## REPORT DETAILS

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<th>REFERENCE</th>
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<td>CERTIFICATE No</td>
<td>SGS2020_AWS0006</td>
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<tr>
<td>REPORT TITLE</td>
<td>ALLIANCE FOR WATER STEWARDSHIP ASSESSMENT REPORT</td>
</tr>
<tr>
<td>DATE SUBMITTED</td>
<td>March 24th, 2020</td>
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</table>

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**SIGNED:**  
Ursula Antunez de Mayolo

**STATUS**
FINAL

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## Table of content

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>REPORT DETAILS</td>
<td>2</td>
</tr>
<tr>
<td>1 EXECUTIVE SUMMARY</td>
<td>4</td>
</tr>
<tr>
<td>2 SCOPE OF ASSESSMENT</td>
<td>5</td>
</tr>
<tr>
<td>3 DESCRIPTION OF CATCHMENT</td>
<td>7</td>
</tr>
<tr>
<td>4 SUMMARY OF SHARED WATER CHALLENGES</td>
<td>8</td>
</tr>
<tr>
<td>5 INDICATORS CHECKLIST</td>
<td>9</td>
</tr>
<tr>
<td>6 AUDIT FINDINGS</td>
<td>12</td>
</tr>
<tr>
<td>7 SUMMARY</td>
<td>18</td>
</tr>
<tr>
<td>8 OPPORTUNITIES FOR IMPROVEMENT</td>
<td>19</td>
</tr>
<tr>
<td>9 CONCLUSIONS AND RECOMMENDATIONS</td>
<td>20</td>
</tr>
<tr>
<td>10 REFERENCES</td>
<td>21</td>
</tr>
</tbody>
</table>
1 EXECUTIVE SUMMARY

The scope of services covers the conformity assessment in compliance with the AWS International Water Stewardship Standard Standard Version 2.0 for C.I. Técnicas Baltime de Colombia (TECBACO) stated at Santa Marta. Colombia. The assessment has been completed in compliance with AWS Certification requirements, Version 2, March 2019.

TECBACO represents a group of farmers, for “Banana Cultivation and Packaging for export”.

Given the document review undertaken, verification of evidence and site visit inspections performed, SGS recommends that TECBACO, representing a group of farmers, is awarded an “AWS Group Certificate” at level “Core” with a surveillance audit interval of annual frequency.

A total of 01 major non-conformance and 03 minor non-conformances were raised during the course of the audit process. TECBACO responded to the findings raised with appropriate root cause analysis and action plans as evidence for each, so the certification could be granted. The actions taken will be followed-up at the first annual surveillance visit.
2 SCOPE OF ASSESSMENT

The scope of services covers the conformity assessment in compliance with the AWS International Water Stewardship Standard Standard Version 2 for TECBACO and the group of farmers. The assessment has been completed in compliance with AWS Certification requirements, Version 2, March 2019, and the group requirements stated at the standard “Certification Requirements: Assessment of conformity with the AWS International Water Stewardship Standard v2.0”

The assessment was conducted during into 3 days on-site by a team of 2 auditors, from the 19th to 21st February, 2020. The lead auditor is from Peru, and the local auditor from Colombia. There was a Stage 1 audit conducted off-site prior to the visit.

The geographical scope was for a group of 11 banana farmers. These farmers use water from the rivers for irrigation, and underground water for the banana processing/rinsing. The location of the farms is shown in Figure 2.1, and pictures of the visit at Table 2.1
3 DESCRIPTION OF CATCHMENT

The 11 banana farms are located at the “Bajo Magdalena” river catchment, either at the “Rio Frío” zone or at the “Rio Sevilla” zone. The underground water is from an Aquifer System. The Cienaga of Santa Marta is an Important Water Related Area close-by. See figure 3.1.

