGIF01R003.
*Details are provided in the Integrated Management Manual SGID100.

Finding No: TNR-016534
Checklist Item No: 0.3.4.10
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2026-Feb-10
Checklist item: All group members shall be recorded on a list. The list of group members shall be updated annually or more often if necessary and shall include at least the following information for each member:
a) name of the member or code assigned to the member;
b) location
c) the nature (product types) and volume of production (units);
d) volume of water use (inputs and outputs) specify units;
e) Group membership status (including any non-conformities and corrective action plans);
f) date(s) of most recent internal audit;
g) date(s) of most recent external audit; and
h) any other group-specific information as may be needed.
Findings: No list has been presented.
Corrective action: Prepare a document listing the members of the UBESA-AWS Group (SGID804) with corresponding details, including the requirements of section 5.5.10 of the ALLIANCE FOR WATER STEWARDSHIP (AWS) CERTIFICATION REQUIREMENTS Version 3.1 dated October 25, 2023.

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Finding No:	TNR-017690
Checklist Item No:	1.2.1
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
Checklist item:	Stakeholders and their water-related challenges shall be identified. The process used for stakeholder identification shall be identified. This process shall: <ul style="list-style-type: none">- Inclusively cover all relevant stakeholder groups including vulnerable, women, minority, and Indigenous people;- Consider the physical scope identified, including stakeholders, representative of the site's ultimate water source and ultimate receiving water body or bodies;- Provide evidence of stakeholder consultation on water-related interests and challenges;- Note that the ability and/or willingness of stakeholders to participate may vary across the relevant stakeholder groups;- Identify the degree of stakeholder engagement based on their level of interest and influence.
Findings:	From the records it is not sufficiently clear how the group has consulted stakeholders on their water-related challenges. This is also supported by the stakeholder interviews made by the audit team.
Corrective action:	Conduct meetings with stakeholders on water-related challenges and prepare the corresponding minutes.
Finding No:	TNR-017183
Checklist Item No:	1.3.4
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
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:	The site has not quantified annual, and where appropriate, seasonal, high and low variances.
Corrective action:	Carry out the quantification of water quality from the water source(s), supplied water, wastewater and receiving water bodies, along with monitoring of annual/seasonal variations and taking the missing sources in the receiving water bodies (Estero Cadena, Río Puebloviejo, Estero Convento).

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Finding No: TNR-016548

Checklist Item No: 1.3.6

Status: In Progress - CA plan approved

Finding level: Minor

Due date: 2026-Feb-10

Checklist item: On-site Important Water-Related Areas shall be identified and mapped, including a description of their status including Indigenous cultural values.

Findings: A description of the Important Water Related Area status and threats is not available. Also the site has not mapped the Important Water-Related Areas.

Corrective action:
* Prepare a map identifying all water-related important areas of the UBESA-AWS Group.
* Detail the indigenous cultural values of the Elba farm in document 1.3.6 (Areas of Hydrological Importance at UBESA AWS Farms 2024).

Finding No: TNR-016551

Checklist Item No: 1.5.2

Status: In Progress - CA plan approved

Finding level: Minor

Due date: 2026-Feb-10

Checklist item: Applicable water-related legal and regulatory requirements shall be identified, including legally-defined and/or stakeholder-verified customary water rights.

Findings: The group did not demonstrate how it researched whether there are any customary water rights in the area.

Corrective action:
* Gather information on customary rights in the area of influence of the UBESA-AWS Group farms.
* If they exist, include customary rights in the legal matrix.

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Finding No:	TNR-016552
Checklist Item No:	1.5.4
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
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:	Site has not identified information of Water quality, including physical, chemical, and biological status, of the catchment. For Guayas river, there is no evidence of the estimation of the maximum and minimum annual variations. This finding is repeated from SV2.
Corrective action:	Conduct a study during the second half of 2025 to update the water quality assessment of the Babahoyo River sub-basin, covering all three components: physical, chemical, and biological.
Finding No:	TNR-016554
Checklist Item No:	1.5.7
Status:	In Progress - CA plan approved
Finding level:	Observation
Checklist item:	The adequacy of available WASH services within the catchment shall be identified.
Findings:	The site may update its WASH-related information with the latest census from 2021
Corrective action:	Update the criterion information with data from the latest census published by INEC.

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Finding No:	TNR-016555
Checklist Item No:	1.6.1
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
Checklist item:	Shared water challenges shall be identified and prioritized from the information gathered.
Findings:	<ul style="list-style-type: none">- Based on information reviewed in step 1 and stakeholder interviews, the following issues appear to be challenges that may not have been considered in the identification of shared water challenges: Water stress in the Basin (Availability of water quantity in the dry months, both in water for human consumption, as well as for animals and irrigation), Access to water (Preservation and maintenance of infrastructure), Waste Management (Reduce the probability of water contamination), and some on-site WASH challenges,- There are insufficient records that shared water challenges were identified by linking the water challenges identified by stakeholders with the site's water challenges identified from the analysis of site and catchment water issues - refer also to the finding on 1.2.1
Corrective action:	Conduct stakeholder meetings to identify and update water-related challenges.
Finding No:	TNR-016556
Checklist Item No:	1.7.1
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
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:	Potential costs and business impacts from water risks have not been identified.
Corrective action:	Conduct a proper identification of potential costs and commercial impact of water risks on the site.

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Finding No:	TNR-016561
Checklist Item No:	2.3.2
Status:	Closed
Finding level:	Major
Due date:	2025-Jul-13
Checklist item:	A water stewardship plan shall be identified, including for each target: <ul style="list-style-type: none">- 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:	Organization has not included activities addressing risk and shared water challenges from the catchment. Also, No evidence was observed to confirm the achievement of the defined targets in the WSP. As this is a repeat finding the non-conformity is a Major one.
Corrective action:	Reformulate the UBESA Group's Water Stewardship Plan, ensuring proper linkage between objectives, indicators, and established goals for each action, supporting each element with corresponding evidence.
Finding No:	TNR-016560
Checklist Item No:	2.4.1
Status:	Closed
Finding level:	Major
Due date:	2025-Jul-13
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:	GRUPO UBESA has not identified a plan to mitigate or adapt to the identified water risks
Corrective action:	NC repeated from past audit. Establish mitigation measures for identified risks in coordination with public sector agencies.

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Finding No:	TNR-016614
Checklist Item No:	3.3.1
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
Checklist item:	Status of progress towards meeting water balance targets set in the water stewardship plan shall be identified.
Findings:	<p>For the targets:</p> <ul style="list-style-type: none">- Optimization of water use in packaging processes Indicator: m3/box / Status: It is verified that the water consumption target of 0.036 m3/box is met only at BANALOLI. The indicator is not met at the other 5 farms in the group- Optimization of water use in packaging processes Indicator: m3/bunch Status: Group does not have information of this indicator
Corrective action:	<ol style="list-style-type: none">1. Correct the irrigation indicator from "m3/bunch" to m3/hectare.2. Correctly determine the consumption indicator for each packing and irrigation farm and include it in the Water Stewardship Plan.
Finding No:	TNR-016615
Checklist Item No:	3.3.2
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
Checklist item:	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.
Findings:	The Group has not implemented an annual target to improve the site's water use efficiency.
Corrective action:	Modify the activity in the Water Stewardship Plan, along with its indicator, to ensure it is achievable and effectively measurable.

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Finding No:	TNR-016617
Checklist Item No:	3.4.1
Status:	Closed
Finding level:	Major
Due date:	2025-Jul-13
Checklist item:	Status of progress towards meeting water quality targets set in the water stewardship plan shall be identified.
Findings:	<p>No evidence was presented on the status of progress meeting water quality targets.</p> <p>According to the WSP:</p> <ul style="list-style-type: none">- Conduct analyses at wastewater entry and exit points annually. Interannual indicator: # of analyses carried out/# of analyses planned. Status: water analysis is a mandatory legal requirement. It is not considered part of the Water Management Plan- The maximum permissible limits for measuring compliance with nitrates have been defined at a stricter value than national legislation. Interannual indicator: # of analyses carried out/# of analyses planned. Status: no evidence of analysis of compliance with nitrates- Verification of non-application in aquatic ecosystem areas through flight impressions. Interannual indicator: # of flight job with passes in ecosystems / # of cycles carried out Status: there is no evidence of analysis of compliance with the indicator- Installation of "protectors" in fertigation sprinklers that are closest to water channels. Interannual indicator: # sprinklers installed/# of sprinklers that need protectors Status: no evidence of compliance analysis of the indicator- No application of agrochemicals of category 1a and 1b (extremely toxic) according to the WHO 2019 list. Interannual indicator: # agrochemicals of category 1a and 1b applied/# of farms Status: no evidence of compliance analysis of the indicator
Corrective action:	Reformulate the UBESA Group's Water Stewardship Plan, ensuring proper linkage between objectives, indicators, and established goals for each action, supporting each element with corresponding evidence.

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Finding No: TNR-016618
Checklist Item No: 3.4.2
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2026-Feb-10
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: UBESA GROUP has not identified continual improvement to achieve best practice for the site's effluent
Corrective action: * Conduct a water quality analysis at the basin level, indicating parameters where there would be a challenge vs. compliance with standard parameters, emphasizing the result of the challenging parameter.
* Review laboratory analyses for parameters outside the standard.
* Update document 1.8.3.