Some of farms have a connection with the water suppliers ASORIOFRIO or ASOSEVILLA. Furthermore, for processing the banana which is a rinsing process to eliminate the wax, they use underground water from the aquifer. See figures 3.1 and 3.2.
SUMMARY OF SHARED WATER CHALLENGES

Stakeholders have identified the shared water challenges which are mainly:

- Lack of environmental education, little awareness and sense of belonging
- Limited time for project formulation and management
- Limited resources (economic, technical, human) for project implementation.
- Limited access to information
- Limitation and difficulty in exchanging experiences with other communities in the basin
- Western intervention.
- Deforestation and Increase in areas for cultivation.
- Lack of control and application of norms and sanctions for interventions to ecosystems (felling, burning, misuse of water).
- Little sense of pertinence of land holders or holders - informality in tenure.
- Improper occupation of water sources.
- Institutional disarticulation, bureaucracy and paperwork.
- Lack of understanding of the water topics of the local authority.
- Weak institutional presence for relations with communities
- Opposite policies and activities that have not allowed building a joint vision
- The ecological flow is not maintained and wells are used for irrigation in crops
- Damages brought about by the conditions of climate change.
- Reduced availability of the water supply.
- Sedimentation level of the high basin.
- Lack of regulatory instruments for planning and management
- Projects that do not include all stakeholders
- Occupation or misuse of water areas, without control due to little presence of environmental authority.
- Little governability due to violence or social problems.
- Political corruption.
- The demand for water exceeds the supply.
- Overreach of powers between different entities.
- Water shortage conflicts.
- Lack of commitment by some stakeholders to maintain investments
- Lack of coordination of similar initiatives for the protection of the basin and the structuring of projects
5 INDICATORS CHECKLIST

As per the requirement set out in the AWS certification requirements it was prepared an SGS Checklist report for the audit trails associated with the CORE AWS indicators and the relevant reviewed evidence provided by TECBACO. The checklist was aligned to the clauses / indicators of the AWS standard Version 2.0.

5.1 GROUP REQUIREMENTS:

CERTIFICATION REQUIREMENTS: ASSESSMENT OF CONFORMITY WITH THE AWS INTERNATIONAL WATER STEWARDSHIP STANDARD V2.0

• AWS CRITERIA FOR GROUPS:

Clause 4.1.1: All the farms are on the same catchment which is “Cuenca del Río Frío y Río Sevilla”, Municipio de Zona Bananera. Magdalena. Colombia.

Clause 4.1.2: The single management of all the farms is through an International Trader TECBACO that exports the bananas to the different markets

Clause 4.1.3: All the farms are banana growers and packers.

Clause 4.2: Group certification, as each farm has different owner and together they have have an ICS managed by TECBACO.

Clause 4.3: They fall into group, as they have an ICS, “Group Member Agreements” with each entity of the group, an AWS Group Representative and they have asked a Group Certification

Clause 4.4: AWS logo will be managed by the Group Representative – TECBACO

• REQUIREMENTS FOR GROUP OPERATIONS:

Clause 5.1 – 5-2: The requirements are established in the document “Alianza para la Custodia del Agua (AWS)” code IAC-017 Version 0. The entity “Técnicas Baltame de Colombia S.A. - TECBACO” manages the group. Fernando González Gutiérrez is the person with overall management responsibility of the group. He is working in TECBACO for 18 years. Furthermore, the Group management responsibilities and the ICS requirements are shown there.

Clause 5.1.4.9, 5.5.3.4, 5.5.4 and 5.5.5: Internal Audits were conducted for each of the group members by TECBACO. They followed a checklist and records were provided as evidence. At the internal audit records, it is shown that at the end of the checklist there is a section for action plans of corrective actions.
Clause 5.3: The production systems are homogeneous. All use water wells for processing (banana rinsing) with water recycling system, and superficial (rivers) water for banana irrigation. All use the same trader which is TECBACO and exports the bananas to different markets.

Clause 5.4: They have Group Member Agreements called “Acuerdo de Pertenencia a Grupo de Alianza para la Custodia del Agua (AWS) with each entity of the group. Some entities have more than one farm, so the agreement applies to the farms owned. All the agreements have the same content, but change the name of the company and the persons signing it which are the legal representatives of each company. The agreements are all of 11th February 2020.

Clause 5.5: TECBACO provided training and awareness sessions with each of the farms. There are records of the AWS awareness to each farm management representative about the implications of belonging to the group, which were in February 2020. Prior to that, there were training sessions to the implementers at each farm since 2019 with the support of the consultants Good Stuff International and South Pole. Records were provided.

Clause 5.5.7: The AWS Group Representative performed an “annual review” of the progress on the 17th February 2020 with the Director of TECBACO. They discussed the implications of the AWS certification, the progress in implementation and which were the major challenges. Attendance list was kept as record.

Clause 5.5.10 The list of group members was provided, as shown in the table 5.1

**CONFORMITY ASSESSMENT OF GROUP CLIENTS:**

Clause 6.1.1: SGS specified in the contract that it was a group certificate. Furthermore, the Lead auditor send the V2-0 of the certification standard to TECBACO prior to the site visit.

Clause 6.1.2: As 11 farms were presented for the group, the proposal covered the 11 farms and during the site visit, 3 farms were sampled randomly following the risk assessment but taking into consideration that the 3 are in different zones of the catchment, as per table 4 of the standard. Also, there was a prior teleconference with WWF to define the homogeneity, water stewardship maturity and status of the implementation of the standard, which lower the risk. The 3 farm visits were conducted during the 20th February 2020, as well as the attendance to the catchment platform meeting with the actors (stakeholders). The 19th and the 21st February, it was audited TECBACO, including the consultants, and the platform leader WWF, accompanied by the consultant South Pole.

6.3.3.1 The group management and the farmers are competent and impartial to maintain conformance with the AWS Standard and AWS group requirements;

6.3.3.2 Internal Auditors were competent to undertake internal audits as part of a group operation
6.3.3.3 Internal Auditor’s findings of conformance / non-conformance of the group are reliant

6.3.3.4 The most critical finding identified during the audit which was about legal requirements, was also identified by the group entity, therefore, it is reliant the internal audit;

6.3.3.5 The sampling plan followed the group requirements. 3 random farms of 11 were visited;

6.3.3.6 For subsequent surveillance audits, it is recommended to sample other 2 random farms. For training, it is recommended that the TECBACO group representatives follow the AWS accredited course to then disseminate the key topics to the farmers.

Table 5.1: Group Details

<table>
<thead>
<tr>
<th>SUB-CODE</th>
<th>FARM NAME</th>
<th>ENTITY</th>
<th>LOCATION</th>
<th>TOTAL AREA (hectares)</th>
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</thead>
<tbody>
<tr>
<td>01</td>
<td>Neerlandia</td>
<td>Agropecuaria San Gabriel S.A.S.</td>
<td>10°56'51.89&quot;N 74°12'21.58&quot;O</td>
<td>143</td>
</tr>
<tr>
<td>02</td>
<td>San Antonio</td>
<td>Agropecuaria San Gabriel S.A.S.</td>
<td>10°56'46.31&quot;N 74°13'7.12&quot;O</td>
<td>231,5</td>
</tr>
<tr>
<td>03</td>
<td>Eva</td>
<td>Banaeva S.A.S.</td>
<td>10°53'53.80&quot;N 74°10'45.69&quot;O</td>
<td>131,39</td>
</tr>
<tr>
<td>04</td>
<td>Vega</td>
<td>Banavega S.A.S.</td>
<td>10°53'27.69&quot;N 74°10'57.91&quot;O</td>
<td>77,61</td>
</tr>
<tr>
<td>05</td>
<td>Enano</td>
<td>Bananera El Enano S.A.S.</td>
<td>10°53'27.88&quot;N 74°11'17.39&quot;O</td>
<td>174,19</td>
</tr>
<tr>
<td>06</td>
<td>Sami</td>
<td>Bananera El Enano S.A.S.</td>
<td>10°55'6.58&quot;N 74°11'23.23&quot;O</td>
<td>117,1</td>
</tr>
<tr>
<td>07</td>
<td>Don Marce Sur</td>
<td>Inversiones MRS S.A.S.</td>
<td>10°51'42.08&quot;N 74°12'9.60&quot;O</td>
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<td>08</td>
<td>Don Fuad</td>
<td>Canali S.A.S.</td>
<td>10°52'20.34&quot;N 74°10'57.67&quot;O</td>
<td>179,28</td>
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<td>09</td>
<td>Teresa</td>
<td>Agrícola Eufemia S.A.S.</td>
<td>10°50'26.60&quot;N 74°9'39.22&quot;O</td>
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<td>10</td>
<td>Olga</td>
<td>Agrícola Eufemia S.A.S.</td>
<td>10°49'8.51&quot;N 74°9'57.02&quot;O</td>
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<tr>
<td>11</td>
<td>Eufemia Dolores</td>
<td>Agrícola Eufemia S.A.S.</td>
<td>10°50'10.52&quot;N 74°8'35.84&quot;O</td>
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</table>
6 AUDIT FINDINGS