Finding No: TNR-016619
Checklist Item No: 3.5.1
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2026-Feb-10
Checklist item: Practices set in the water stewardship plan to maintain and/or enhance the site's Important Water-Related Areas shall be implemented.
Findings: No evidence was presented on the implementation of practices set in the water stewardship plan to maintain and/or enhance the Important Water-Related Areas.
According to the WSP

- Protection Maintenance of riparian buffer zones.
Interannual indicator: #Existing riparian buffer zones/#scheduled buffer zones
Status: no evidence of compliance analysis of the indicator

- No change in land use, maintain the forested areas of the property, in order to maintain the native species of the area and for water conservation.
Interannual indicator: #deforestation risk map obtained/# of farms in the group
Status: no evidence of compliance analysis of the indicator
Corrective action: * Rethink the indicator for buffer zone protection and maintenance activities.

* Rethink the indicator for the "no land use change" activity:
Proposal: #Forest areas conserved/#group farms.
Present the corresponding evidence.

CERTIFICATION REPORT

Alliance for Water Stewardship (AWS)

Audit Number: AO-001455

Finding No:	TNR-016620
Checklist Item No:	3.6.1
Status:	In Progress - CA plan approved
Finding level:	Minor
Due date:	2026-Feb-10
Checklist item:	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.
Findings:	<p>No evidence was presented on the progress against WASH targets in the plan:</p> <ul style="list-style-type: none">- Training in water resources, waste management and food safety. Interannual indicator: #trained workers in target group/#total workers Status: no evidence of compliance analysis of the indicator- Improve sanitary infrastructure Interannual indicator: #improved infrastructure/#infrastructure needed for improvement Status: no evidence of compliance analysis of the indicator- Change to a biodigester with a higher capacity at the Blanca Rosa farm. Interannual indicator: #biodigesters installed/#biodigesters planned Status: no evidence of compliance analysis of the indicator- Carry out SOL inspections in plants to verify the level of compliance in different areas Interannual indicator: #of SOL inspections carried out/#of SOL inspections planned Status: no evidence of compliance analysis of the indicator
Corrective action:	<p>Provide evidence of the following indicators:</p> <ol style="list-style-type: none">1. Training in water resources, waste management, and food safety. Year-over-year indicator: # of workers trained in the target group / # of total workers2. Improve sanitation infrastructure. Year-over-year indicator: # of improved infrastructure / # of infrastructure needed to improve3. Upgrade to a larger capacity biodigester at the Blanca Rosa farm. Year-over-year indicator: # of biodigesters installed / # of biodigesters planned.4. Conduct SOL inspections at plants to verify the level of compliance in different areas. Year-over-year indicator: # of SOL inspections performed / # of SOL inspections planned.

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Audit Number: AO-001455

Finding No: TNR-016621
Checklist Item No: 3.7.1
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2026-Feb-10
Checklist item: Evidence that indirect water use targets set in the water stewardship plan, as applicable, have been met shall be quantified.
Findings: The site has not quantified indirect water use targets in the water stewardship plan
Corrective action: Include in the WSP an objective related to indirect water use, linked to document 1.4.1.

Finding No: TNR-016622
Checklist Item No: 3.7.2
Status: In Progress - CA plan approved
Finding level: Minor
Due date: 2026-Feb-10
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: UBESA Group has not presented evidence of engagement with service providers.
Corrective action: This is a repeated NC from SV2
Hold a meeting with selected service providers to identify potential sustainable practices for efficient water resource use.

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Audit Number: AO-001455

Report Details

Report	Value
Report prepared by	Juan Carlos Cerón Vinueza
Report approved by	Ozge Gokmen
Report approved on (Date)	11/04/2025

Surveillance

Proposed date for next audit
2026-Feb-10

Comment RC audit was carried out according to the audit plan, the opening meeting of the event was held with staff from the organization in which the guidelines of the process were indicated, the closing meeting was held with staff from the organization in which the findings and next steps were communicated. Throughout the process, the auditor team complied with health and safety issues.

Stakeholder Announcements

Date of publication	Location
01/01/2025	http://www.dole.com.ec/
01/01/2025	Farm entrance door
01/01/2025	WSAS Webpage
01/01/2025	AWS Webpage
Comment	Union de Bananeros Ecuatorianos S.A. (UBESA) has published his Stakeholder Announcement through: - Web Page: http://www.dole.com.ec/ Date: December 2024 (Doc 001 a) - Posting at the plant entrance gate accessible to employees, contractors, suppliers and local community) (Doc 001 b)

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Catchment Information

Catchment Information

Catchment Name

The multi sites are located in Guayas River basin

Water Supply & Discharge Catchment

The six farms are supplied with well water and rainwater. Due to the risk of Fusarium, the organization has suspended the intake of surface water at its locations.

The sites does not discharge water to the enviroment, they control excess of water via drainage

Groundwater Aquifers

According to the information provided by the site, the Guayas River Basin aquifer is recharged by precipitation infiltration and irrigation infiltration with a capacity of 2608 hm3/year.

The site has not provided information regarding the aquifer layers deep and their main features (an OBS has been identified)

Catchment Water Service Providers

No water services has been used by the sites.

Catchment Features

According to the information provided by the client, the basin area is expected to be subject to water shortage or deficit for six to seven months. Areas close to the farm with risk of flooding in the winter months (January to May) have been identified. There are protected areas such as: Abras de Mantequilla Wetlands, Cerro Samanu Protective Forest, Mumbez Guineas, Naranja Pata Protective Forest and the Chimboirazo Wildlife Protection Reserve. No water transfer has been detected between the Guayas River Basin and another basin. The basin has a tropical climate for the most part. In addition, there is intensive use of water for intensive agriculture, livestock, heavy industry and forestry activities.



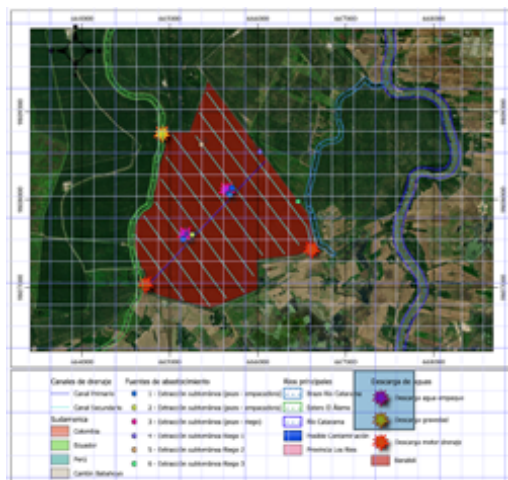
002 Cuenca Guayas.jpg

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Alliance for Water Stewardship (AWS)

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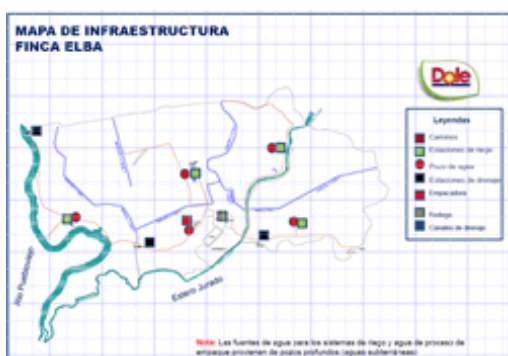
Client Description and Site Details



BANALOLI.png



BLANCA ROSA.png



ELBA.png

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LOLA.png



ISABEL MARIA.png



MARIA JOSE.png

Client/Site Background

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The Union of Ecuadorian Banana Producers S.A. (Ubesa) was established in September 1958 and its headquarters are in the city of Guayaquil, Av. Las Monjas No. 10. The company belongs to the DOLE Ecuador group (Corporación DOLE Food Company), a corporation that produces and markets more than of 170 fresh fruits and vegetables. In 1990, the company Unión de Bananeros Ecuatorianos S.A. definitively assumed the role of sole representative of DOLE in the country. UBESA sells bananas, pineapple, plantains, purple, mango and cucumber. It exports its products to the United States, Europe, Asia and the Middle East. For its AWS certification UBESA Group is formed by the group of companies: Megabanana S.A. (Finca María Jose and Finca Banaloli), Zampoti S.A. which includes Sociedad Agropecuaria Pimocha S.A. (Finca Elba and Finca Lola), Banaroyal S.A. (Finca Blanca Rosa and Finca Isabel María).

A brief description of the farms that make up the group is presented below:

- BLANCA ROSA is a banana farm with a total area of 338 hectares, of which 322 hectares are in production. It is in the province of Los Rios, Municipality of Quevedo, San Juan Parish, E25 km 7.5 av approximately 75 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

- 1 sectors of "Musa acuminata" banana plantations
- 1 banana packing areas
- Storage areas for chemicals and 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.
Employees: 192

- ISABEL MARIA is a banana farm with a total area of 319 hectares, of which 247.62 hectares are in production. It is in the province of Los Rios, Municipality of Quevedo, San Juan Parish, E25 km 7.5 av approximately 75 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

- 3 sectors of "Musa acuminata" banana plantations
- 3 banana packing areas
- Storage areas for chemicals and 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.
Employees: 285

- MARIA JOSE is a banana farm with a total area of 589 hectares, of which 374 hectares are in production. It is in the province of Los Rios, Municipality of Babahoyo, Santa Rita Sector, Km 8.5 Via Babahoyo - San Juan, approximately 50 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

- 1 sectors of "Musa acuminata" banana plantations
- 2 banana packing areas
- Storage areas for chemicals and 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.
Employees: 335

- BANALOLI is a banana farm with a total area of 338 hectares, of which 288 hectares are in production. It is in the province of Los Rios, Municipality of Babahoyo, Puente Cana Sector, Km 7.5 Via Babahoyo - San Juan, approximately 50 km from the city of Guayaquil

The site has the following general infrastructure for its production processes:

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

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The estimated annual production of the farm in boxes of bananas for export is confidential.
Employees: 269

- LOLA is a banana farm with a total area of 228.56 hectares, of which 209.52 hectares are in production. It is in the province of Los Rios, Municipality of Babahoyo, Cuatro Varas Sector, Km 25 Via Babahoyo - San Juan, approximately 50 km from the city of Guayaquil
The site has the following general infrastructure for its production processes:

- 1 sectors of "Musa acuminata" banana plantations
- 1 banana packing areas
- Storage areas for chemicals and 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.
Employees: 213

- ELBA is a banana farm with a total area of 387 hectares, of which 327 hectares are in production. It is in the province of Los Rios, Municipality of Babahoyo, Cuatro Varas Sector, Km 8.5 Via Babahoyo - San Juan, approximately 50 km from the city of Guayaquil
The site has the following general infrastructure for its production processes:

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

Employees: 279

Summary of Shared Water Challenges

Summary of Shared Water Challenges

The following challenges have been identified:

- Lack of information on the quality of water in the basin.
- Lack of conservation, restoration, protection and sustainable use of natural resources

There is a NC identified in this indicator

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0.1 General Requirements for Single Sites, Multi-Sites and Groups	
0.1.1	<i>Eligibility Criteria</i>
0.1.2	
0.1.2.1	<p><i>Have any water source locations and water-related discharge locations been visited during the audit, if so, which and where? If none were visited please provide justification.</i></p> <p>Comment During the site visit, the drainage areas for flood control were visited. The site has not discharged to the environment.</p>
0.1.1.1	<p><i>The site(s) occupy one catchment OR an exception has been granted.</i></p> <p>Comment UBESA Group is formed by the group of companies: Megabanana S.A. (Finca María Jose and Finca Banaloli), Zampoti S.A. which includes Sociedad Agropecuaria Pimocha S.A. (Finca Elba and Finca Lola), Banaroyal S.A. (Finca Blanca Rosa and Finca Isabel María) which are in Guayas River Basin.</p>
0.1.1.2	<p><i>The scope of the proposed certification shall be under the control of a single management system.</i></p> <p>Comment UBESA Group is formed by the group of companies: Megabanana S.A. (Finca María Jose and Finca Banaloli), Zampoti S.A. which includes Sociedad Agropecuaria Pimocha S.A. (Finca Elba and Finca Lola), Banaroyal S.A. (Finca Blanca Rosa and Finca Isabel María) which operates under a single management system controlled by the Certifications Manager</p>
0.1.1.3	<p><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></p> <p>Comment UBESA Group is formed by the group of companies: Megabanana S.A. (Finca María Jose and Finca Banaloli), Zampoti S.A. which includes Sociedad Agropecuaria Pimocha S.A. (Finca Elba and Finca Lola), Banaroyal S.A. (Finca Blanca Rosa and Finca Isabel María) which are dedicated to the cultivation and packaging of Cavendish-type bananas. Water management, product range, and the main market structures are homogeneous.</p>

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0.3	Requirements for Groups	
0.3.1	Group Management Requirements	
0.3.1.1	<i>The management of the group shall be clearly defined.</i>	 Yes
Comment	The site has defined an organizational chart in which Mr Sergio Calero is the person in charge of the AWS Certification for the group (Sr Certification Analyst).	
0.3.1.2	<i>The group shall identify the person with overall management responsibility for the group.</i>	 Yes
Comment	The UBESA Membership agreement is verified, in which the management structure can be verified for all the farms belonging to the group (Doc 0312). In the chart Mr Sergio Calero is the person in charge of the AWS Certification for the group (Sr Certification Analyst)	
0.3.1.3	<i>The group shall nominate an 'AWS Group Representative' who assumes overall responsibility for the group's implementation of and compliance with the AWS Standard and AWS certification requirements and serves as the primary contact for AWS communications.</i>	 Yes
Comment	The UBESA Membership agreement is verified, in which the management structure can be verified for all the farms belonging to the group (Doc 0313). In the chart Mr Sergio Calero is the person in charge of the AWS Certification for the group (Sr Certification Analyst)	
0.3.1.4	<i>The Group Management shall have clearly defined responsibilities.</i>	 Yes
Comment	The UBESA Membership agreement is verified, in which the responsibilities for the group has been identified (Doc 0314).	
0.3.2	Group Internal Control System	
0.3.2.1	<i>The group shall operate an Internal Control System (ICS) which meets the requirements of the AWS Standard and AWS certification requirements.</i>	 in progress
Comment	The UBESA Groups has not presented a management system for the control of the AWS standard requirements.	
	Finding No: TNR-016908	
0.3.2.2	<i>The ICS shall include:</i> a) a documented set of procedures covering group processes; b) a detailed description of how production units are structured; c) appropriate procedures for maintenance of records; d) records from internal audits of production units; and e) a description of the responsibilities of staff of production units and ICS.	 in progress


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Comment The UBESA Groups has a ISC that includes:
a) a documented set of procedures covering group processes; (Doc 0322 a) // The group has presented a description of Banana Production and Packaging on Own Farms.
b) a detailed description of how production units are structured; (not presented)
c) appropriate procedures for maintenance of records; (Doc 0322 c) // The site has presented a Procedure to Establish the controls exercised over the documents of the Integrated Management System of Unión de Bananeros Ecuatorianos S.A. UBESA.
d) records from internal audits of production units; (Doc 0322 d) // The site has presented a Procedure to Establish the responsibilities and requirements for the planning, execution, reporting of results, monitoring and maintenance of auditor records for internal audits of the Integrated Management System, as well as the attention and resolution of published results by the audited parties.
e) a description of the responsibilities of staff of production units and ICS. (Doc 0322 e) // The site has introduced an Integrated Management System Manual outlining staff roles and responsibilities for AWS issues.

Finding No: TNR-016527


0.3.2.3 *The ICS shall identify the applicable AWS Standard and define procedures and sanctions for dealing with non- conformities resulting from internal audits.*  closed

Comment The UBESA Groups has identify the applicable AWS Standard and has define procedures for dealing with non- conformities resulting from internal audits.(Doc 0323a) . The group has not defined sanctions for for dealing with non- conformities resulting from internal audits.
Finding No: TNR-016528


0.3.3 *Group Membership Agreement*

0.3.3.1 *Each group member shall indicate their entry into an agreement with group management to coordinate AWS certification as a group (known as the 'Group Membership Agreement').*  Yes

Comment The UBESA Groups has identify a document call UBESA GROUP AGREEMENT (Doc 0331)

0.3.3.2 *Group management shall make sure that each group member understands the implications of entering into the Group Membership Agreement.*  Yes

Comment The UBESA Groups has identify an agreement in which the production director has committed to the requirements to the ASW standard (Doc 0332).

0.3.3.3 *The Group Membership Agreement shall contain at least the following:
a) a commitment by the group member to fulfil the requirements of the AWS Standard
and applicable AWS Certification Requirements;
b) a commitment by the group member to provide the group management with required information in a timely manner;
c) acceptance by the group member of internal and external audits;
d) an obligation for the group member to report non-conformities; and
e) the rights of group management to terminate the membership of any member if continued participation by that member threatens the credibility of the group.*  Yes

Comment The UBESA Groups has identify a document call UBESA GROUP AGREEMENT (Doc 0331) that complies with all requisited of the standard, The documents complies with the commitment by the group member to fulfil the requirements of the AWS Standard and applicable AWS Certification Requirements; a commitment by the group member to provide the group management with required information in a timely manner; acceptance by the group member of internal and external audits; an obligation for the group member to report non-conformities; the rights of group management to terminate the membership of any member if continued participation by that member threatens the credibility of the group.

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0.3.4 Group Member Requirements

0.3.4.1 All Group members shall have an adequate understanding of the AWS Standard and access to the specified requirements determined by the group (Standard and certification requirements). ✔
Yes

Comment UBESA Group is formed by the group of companies: Megabanana S.A. (Finca María Jose and Finca Banaloli), Zampoti S.A. which includes Sociedad Agropecuaria Pimocha S.A. (Finca Elba and Finca Lola), Banaroyal S.A. (Finca Blanca Rosa and Finca Isabel María). As UBESA owns all farms, they have the same access of the AWS Standard and access to the specified requirements determined by the group

0.3.4.2 Records covering the relationship between the group management and group members shall be maintained and kept up to date. ✔
Yes

Comment The UBESA Groups has identify a document call UBESA GROUP AGREEMENT (Doc 0342). The companies in the group belong to UBESA and have the same owner. Therefore, communication is transmitted from the Management to the managers of each company.

0.3.4.3 The AWS Group Manager shall keep the following information up to date: ✔
closed

- a) Copies of contracts between the group and individual group members;
- b) group member list;
- c) maps of sites and property areas;
- d) internal audit reports;
- e) non-conformities (both minor and major), sanctions and follow-up action arising from both internal audits and external audits; and
- f) complaints and appeals (to group management, the CAB, or AWS directly).

Comment The AWS Group Manager has :
a) Copies of contracts between the group and individual group members / Group has not presented evidence
b) List of the group / Group has not presented evidence
c) Maps defined in Document "0343 c"
d) Audit record / The site has presented internal audit report of Banaloli and Isabel Maria. The group has not presented information of Elba, Lola, maria Jose and Blanca Rosa
e) Treatment of NC / Treatment: Pending (Doc 0343 e)
f) Internal Audit Procedure / SGIF01P02 / 1st edition / Date: 04-11-2022, Page 4.5, which indicates that differences are dealt with by the Senior Certification Analyst and Certification Manager

Finding No: TNR-016529

0.3.4.4 The internal audits shall be conducted with sufficient scope and detail to provide group management with a robust appraisal of whether or not each group member continues to maintain conformity with the AWS Standard and certification requirements ✖
in progress

Comment Audit record / The site has presented internal audit report of Banaloli and Isabel Maria. The group has not presented information of Elba, Lola, maria Jose and Blanca Rosa.