The findings raised during the audit were provided to TECBACO at the closing meeting, who proposed an action plan for each of the findings. For the Major CAR, evidence was sent to the Audit Team for review. The implementation of actions for Minor CARs will be reviewed at Surveillance #1. Once the Major CAR was closed by the Lead Auditor the reports were then reviewed by the Certifier.

Relating to this Audit

As a result, 01 major non-conformance and 03 minor non-conformances were raised during the audit process detailed at the Table below 6.1. Furthermore, some observations were raised during the audit which are for future improvement, but no action is necessary during this audit period, however, these issues would most likely come under scrutiny during a surveillance audit scenario.

Table 6.1. Current Non-Conformances raised during the AWS audit process

<table>
<thead>
<tr>
<th>No.</th>
<th>Type</th>
<th>Ref.</th>
<th>Details</th>
<th>Action Proposed by Client</th>
</tr>
</thead>
</table>
| 1   | Minor Non-Conformance | 1.3.2 | Site water balance
The water balances sampled of 2 farms have +/- 70% of difference between Water-IN and Water-OUT, which is high, as materiality for a reasonable assurance is 5% and limited assurance is 10%. Also, for Water-OUT the water contained in the product and the plant was not accounted for. It is not shown the water reuse for the rinsing process. | Root Cause: The client prepared the water balances with their estimates, however, they didn’t seek advise of a professional of water balances for agriculture.  
Action proposed by the client: TECBACO will engage with professionals for water balances for agriculture sector. |
| 2   | Minor Non-Conformance | 1.3.5 | Chemical Storage
During the farm visits, it was identified that there were fuel containers stored beside the water reservoir, and there was no physical barrier to prevent pollution in case of spillage or rain leakage. Furthermore, the chemical storage locations were close-by the food canteens for employees, which could attempt to WASH, and also, it is needed to check if there is compliance at all the farms regarding the minimum distance between chemical storage and food canteens. | Root Cause: Oversight of the farmers and TECBACO when implementing.  
Action proposed by the client: TECBACO will implement a comprehensive plan with the farmers for improvement of the chemical storage at each site. |
| 3   | Major Non-conformance | 3.2.1 | Legal Compliance
Water extraction (either underground or superficial) licenses for 9 of the 11 farms were expired but in the process of renovation. The only 2 farms that have all their licenses up-to-date are Vega and Olga. | Root Cause: Even that the regulatory body conducted the inspections, they were slow in granting the licenses.  
Action proposed by the client: TECBACO will contact the regulatory body to accelerate the approval of the licenses. |
CLOSURE: Approved licenses for the 9 farms that were pending was provided the 5th March 2020. Then, a summary with the update of all the license status was provided on the 7th March 2020. See table 6.2 for evidences review for closure.