Finding No: TNR-016530

0.3.4.5 Each member of the group shall be internally audited on at least once per year. ✔
closed






Comment Audit record / The site has presented internal audit report of Banaloli and Isabel Maria. The group has not presented information of Elba, Lola, maria Jose and Blanca Rosa

Finding No: TNR-016531


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0.3.4.6	New or proposed group members shall always be subject to an internal audit before they may be added to the list of group members.	 Yes
Comment	No New group members has been presented in 2024.	
0.3.4.7	The AWS Group Representative shall perform an annual review of the status of all members of the group and shall take a decision as to continuing membership of each member. This decision shall be based on internal audits and other information.	 closed
Comment	No annual review has been presented	
Finding No: TNR-016533		
0.3.4.8	Safeguards shall be in place to ensure that internal auditors are not unduly influenced in their findings by group management or group members.	 Obs.
Comment	It was challenging to review conformance because insufficient records were presented, as indicated in the finding of Group requirements.	
0.3.4.9	Group members shall have the right to appeal internal audit findings of non-conformity.	 Yes
Comment	Internal Audit Procedure / SGIF01P02 Page 4.5, which indicates that appeals are dealt with by the Senior Certification Analyst and Certification Manager	
0.3.4.10	All group members shall be recorded on a list. The list of group members shall be updated annually or more often if necessary and shall include at least the following information for each member: a) name of the member or code assigned to the member; b) location c) the nature (product types) and volume of production (units); d) volume of water use (inputs and outputs) specify units; e) Group membership status (including any non-conformities and corrective action plans); f) date(s) of most recent internal audit; g) date(s) of most recent external audit; and h) any other group-specific information as may be needed.	 in progress
Comment	No list has been presented	
Finding No: TNR-016534		

Audit Number: AO-001455

1	STEP 1: GATHER AND UNDERSTAND	
1.1	<i>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.</i>	
1.1.1	<i>The physical scope of the site shall be mapped, considering the regulatory landscape and zone of stakeholder interests, including:</i> <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.	<div> Yes</div>

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Comment	<p>GRUPO UBESA has presented maps with detailed information:</p> <p>1- Site boundaries and Basin (Map 111 1 a & Map 111 1 b)</p> <p>For Blanca Rosa</p> <ul style="list-style-type: none">- Water-related infrastructure, including infrastructure on site (Map 111 2 a, Map 111 2 b, Map 111 2 c, Map 111 2 d):- For irrigation: Underground water collection wells (3 for the packing area & 1 irrigation)- Water storage: no applicable- Process wastewater discharges: 1 of packing site and 1 water drains- Wastewater Infrastructure: Septic tanks in the required places with on-site treatment <p>For Isabel Maria</p> <ul style="list-style-type: none">- Water-related infrastructure, including infrastructure on site (Map 111 3 a, Map 111 3 b, Map 111 3 c):- For irrigation: Underground water collection wells (3 for the packing area & 1 irrigation)- Water storage: no applicable- Process wastewater discharges: 3 of packing site and 3 water drains- Wastewater Infrastructure: Septic tanks in the required places with on-site treatment <p>For Maria Jose</p> <ul style="list-style-type: none">- Water-related infrastructure, including infrastructure on site (Map 111 4 a, Map 111 4 b)- For irrigation: Underground water collection wells (2 for the packing area & 5 irrigation)- Water storage: no applicable- Process wastewater discharges: 2 of packing site and 1 water drains- Wastewater Infrastructure: Septic tanks in the required places with on-site treatment <p>For Banaloli</p> <ul style="list-style-type: none">- Water-related infrastructure, including infrastructure on site (Map 111 5 a)- For irrigation: Underground water collection wells (2 for the packing area & 3 irrigation)- Water storage: no applicable- Process wastewater discharges: 2 of packing site and 1 water drains- Wastewater Infrastructure: Septic tanks in the required places with on-site treatment <p>For Lola</p> <ul style="list-style-type: none">- Water-related infrastructure, including infrastructure on site (Map 111 6 a)- For irrigation: Underground water collection wells (1 for the packing area & 3 irrigation)- Water storage: no applicable- Process wastewater discharges: 1 of packing site and 1 water drains- Wastewater Infrastructure: Septic tanks in the required places with on-site treatment <p>For Elba</p> <ul style="list-style-type: none">- Water-related infrastructure, including infrastructure on site (Map 111 7 a)- For irrigation: Underground water collection wells (1 for the packing area & 4 irrigation)- Water storage: no applicable- Process wastewater discharges: 1 of packing site and 1 water drains- Wastewater Infrastructure: Septic tanks in the required places with on-site treatment
1.2	<p><i>Understand relevant stakeholders, their water related challenges, and the site's ability to influence beyond its boundaries.</i></p>

CERTIFICATION REPORT


Alliance for Water Stewardship (AWS)

Audit Number: AO-001455

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 unique stakeholder identification methodology is used presented in Doc 121 Method:

- Identification of communities in which an impact can be had (According to what is indicated in the participation and consultation of the environmental license granted by the Environmental Authority)
- Beneficiaries of the DALE Foundation through identification of needs with those responsible for each community
- Legal offices or offices of regulatory entities
- Other short cycle producers
- NGO with strategic alliance with the final customer
- Local government based on its regulation

A matrix of interested parties is verified in the document "List of interested parties UBESA" Show:

- Producers of Short Cycle Crops / Applicable: All farms / Type of actor: producer / Related problems: Water available for irrigation, flood risk, consultation tests on their interests / Ability to influence: LOW / Stakeholder commitment: Se the level of commitment is unknown / Analysis of the degree of influence: Farm: 1 does not motivate change and Interested party: 1 motivates change / Ability: to generate change: 2 communication is unidirectional
- GADM San Francisco de Pueblo Viejo / Applicable: Lola, Blanca Rosa and Isabel María / Type of actor: Potential Contamination / Related problems: Inadequate dump, leachate is discharged into the river / Ability to influence: HIGH / Stakeholder commitment: Yes the level of commitment is unknown / Analysis of the degree of influence: Farm: 1 does not motivate change and Interested party: 2 motivates change / Ability: to generate change: 2 communication is unidirectional

Evidence of stakeholder consultation:

- La Paz Community Meeting (Doc 121 a)
- WWF and MAATE email (Doc 121 b)

According with the interested parties interview, the group has not made efforts on consultation on water-related interests and challenges.

Finding No: TNR-017690

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

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Comment A matrix of interested parties is verified in the document "List of interested parties UBESA" presented in Doc 1 2 2 - 1
Show:
- Producers of Short Cycle Crops / Applicable: All farms / Type of actor: producer / Related problems: Water available for irrigation, flood risk, consultation tests on their interests / Ability to influence: LOW / Stakeholder commitment: Se the level of commitment is unknown / Analysis of the degree of influence: Farm: 1 does not motivate change and Interested party: 1 motivates change / Ability: to generate change: 2 communication is unidirectional
- GADM San Francisco de Pueblo Viejo / Applicable: Lola, Blanca Rosa and Isabel María / Type of actor: Potential Contamination / Related problems: Inadequate dump, leachate is discharged into the river / Ability to influence: HIGH / Stakeholder commitment: Yes the level of commitment is unknown / Analysis of the degree of influence: Farm: 1 does not motivate change and Interested party: 2 motivates change / Ability: to generate change: 2 communication is unidirectional

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.*



Yes

Comment Group has presented:
- 131 a Plan de respuesta proveedor de aguas residuales Bestnegsa
- 131 b PLAN DE EMERGENCIA MEGABANANA 10ma Ed 25 Enero 2024
- 131 c PLAN DE EMERGENCIA ZANPOTI 9na Ed 25 Enero 2024
- 131 d Plan de emergencia derrame proveedor
- 131 e PLAN DE EMERGENCIA BANAROYAL 6ta Ed 25 Enero 2024

The group of farms has identified Flooding and Spillage of agrochemicals, pesticides and/or fuel as water-related incident response plans.

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



Yes

Comment GRUPO UBESA has presented Water Balances for each farm.
- Doc 132 a Water Balance Blanca Rosa
- Doc 132 b Water Balance Banaloli
- Doc 132 c Water Balance Isabel Maria
- Doc 132 d Water Balance Maria Jose
- Doc 132 e Water Balance Elba
- Doc 132 f Water Balance Lola

For all farms:



Inflows: rainwater (precipitation) + irrigation water (water well) + human consumption water (public network) + Production process water (well for packing plant) + fumigation water
Outflows: evapotranspiration + water exported with fruit + surface drainage + water infiltrated into the underground layers + wastewater and production process discharge
Storage: no storage on site
Period: according to the banana calendar / 2024 / with 13 periods in 2024

The Water balance 2024 includes variances for Items a through in Section 132 is tracked periodically (13 periods in one year) by the Site and available in the Site's Water Balance electronic file.