| 4 | Minor Non-Conformance | 3.3.1 Water Balance targets achievement | Root Cause: TECBACO and the farmers did not realize before the importance of keeping such records. |
|   |                       | During the audit, it was identified through visiting the extraction pumps and interviewing the responsible persons that there are no records of the starting and ending periods (hours) of water extraction. This is relevant for the farms as when there is water shortage down at the community, the environmental authority calls by phone to stop irrigating or only irrigate after 4pm, however, there are no record of such calls either, as they are by phone. To supervise compliance, the authority conducts unannounced visits to farms, however, there are no records of that. All the process need to be recorded, to demonstrate compliance with the regime / hours allowed for irrigation, as currently the measurement is the m³ by day. | Action proposed by the client: They will discuss with the farmers the current process and implement a systematic record keeping for all farmers in order to standardize them and be able to provide evidence to regulators and AWS stakeholders. |

Table 6.2. Evidence for closing the Major CAR (in Spanish as it is the original language for regulators)

Se cuenta con el cumplimiento de la normatividad legal para la concesión y permisos para el uso de aguas subterráneas y aguas superficiales.

Regulador: Corporación Autónoma Regional del Magdalena - CORPOMAG

1. SOCIEDAD AGROPECUARIA SAN GABRIEL SAS. Nit 800.102.159-2
   Esta compuesta por las fincas Neerlandia, Llanos, San Antonio y Colonia.

   1. Finca Neerlandia: Esta finca presenta concesión de aguas subterráneas y aguas superficiales vigentes:

   AGUAS SUBTERRANEAS
   a. Aguas Subterráneas: Resolución 458 del 17 de febrero de 2020. Renovación de la concesión de aguas subterráneas a favor de la empresa Agropecuaria San Gabriel S.A. identificada con el NIT No. 800.102.159-2 para beneficio del Predio Neerlandia, localizado en el corregimiento de Rio Frio, Municipio de Zona Bananera, proveniente de dos (02) pozos en un caudal 44LPS para uso de riego de banano. 22LPS para el pozo No.1 y 22LPS para el pozo No.2. vigencia 5 años. Corporación Autónoma Regional del Magdalena - CORPOMAG
   b. Renovación de la Res 0522 de 1 de marzo de 2018 a 28 de febrero de 2023, para el uso en la empacadora. Vigencia por 5 años. Caudal 6.3LPS
   c. Renovación de la Res 0521 de 1 de marzo de 2018 a 28 de febrero de 2023, para el uso en la empacadora. Vigencia por 5 años. Caudal 6 LPS.

   Las dos resoluciones se encuentran vigentes. Corporación Autónoma Regional del Magdalena - CORPOMAG

AGUAS SUPERFICIALES
a. Se otorga concesión de aguas superficiales a ASORIOFRIO, por 10 años con Resolución 2265 del 14 de agosto de 2015 a 11 de agosto de 2025. ASORIOFRIO, es la fuente para las Fincas Neerlandia, Llanos, San Antonio y Colonia. Se encuentra vigente.
2. Finca Llanos

AGUAS SUBTERRANEAS

a. Corporación Autónoma Regional del Magdalena – CORPOMAG

AGUAS SUPERFICIALES

a. Se otorga concesión de aguas superficiales a ASORIOFRIO, por 10 años con Resolución 2265 del 14 de agosto de 2015 a 11 de agosto de 2025. ASORIOFRIO, es la fuente para las Fincas Neerlandia, Llanos, San Antonio y Colonia. Se encuentra vigente, por 10 años.

3. Finca San Antonio

AGUAS SUBTERRANEAS

a. Corporación Autónoma Regional del Magdalena – CORPOMAG
   Resolución 450 del 17 de febrero de 2020 Renovación de concesión de aguas subterráneas a la Empresa Agropecuaria san Gabriel S.A.S. a partir de dos pozos profundos (Pozo riego San Antonio – 23.15 LPS y Pozo Riego Lote Santana- 23.15LPS) existentes en el predio San Antonio, ubicado en el sector de la Aguja, corregimiento de Rio Frio, del municipio zona Bananera con caudal de 46.3 LPS, para uso de riego de banana. Vigencia de 5 años.

AGUAS SUPERFICIALES

a. Se otorga concesión de aguas superficiales a ASORIOFRIO, por 10 años con Resolución 2265 del 14 de agosto de 2015 a 11 de agosto de 2025. ASORIOFRIO, es la fuente para las Fincas Neerlandia, Llanos, San Antonio y Colonia. Se encuentra vigente por 10 años.