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1.3.3	<i>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.</i>	 Yes
Comment	<p>UBESA group Water Balance (Document 132 a to f) includes variances for Items a through in Section 132 is tracked periodically (13 periods in one year) by the Site and available in the Site's Water Balance electronic file.</p> <p>The document includes data for: For water intake, there are flowmeters which are verified by the maintenance area. Data is recorded periodically to keep track of access to well water. For the water outlet, there are a method of estimation of the pumped water. Data is recorded periodically to keep track the water discharge. BLANCA ROSA For 2024: Inflows: 7.5 MM m3 Storage: 0 m3 Outflow: 6.7 MM m3 Balance: 0.8 MM m3</p> <p>BANALOLI For 2024: Inflows: 7.2 MM m3 Storage: 0 m3 Outflow: 7.12 MM m3 Balance: 0.08 MM m3</p> <p>ISABEL MARIA For 2024: Inflows: 8.7 MM m3 Storage: 0 m3 Outflow: 8.4 MM m3 Balance: 0.3 MM m3</p> <p>MARIA JOSE For 2024: Inflows: 12.5 MM m3 Storage: 0 m3 Outflow: 11.2 MM m3 Balance: 1.2 MM m3</p> <p>ELBA For 2024: Inflows: 10.4 MM m3 Storage: 0 m3 Outflow: 9.6 MM m3 Balance: 0.7 MM m3</p> <p>LOLA For 2024: Inflows: 7.8 MM m3 Storage: 0 m3 Outflow: 7.5 MM m3 Balance: 0.3 MM m3</p> <p>According to the information presented by the group there is not a water-related challenge related to Water availability.</p>	
1.3.4	<i>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.</i>	 in progress

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Comment GRUPO UBESA 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

For all the sites (Doc 134):

- Irrigation water / Table 3 AM097A / Status: complies with all microbiological parameters
- Irrigation water / Table 3 AM097A / Status: complies with all physicochemical parameters
- Well water (packer) / Table 1 Annex 1 of AM097 and INEN 1108 / Status: meets all parameters
- Well water (drink water) / Table 1 Annex 1 of AM097 and INEN 1108 / Status: meets all parameters
- Recirculation tub discharge / Table 9 Annex 1 of AM097 / Status: complies
- Discharge water / Table 9 Annex 1 of AM097 / Status: complies

All Water quality parameters complies with local legal regulations, no water related challenge related has been identified as irrigation water is sourced by deep water well

Finding No: TNR-017183

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



Yes

Comment GRUPO UBESA 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)

GRUPO UBESA has identified a map for each site in which has identified a List of "possible contaminants"

- Doc 135 a Blanca Rosa "possible contaminants maps"
- Doc 135 b Banaloli "possible contaminants maps"
- Doc 135 c Isabel Maria "possible contaminants maps"
- Doc 135 d Maria Jose "possible contaminants maps"
- Doc 135 e Elba "possible contaminants maps"
- Doc 135 f Lola "possible contaminants maps"
- Doc 135 g UBESA List of "possible contaminants"

During the visit 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 responsible was trained to comply with local regulations. 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.

1.3.6 *On-site Important Water-Related Areas shall be identified and mapped, including a description of their status including Indigenous cultural values.*



in progress

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Comment Union de Bananeros Ecuatorianos S.A. (UBESA) has presented has presented:
- 136 Areas_de_importancia_hídrica_nivel_Fincas_UBESA_AWS 2024

The site has identified:

- Chapulo Estuary, Cadena, Convento
- Catarama River Arm, Pueblviejo River
- Las Tolas Forest, La Huella de Todos, Forest Patches.
- Aquatic ecosystem protection zone next to the Cadena estuary.
- Aquatic ecosystem protection zone next to the Pueblviejo River
- Aquatic ecosystem protection zone next to the Convento estuary.

The site has not mapped the Important Water-Related Areas. Also for all of them there is not a description of their status for all the Important Water-Related Areas.

Finding No: TNR-016548

1.3.7 *Annual water-related costs, revenues, and a description or quantification of the social, cultural, environmental, or economic water-related value generated by the site shall be identified and used to inform the evaluation of the plan in 4.1.2.* ✔
Yes

Comment Union de Bananeros Ecuatorianos S.A. (UBESA) has presented:
- 137 Costo_relacionados_con_el_agua_2024 (1) which includes:
Total amount used to source water, Total amount used to ensure water is treated, Total amount used for energy to move water, Cash payments made outside the organization for water-related materials, product components, purchased facilities and services. Total amount used for water infrastructure
Payments to government for water-related matters (e.g., water-related permits or property taxes), Payment of salaries to staff related to water management and handling activities, Process and waste water analysis costs, Buffer area recovery strategy cost

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

Comment Site's self-assessment tool ensures access to water, sanitation and hygiene for each farm (Doc 138 a to f)
The organization has complied with access to potable water and access to sanitation (In the interview carried out with the production personnel, it is verified that there is drinking water at the work site and that the workers uses the nearby bathrooms), also the site has ensure WASH infrastructure according to local legislation

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 as is presented in Document 141.

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 Grupo UBESA has identified for each farm the following outsourced services:
- Transport of product to port (washing of containers)
- Transport of raw material (washing of truck)
- Transport of people (washing of bus)
- Human consumption (supply of drums)
- Aerial spraying (water used for fungicide mixtures)

The group has quantified the quantity of water used by outsourced services for each farm

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- 1.5** *Gather water-related data for the catchment, including water governance, water balance, water quality, Important Water-Related Areas, infrastructure, and WASH*
- 1.5.1** *Water governance initiatives shall be identified, including catchment plan(s), water-related public policies, major publicly-led initiatives under way, and relevant goals to help inform site of possible opportunities for water stewardship collective action.* ✔
Yes
- Comment Union de Bananeros Ecuatorianos S.A. (UBESA) has presented:
- 151 a Iniciativas de Gobernanza Hídrica Cuenca Guayas 2024
 - 151 b MEMORIA PLAN NACIONAL DEL AGUA
 - 151 c ORDENANZA REFORMATORIA PDYOT 2021-2025
- Basin Plans
- NATIONAL PLAN FOR THE INTEGRATED AND INTEGRAL MANAGEMENT OF WATER RESOURCES IN THE HYDROGRAPHIC BASINS AND MICRO-BASINS OF ECUADOR
- General Objective: To have the Hydrographic Planning of Ecuador (Continental), in accordance with the legal provisions, national policies, planning and management of water resources, and the needs of the population and the environment.
- PLANNING AND POLICIES The planning period 2016-2035 is divided into short, medium and long term: the short term (Phase-I) is the period 2016-2025; the medium term (Phase II) is the period 2026-2030, and the long term (Phase III) is the period 2031-2035.
 - PREFECTURE OF LOS RIOS. ORDINANCE REFORMING THE DEVELOPMENT AND TERRITORIAL PLANNING PLAN OF THE PROVINCE OF LOS RIOS, INCORPORATING THE MATRIX THAT CONTAINS THE STRATEGIC OBJECTIVES AND GOALS, ALIGNED WITH THE NATIONAL DEVELOPMENT PLAN 2021-2025
 - The GAD has the Natural Areas in Conservation program.
 - Donation Agreement for the project "Support to the Management of the Ministry of Environment, Water and Ecological Transition - Zonal Directorate 5 Guayas, for water quality of the DHG" WATER QUALITY MONITORING WATER RESOURCES UNIT
- BABAHOYO RIVER BASIN
- 1.5.2** *Applicable water-related legal and regulatory requirements shall be identified, including legally-defined and/or stakeholder-verified customary water rights.* ➡
in progress
- Comment Union de Bananeros Ecuatorianos S.A. (UBESA) has presented:
- 151 a Iniciativas de Gobernanza Hídrica Cuenca Guayas 2024 which includes:
- The site has a List of Legal Requirements on Water Resources in Ecuador and Guayaquil Basin
- The group did not demonstrated how it researched whether there are any customary water rights in the area.
- Finding No: TNR-016551**
- 1.5.3** *The catchment water-balance, and where applicable, scarcity, shall be quantified, including indication of annual, and where appropriate, seasonal, variance.* ✔
Yes
- Comment The Basin Level Water Balance document is verified (Doc 153) Author: Robert Yaguachi
- Inflows:
- Precipitation
 - Transfer to the interior of the Guayas basin
- OutFlows
- Evapotranspiration
 - Surface runoff
 - Annual transfer from the basin to the outside
 - Variation in storage
 - Storage of water in the soil
- PHRDHG 2023 water balance plan is verified

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1.5.4 *Water quality, including physical, chemical, and biological status, of the catchment shall be identified, and where possible, quantified. Where there is a water-related challenge that would be a threat to good water quality status for people or environment, an indication of annual, and where appropriate, seasonal, high and low variances shall be identified.* in progress 

Comment The group has presented:
 - 154 1 Linea Base monitoreo de calidad de agua de riego DHG
 - 154 2 Presentación Calidad de Agua - Ministerio del Ambiente, Agua y Transición Ecológica (MAATE)
 - 154 3 Informe Monitoreo MAATE-WWF (2)-signed-signed

Site has not identified information of Water quality, including physical, chemical, and biological status, of the catchment. For Guayas river, there is no evidence of the estimation of the maximum and minimum annual variations


Finding No: TNR-016552

1.5.5 *Important Water-Related Areas shall be identified, and where appropriate, mapped, and their status assessed including any threats to people or the natural environment, using scientific information and through stakeholder engagement.* Yes 


Comment The organization has made a review of its IWRA at the level of the Guayas basin (Document 155). Ecological areas close (IWRA) to the organization have been identified:
 - "Abrás de Mantequilla" Forest
 - Cerros Samanu protective forest
 - Protective Forest "Naranja Pata"
 - Chimborazo Fauna Protection Reserve
 - KBA Tibuzo
 - Mountain "Pena Blanca"

The IWRA conservation status analysis is verified

Site has assessed the status of the IWRA including any threats to people or the natural environment, using scientific information (MAATE) and through stakeholder engagement (WWF).

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

Comment The organization does not share water infrastructure related to municipal water.

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

Comment The suitability of Wash services is reviewed in the document "Basin Level WASH Services Author: Robert Yaguachi updated to October 2022" (Document 157)
 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 access of the urban and rural population of the Guayas is analyzed. For Babahoyo to the water service for human consumption is on average 63%; similarly, 43.6% of the population has access to sewage service and 69.3% with access to solid waste collection service.

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.*

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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 (Document 161)

The following challenges have been identified:

- Lack of information on the quality of water in the basin.
- Lack of conservation, restoration, protection and sustainable use of natural resources

NC - However, shared on-site WASH challenges have not been identified (The challenge was commented on by the stakeholders interviewed), Access to water (Preservation and maintenance of infrastructure), Waste Management (Reduce the probability of water contamination), Water stress in the Basin (Availability of water quantity in the dry months, both in water for human consumption, as well as for animals and irrigation)

Finding No: TNR-016555


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

Comment The organization has reviewed its Shared Water Challenges and initiatives to address them in Document 161

Sample:

- Manage water quality monitoring programs in the basin with the MAATE in order to obtain current data on this result.
- Participate in micro-basin protection and management programs that guarantee the quality and quantity of water for human consumption and irrigation
- Coordinate meetings with the Provincial GAD and the Environmental Commissioner for the protection of the Las Tolas forest and to avoid its alteration.
- Coordinate meetings with the Provincial GAD and the Environmental Commissioner for the protection of the Cadena Estuary and to avoid its contamination.

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.*  in progress

Comment The site applied WWF's Water Risk Filter's Operation Risk assessment module (Document 171 a to f)


The methodology analyzes the risks:

- Shortages
- Enabling environment

An analysis of each farm is verified for Operational Risk and Basin Risk

NC - Potential costs and business impact have not been identified




Finding No: TNR-016556

1.7.2 *Water-related opportunities shall be identified, including how the site may participate, assessment and prioritization of potential savings, and business opportunities.*  Yes

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Comment	<p>The matrix of water resources opportunities (Document 172 a to f) is verified in which the opportunity and related actions are analyzed</p> <p>Opportunities (sample):</p> <ul style="list-style-type: none"> - Awareness of the existing vulnerability to adverse weather conditions and their possible effects. - Research and creation of new technologies for the optimal use and exploitation of water. - Management of a strategy for the efficient use of fertilizers and detergents and design of a fertilizer substitution mechanism. - Prevention and early detection of pollution sources. - Review of the protocol and water quality monitoring actions. - Positioning of a favorable image through an information system of the actions that are being carried out such as protection strips, water reuse, job creation. <p>GRUPO UBESA has identified for each water related opportunities potential savings and business opportunities</p>	
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>The group has presented:</p> <ul style="list-style-type: none"> - Belong to the WWF sustainable banana project. - Maintain the Rainforrest Alliance certification. - Manage meetings with authorities for the protection of the Las Tolas forest and Estero Cadena. - Disclose indicators of efficient use of water for packaging and irrigation. - Disclose the percentages of water use versus the concessions granted. - Disclose the results of the analysis of process water and discharge to a water body. - Maintain the AWS certification 	
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>The group has presented:</p> <ul style="list-style-type: none"> - Training of personnel in water resources. - Efficient management of irrigation on the farm - Perform diagnosis of irrigation systems. - Maintain personnel (irrigators) to control leaks in the irrigation system. - Install efficient water accessories. - Automation for filling the water recirculation system of packing plant vats. - Installation of keys in all water outlets. - Develop and centralize the formats to report and maintain water consumption information in the OneDrive system. - Keep water consumption recorded in the matrix on the one drive - Control of the water table and improvement of the drainage system. - Periodic review of the water table levels on the farm to establish strategies for better agronomic performance. - Optimization of water use in packaging processes "Interannual indicator m3/box", irrigation "Irrigation diagnosis-Improvement plan" and bunch washing "m3/bunch". Verification of interannual water optimization indicators to make adjustments to the systems, control leaks or improve processes that allow the optimization of water resources. 	
1.8.3	<i>Relevant sector and/or catchment best practice for water quality shall be identified, including rationale for data source.</i>	 Yes

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- Comment The group has presented:
- Conduct annual analyses at wastewater entry and exit points.
 - The maximum permissible limits for measuring compliance with nitrates have been defined at a stricter value than national legislation.
 - Non-application of category 1 and 1b agrochemicals (extremely toxic) according to the WHO 2019 list.
 - Maintain applications of agrochemicals through unmanned aircraft (drone).
 - Make progress in canal coverage
 - Installation of a biodigester with a higher capacity in sanitary batteries at the Blanca Rosa farm.
 - Monitoring at 3 points on the farm compared with the NOEC – EPA – 8.85 mg/l, since this regulation is more demanding than national legislation.
 - Verification of non-application in areas of aquatic ecosystems through flight impressions.
 - Installation of “protectors” in fertigation sprinklers that are closer to water channels.

1.8.4 *Relevant catchment best practice for site maintenance of Important Water-Related Areas shall be identified.*



Yes

- Comment The group has presented:
- Manage a meeting for the protection of the Tolas forest and Estero Cadena with the provincial GAD.
 - Maintain Rainforest certification
 - Maintain AWS certification
 - Continue in the WWF program
 - Maintain the protection zones adjacent to aquatic ecosystems in good conservation status.
 - No change in land use, maintain the forested areas of the farm, in order to maintain the native species of the area and for water conservation.
 - Identify the levels of toxic load annually (liters of active ingredients/ha) and develop strategies for the optimization of the toxic load in order to prevent contamination of water bodies and obtain a healthier product.

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






Yes

- Comment The group has presented:
- Training of workers and employees
 - Training in water resources, waste management and food safety.
 - Provision of sanitary infrastructure
 - Improve sanitary infrastructure
 - Change to a biodigester with greater capacity at the Blanca Rosa farm.
 - Carry out inspections / Carry out SOL inspections in packing plants to verify the level of compliance in different areas

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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 GRUPO UBESA / Date: 21-05-2024 / Signed by Emmanuel Villeda – Legal Representative of GRUPO UBESA / Complies with the requirements of the standard (Document 211) also the GRUPO UBESA has an Grupal Membership signed by Megabanana, Zanpoti and Banaroyal	
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	UBESA Group system to maintain compliance obligations is verified to maintain legal obligations (Document 221 a) <ul style="list-style-type: none"> - ISO 14001 management system activities - Legal identification through the Lexis system - Organizational Chart (UBESA GROUP) 	
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
Comment	It is verified in the sustainable water management plan (Document 231 a to f) <ul style="list-style-type: none"> - Mission: Care of its natural resources, especially water - Vision: To be world-class banana producers - Strategy: Water resources management 	

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2.3.2

A water stewardship plan shall be identified, including for each target:

- How it will be measured and monitored
- Actions to achieve and maintain (or exceed) it
- Planned timeframes to achieve it
- Financial budgets allocated for actions
- Positions of persons responsible for actions and achieving targets
- Where available, note the link between each target and the achievement of best practice to help address shared water challenges and the AWS outcomes.



closed

Comment

UBESA Group has presented (231 PLAN DE CUSTODIA GRUPO AWS UBESA -2024 v2) in which the site includes the following information: Objective, Actions, GOAL, Indicator, Evidence, AWS Outcome, Responsible, Social/Environmental Assessment, Valued Schedule, Measurement 2024

The plan has 10 objectives related to 5 outcomes. All the targets accomplish with the requirement

Sample:

Objectives: Maintain the commitment to produce socially and environmentally responsible bananas for our stakeholders

Activities: Practices

Indicator: Implemented practices/Applicable practices

Desired Outcome: Good Water Governance / Water Balance / Water Quality / AIRA / WASH

Measurement: 172 practices

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 2024: The group has not evidence of the 172 practices (NC)

Objectives: Obtain water consumption indicators and monitor groundwater levels on the farm

Activities: Optimization of water use in packaging processes "Interannual indicator m3/box", irrigation "m3/bunch".

Indicator: 1 updated water matrix in One Drive system

Desired Outcome: Water Balance

Measurement: 1 document

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 2024: 1 document

Objectives: Create, conserve and maintain Water Important Areas adjacent to banana

production areas Activities: Implement and maintain aquatic ecosystem protection zones at least 25 meters wide

Indicator: ##protection zones implemented / #protection zones required

Desired outcome: IWRA

Measurement: 1 area / 1 area requested

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 2024: 100%

Also, the plan has not linked each target and the achievement of best practice to help address shared water challenges.

Finding No: TNR-016561

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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.	<div><div>✓</div><div>closed</div></div>
Comment	GRUPO UBESA has not identified a plan to mitigate or adapt to the identified water risks Finding No: TNR-016560	

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Audit Number: AO-001455

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
Comment	<p>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:</p> <ul style="list-style-type: none"> - Joint Conservation efforts of the IWRA Bosque las Tolas in coordination with the Provincial Government of Los Rios, Los Rios Environmental Unit // Doc 311 a, Doc 311 e - Delivery of information on water consumption, results of the stewardship plan and results of water quality // Doc 311 b, Doc 311 c - Coordination of water sampling of the Guayas River related to water quality in conjunction with the Ministry of Environment and WWF // Doc 311 d 	
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
Comment	<p>FINCA NUEVA ESPERANZA does not limit the right of access to water of other organizations. Surface water use has been available through an SENAGUA concession since 2022 (Document 312 a to c).</p> <p>For all the farms of the group a water consumption less than the concession is verified in Document 312 d</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>	 Yes
Comment	<p>UBESA GROUP has a legal compliance process (Document 321 a) referenced to:</p> <ul style="list-style-type: none"> - Environmental licenses (For all farms) - Waste generating records (For all farms) - Water concession permits (For all farms) <p>The Management system provides a methodology for review the compliance with regulatory requirements annually in his Legal matrix (Document 321 b)</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>	 Yes
Comment	<p>The organization does not limit the right of access to water of other organizations. Surface water use is available through an SENAGUA concession since 2022.</p>	
3.3	<i>Implement plan to achieve site water balance targets.</i>	
3.3.1	<i>Status of progress towards meeting water balance targets set in the water stewardship plan shall be identified.</i>	 in progress

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Comment	<p>The site has presented:</p> <ul style="list-style-type: none"> - Optimization of water use in packaging processes // Activities: Data registration, water recirculation, automation for filling vats and recirculators in the packing plant. // Year-on-year indicator: m3/box / Irrigation indicator: m3/bunch". // Status: It is evident that the water consumption target of 0.036 m3/box is met only at BANALOLI. The indicator is not met at the other 5 farms in the group (Doc 331 a) - Water table controls and drainage system improvement // Activities: Reports on water table behavior // Indicator: #water table reports executed/#water table reports scheduled // Status: Water table study reports are being verified (Doc 331 c) <p style="text-align: right;">Finding No: TNR-016614</p>
3.3.2	<p><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></p> <p style="text-align: right;">in progress </p>
Comment	<p>The Group has not implemented an annual target to improve the site's water use efficiency</p> <p style="text-align: right;">Finding No: TNR-016615</p>
3.3.3	<p><i>Legally-binding documentation, if applicable, for the re-allocation of water to social, cultural or environmental needs shall be identified.</i></p> <p style="text-align: right;">Yes </p>
Comment	<p>There is no legally binding document that obliges the organization to reallocate water to social, cultural, or environmental needs.</p>
3.4	<p><i>Implement plan to achieve site water quality targets</i></p>
3.4.1	<p><i>Status of progress towards meeting water quality targets set in the water stewardship plan shall be identified.</i></p> <p style="text-align: right;">closed </p>
Comment	<p>The site has presented:</p> <ul style="list-style-type: none"> - Conduct analyses at wastewater entry and exit points annually. Activities: execution of analyses Interannual indicator: # of analyses carried out/# of analyses planned. Status: water analysis is a mandatory legal requirement. It is not considered part of the Water Management Plan - The maximum permissible limits for measuring compliance with nitrates have been defined at a stricter value than national legislation. Activities: execution of analyses Interannual indicator: # of analyses carried out/# of analyses planned. Status: no evidence of analysis of compliance with nitrates - Verification of non-application in aquatic ecosystem areas through flight impressions. Activities: compilation of the flight job with passes in ecosystems / compilation of the cycles carried out (number of applications) Interannual indicator: # of flight job with passes in ecosystems / # of cycles carried out Status: there is no evidence of analysis of compliance with the indicator - Installation of "protectors" in fertigation sprinklers that are closest to water channels. Activities: verification of sprinklers that need protectors Interannual indicator: # sprinklers installed/# of sprinklers that need protectors Status: no evidence of compliance analysis of the indicator - No application of agrochemicals of category 1a and 1b (extremely toxic) according to the WHO 2019 list. Activities: application record Interannual indicator: # agrochemicals of category 1a and 1b applied/# of farms Status: no evidence of compliance analysis of the indicator

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Finding No: TNR-016617


- 3.4.2** *Where water quality is a shared water challenge, continual improvement to achieve best practice for the site's effluent shall be identified and where applicable, quantified.*  in progress
- Comment UBESA GROUP has not identified continual improvement to achieve best practice for the site's effluent,

Finding No: TNR-016618

- 3.5** *Implement plan to maintain or improve the site's and/or catchment's Important Water-Related Areas.*
- 3.5.1** *Practices set in the water stewardship plan to maintain and/or enhance the site's Important Water-Related Areas shall be implemented.*  in progress

- Comment - Protection Maintenance of riparian buffer zones.
Activities: maintenance of areas
- Interannual indicator: #Existing riparian buffer zones/#scheduled buffer zones
Status: no evidence of compliance analysis of the indicator
- No change in land use, maintain the forested areas of the property, in order to maintain the native species of the area and for water conservation.
Activities: no change in land use
Interannual indicator: #deforestation risk map obtained/# of farms in the group
Status: no evidence of compliance analysis of the indicator
- Identify the levels of toxic load annually (liters of active ingredients/ha) and develop strategies for the optimization of the toxic load in order to prevent contamination of water bodies and obtain a healthier product
Activities: development of reports
Interannual indicator: #Comparative table of annual toxic load carried out/#of comparative table of toxic load planned
Status: the analysis of toxic load per hectare of crop related to Sigatoka, fungicide, insecticide and nematicide for each farm has been presented (Doc 351)

Finding No: TNR-016619

- 3.6** *Implement plan to provide access to safe drinking water, effective sanitation, and protective hygiene (WASH) for all workers at all premises under the site's control.*
- 3.6.1** *Evidence of the site's provision of adequate access to safe drinking water, effective sanitation, and protective hygiene (WASH) for all workers onsite shall be identified and where applicable, quantified.*  in progress

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- Comment - Training in water resources, waste management and food safety.
Activities: implementation of training
- Interannual indicator: #trained workers in target group/#total workers
Status: no evidence of compliance analysis of the indicator
- Improve sanitary infrastructure
Activities: maintenance of sanitariums
Interannual indicator: #improved infrastructure/#infrastructure needed for improvement
Status: no evidence of compliance analysis of the indicator
- Change to a biodigester with a higher capacity at the Blanca Rosa farm.
Activities: execution of planning and installation of biodigester
Interannual indicator: #biodigesters installed/#biodigesters planned
Status: no evidence of compliance analysis of the indicator
- Carry out SOL inspections in plants to verify the level of compliance in different areas
Activities: Execution of inspections
Interannual indicator: #of SOL inspections carried out/#of SOL inspections planned
Status: no evidence of compliance analysis of the indicator

Finding No: TNR-016620

- 3.6.2** *Evidence that the site is not impinging on the human right to safe water and sanitation of communities through their operations, and that traditional access rights for indigenous and local communities are being respected, and that remedial actions are in place where this is not the case, and that these are effective.*



Comment The responsibility for the delivery of drinking water belongs to the government. The organization has made an analysis of the quantity of water used vs the governmental concession, the result shows that GRUPO UBESA does not impinging on the human right to safe water.

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.

- 3.7** *Implement plan to maintain or improve indirect water use within the catchment:*

- 3.7.1** *Evidence that indirect water use targets set in the water stewardship plan, as applicable, have been met shall be quantified.*



Comment The site has not quantified indirect water use targets in the water stewardship plan

Finding No: TNR-016621

- 3.7.2** *Evidence of engagement with suppliers and service providers, as well as, when applicable, actions they have taken in the catchment as a result of the site's engagement related to indirect water use, shall be identified.*



Comment The site has presented (sample)
- The commitment letter between WILZAON ERAZO and UBESA GROUP is verified for agreements related to information issues and project support





However, UBESA Group has not presented evidence of engagement with service providers.

Finding No: TNR-016622

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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	UBESA group does not have any shared water-related infrastructure	
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>	
3.9.1	<i>Actions towards achieving best practice, related to water governance, as applicable, shall be implemented.</i>	 Yes
Comment	<p>The group has presented:</p> <ul style="list-style-type: none"> - Belong to the WWF sustainable banana project. / Pto 1 (in each farm) - Manage meetings with authorities for the protection of the Las Tolas forest and Estero Cadena. / ELBA folder pto 3 - Disclose indicators of efficient use of water for packaging and irrigation. / Pto 4 (in each farm) - Disclose the percentages of water use versus the concessions granted. / Pto 4 (in each farm) - Disclose the results of the analysis of process water and discharge to a water body. / Pto 4 (in each farm) 	
3.9.2	<i>Actions towards achieving best practice, related to targets in terms of water balance shall be implemented.</i>	 Yes
Comment	<p>The group has presented:</p> <ul style="list-style-type: none"> - Training of personnel in water resources / Pto 1 (in each farm) - Efficient management of irrigation on the farm / Inspection of irrigation system Pto 2 (in each farm) - Install efficient water accessories. / Automation of recycler and washing tank filling control reporte / Pto 3 (each farm) - Develop and centralize the formats to report and maintain water consumption information in the OneDrive system. / Pto 4 (each farm) - Control of the water table and improvement of the drainage system. / Water table report Pto 5 each farm 	
3.9.3	<i>Actions towards achieving best practice, related to targets in terms of water quality shall be implemented.</i>	 Yes

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Comment	<p>The group has presented:</p> <ul style="list-style-type: none"> - Conduct annual analyses at wastewater entry and exit points. / Pto 1 (in each farm) - The maximum permissible limits for measuring compliance with nitrates have been defined at a stricter value than national legislation. / Not presented - Non-application of category 1 and 1b agrochemicals (extremely toxic) according to the WHO 2019 list. / Pto 2 (Banaloli) - Maintain applications of agrochemicals through unmanned aircraft (drone). / Pto 2 (in all farms) - Make progress in canal coverage / Pto 2 (in all farms) - Installation of a biodigester with a higher capacity in sanitary batteries at the Blanca Rosa farm. / Pto 4 (Blanca Rosa) - Monitoring at 3 points on the farm compared with the NOEC – EPA – 8.85 mg/l, since this regulation is more demanding than national legislation. / Pto 5 (in all farms) - Verification of non-application in areas of aquatic ecosystems through flight impressions. / Pto 6 (in all farms) - Installation of “protectors” in fertigation sprinklers that are closer to water channels. / Pto 7 (Maria Jose) 	
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
Comment	<p>The group has presented:</p> <ul style="list-style-type: none"> - Manage a meeting for the protection of the Tolas forest and Estero Cadena with the provincial GAD. / Pto 1 (Elba) - Maintain Rainforest certification / Pto 1 (all farms) - Maintain AWS certification / Pto 1 (all farms) - Continue in the WWF program / Pto 1 (all farms) - Maintain the protection zones adjacent to aquatic ecosystems in good conservation status. / Pto 2 (all farms) - No change in land use, maintain the forested areas of the farm, in order to maintain the native species of the area and for water conservation. / Pto 3 (all farms) - Identify the levels of toxic load annually (liters of active ingredients/ha) and develop strategies for the optimization of the toxic load in order to prevent contamination of water bodies and obtain a healthier product. / Pto 4 (all farms) 	
3.9.5	<i>Actions towards achieving best practice related to targets in terms of WASH shall be implemented.</i>	 Yes
Comment	<p>The group has presented:</p> <ul style="list-style-type: none"> - Training of workers and employees / Folder 1 - Provision of sanitary infrastructure / Folder 2 - Change to a biodigester with greater capacity at the Blanca Rosa farm. / Folder 3 - Carry out inspections / Carry out SOL inspections in packing plants to verify the level of compliance in different areas / Folder 4 	

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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>
Comment	<p>UBESA Group has presented a YTD analysis (30-01-2025):</p> <ul style="list-style-type: none"> - Of all the activities detailed in the sustainable water plan, those related to Good Governance have a 76% performance of the objectives. - Of all the activities detailed in the sustainable water plan, those related to Water Balance have a 95% performance of the objectives. - Of all the activities detailed in the sustainable water plan, those related to water quality have a 89% performance of the objectives. - Of all the activities detailed in the sustainable water plan, those related to areas of water importance have a 93% performance of the objectives. - Of all the activities detailed in the sustainable water plan, those related to areas of water importance have a 89% performance of the objectives.
4.1.2	<i>Value creation resulting from the water stewardship plan shall be evaluated.</i>
Comment	<p>According to the site analysis, UBESA Group has presented an analysis of environmental and social value creation per target presneted in WS</p>
4.1.3	<i>The shared value benefits in the catchment shall be identified and where applicable, quantified.</i>
Comment	<p>Site has presented information regarding the value benefots in the catchment:</p> <ol style="list-style-type: none"> 1. Meetings were held with the GAD Los Rios, Cultural Heritage, and the Environmental Commissioner, in order to carry out inspections for the conservation and protection of the Las Tolas Forest and the Cadena Estuary. 2. Approaches were made with the MAATE to carry out analyses of the Guayas Basin, with favorable results. 3. The first results of the water quality of the Basin were obtained. 4. Information was shared with different stakeholders about the behavior of the farms compared to the results of the AWS standard. 5. The farm staff was trained in Water Resource Care so that they have greater knowledge about the importance of its use and care. 6. The Water Stewardship Plan was shared with different stakeholders. 7. The shared challenges in terms of water and the initiatives that are in place to address the challenges with different stakeholders were shared.
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>

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4.2.1 A written annual review and (where appropriate) root-cause analysis of the year's emergency incident(s) shall be prepared and the site's response to the incident(s) shall be evaluated and proposed preventative and corrective actions and mitigations against future incidents shall be identified. Yes

Comment It is indicated by the audited team that there have been no accidents or incidents related to their emergency situations in 2024 in UBESA Group

4.3 Evaluate stakeholders' consultation feedback regarding the site's water stewardship performance, including the effectiveness of the site's engagement process.

4.3.1 Consultation efforts with stakeholders on the site's water stewardship performance shall be identified. Yes

Comment During 2024, stakeholder consultation was carried out through email and meetings .

The site has developed a stakeholder consultation efforts with: GAD Puebloviejo, DALE Foundation, Prefectura Los Rios, WWF

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 UBESA Group has presented a current version for the period 2024 of its WSP. The site has adapted its 2024 plan with new objectives considering the availability of resources and its achievements from the previous plan.




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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>  Yes
Comment	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. Sample: Meeting with group members to discuss internal governance and progress of the plan, dated 28-01-2025 (Dco 511 a)
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>  Yes
Comment	The Water Stewardship Plan including initial information on how it contributes to AWS Standard outcomes were shared with relevant stakeholders via meetings. According to the stakeholder meetings, The Water Stewardship Plan has been communicated to them.
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>  Yes
Comment	The organization has presented the Water Stewardship Summary presentation to its stakeholder (Emails Doc 531). According to the stakeholder meetings, The Water Stewardship Plan results has been communicated to them.
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	Email with DALE, GAD LOS RIOS y WWF has been evidenced.
5.4.2	<i>Efforts made by the site to engage stakeholders and coordinate and support public-sector agencies shall be identified.</i>  Yes

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Comment	During 2024, the following efforts have been made to involve stakeholders. 1. Communications were sent to the Provincial GAD and MAATE so that, through their help, the Las Tolas Forest and Estero Cadena can be preserved due to damage and alterations by third parties. 2. Meetings were held between MAATE/WWF/Dole to carry out water sampling in the Guayas basin.	
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	As indicated by the audited team, there have been no breaches related to water regulations in 2025. 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 UBESA GROUP	
5.5.2	<i>Necessary corrective actions taken by the site to prevent future occurrences shall be disclosed if applicable.</i>	 Yes
Comment	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, UBESA GROUP management system require violations to be entered in the internal corrective action process.	
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	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 2025	

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Photographic Evidence from Audit



NOTE 40

24 Nov 01:09 1/15a 15050

603 BANALOLI riego 3 b.jpeg



Drenaje Elba 1

604 ELBA drenaje Elba 1.jpeg



Riego Elba 4

604 ELBA riego 4.jpeg

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603 BANALOLI lavado de racimo.jpeg



603 BANALOLI riego 1 b.jpeg



NOTE 40

24mm 01.09 1/31a 18060

WSAS

2 Quality Street North Berwick, EH39 4HW, UNITED KINGDOM

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602 MARIA JOSE estacion drenaje 2.jpeg



605 BLANCA ROSA Área colindante junto a estero convento.jpeg



NOTE 40

28mm 01.89 1/24th ISO60

602 MARIA JOSE Estacion de riego 3.jpeg



603 BANALOLI lavamanos.jpeg

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602 MARIA JOSE estacion riego 4 m.jpeg



601 ISABEL MARIA Almacenamiento desechos peligrosos.jpeg



601 ISABEL MARIA Ecosistema colindante al estero.jpeg

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603 BANALOLI empaque.jpeg



603 BANALOLI riego 2.jpeg



NOTE 40

24mm 6/1.89 1/4Ts 15060

602 MARIA JOSE Estacion de drenaje 2.jpeg

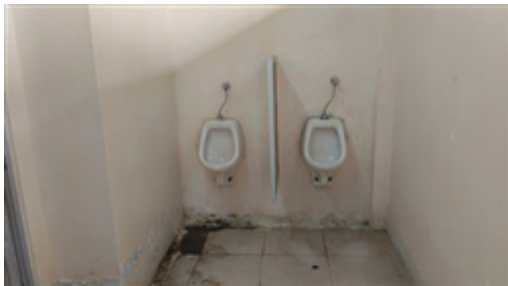
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605 BLANCA ROSA Bodega de fertilizantes (2).jpeg



603 BANALOLI urinarios.jpeg



605 BLANCA ROSA Empacadora Blanca Rosa 1.jpeg

✔

Yes

Comment

Site has authorized the publication of the following fotografic report.

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606 LOLA drenaje 2 a.jpeg



603 BANALOLI drenaje 2 b.jpeg



WSAS

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603 BANALOLI riego 3.jpeg



602 MARIA JOSE estacion riego 1.jpeg



606 LOLA recirculador.jpeg



604 ELBA riego elba 2.jpeg

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604 ELBA recirculador.jpeg



601 ISABEL MARIA pozo de sedimentación.jpeg



605 BLANCA ROSA Almacenamiento desechos peligrosos.jpeg

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602 MARIA JOSE estacion riego 1 m.jpeg



603 BANALOLI riego 1.jpeg



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602 MARIA JOSE estacion riego 5.jpeg



604 ELBA riego 5 e.jpeg



606 LOLA riego 1.jpeg



602 MARIA JOSE estacion de drenaje 1 ma.jpeg

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604 ELBA emaque.jpeg



601 ISABEL MARIA Estación de drenaje 60.jpeg



604 ELBA ecosistema.jpeg



601 ISABEL MARIA Estación de riego.jpeg

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602 MARIA JOSE Estacion riego 2.jpeg



601 ISABEL MARIA Bodega de material de empaque.jpeg

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605 BLANCA ROSA Comedor Blanca Rosa.jpeg



601 ISABEL MARIA Estación de drenaje.jpeg



605 BLANCA ROSA Estación de drenaje la viuda.jpeg



603 BANALOLI Drenaje 2.jpeg

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605 BLANCA ROSA Pozo desactivación química.jpeg



604 ELBA riego 5.jpeg



601 ISABEL MARIA ecosistema colinandante al estero2.jpeg

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605 BLANCA ROSA Estación de Riego.jpeg



601 ISABEL MARIA Ecosistema parche boscoso1.jpeg



604 ELBA bodega de desechos.jpeg

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602 MARIA JOSE estacion de drenaje 1 m.jpeg



606 LOLA bodega de desechos.jpeg



605 BLANCA ROSA Empacador Blanca Rosa 1.1.jpeg

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604 ELBA lavado de racimo.jpeg



604 ELBA drenaje elba 2.jpeg



601 ISABEL MARIA Ecosistema parche boscoso 2.jpeg



603 BANALOLI riego 1 bb.jpeg

Previous Findings

All non-conformities raised in the previous audit have been satisfactorily closed.

✖
No

Comment

All previous NC has been satisfactorily close. There are 5 repetitive NC in: 1.5.4., 1.7.1, 2.4.1., .3.7.1., 3.7.2.