4. Finca Colonia

AGUAS SUBTERRANEAS

a. Corporación Autónoma Regional del Magdalena – CORPOMAG
   Resolución 450 del 17 de febrero de 2020 Renovación de concesión de aguas subterráneas a la Empresa Agropecuaria san Gabriel S.A.S. a partir de dos pozos profundos (Pozo riego San Antonio – 23.15 LPS y Pozo Riego Lote Santana- 23.15LPS) existentes en el predio San Antonio, ubicado en el sector de la Aguja, corregimiento de Rio Frio, del municipio zona Bananera con caudal de 46.3 LPS, para uso de riego de banana. Vigencia de 5 años.

AGUAS SUPERFICIALES

a. Se otorga concesión de aguas superficiales a ASORIOFRIO, por 10 años con Resolución 2265 del 14 de agosto de 2015 a 11 de agosto de 2025. ASORIOFRIO, es la fuente para las Fincas Neerlandia, Llanos, San Antonio y Colonia. Se encuentra vigente por 10 años.

II. AGRICOLA EUFEMIA S.A.S - Nit 800,103,793-7
   Esta compuesta por las fincas Eufemia Dolores, Teresa y Olga.

1. Eufemia Dolores

AGUAS SUBTERRANEAS

a. Corporación Autónoma Regional del Magdalena – CORPOMAG
   Resolución 0519 del 1 de marzo de 2018 a 28 de febrero de 2023. Renovación de concesión de aguas subterráneas. Caudal 12.4 LPS. Vigencia por 5 años.

AGUAS SUPERFICIALES

a. Corporación Autónoma Regional del Magdalena – CORPOMAG
   Resolución 454 del 17 de febrero de 2020 Renovación de concesión de aguas superficiales a la Empresa Agrícola Eufemia S.A.S. proveniente de la quebrada Orihueca a favor del predio Eufemia ubicado en corregimiento de Orihueca del Municipio zona bananera con caudal de 39 LPS, para uso de riego de banana. Vigente por 5 años.
### 2. Finca Teresa

**AGUAS SUBTERRANÉAS**

a. Corporación Autónoma Regional del Magdalena – CORPOMAG
   
   Resolución 1194 del 04 de abril de 2019 a 02 de abril de 2024. Renovación de concesión de aguas subterráneas. Vigencia por 5 años.
   
   Un (01) pozo para la empaquadora con un caudal de 9 LPS
   
   Cuatro (04) pozos para con un caudal de 35 LPS

**AGUAS SUPERFICIALES**

a. Corporación Autónoma Regional del Magdalena – CORPOMAG
   
   Resolución 456 del 17 de febrero de 2020. Renovación de concesión de aguas superficiales a la Empresa Agrícola Eufemia S.A.S. proveniente de la quebrada Orihueca a favor del predio Teresa ubicado en corregimiento de Orihueca del Municipio zona bananera con caudal de 38 LPS, para uso de riego de banano. Vigente por 5 años.

### 3. Finca Olga

**AGUAS SUBTERRANÉAS**

a. Corporación Autónoma Regional del Magdalena – CORPOMAG
   
   Resolución 0963 del 04 de abril de 2018: Por medio de la cual se concede una renovación de una concesión de aguas subterráneas otorgada a la empresa agrícola EUFEMIA SAS, con caudales de 44 LPS para el pozo de riego y 5 LPS para el pozo de la empaquadora, para un caudal total de 49 LPS, con destino al riego del cultivo de banano y el lavado de la fruta de exportación en el predio Olga”. Vigencia por 5 años.

**AGUAS SUPERFICIALES**

- No aplica Concesión ya que se encuentra suscrita a la Asociación de Usuario del Río Sevilla ASOSEVILLA.

### III. BANAeva S.A.S - Nit 819,006,978-6

#### 1. Eva

**AGUAS SUBTERRANÉAS**

a. Corporación Autónoma Regional del Magdalena – CORPOMAG
   
   Resolución 455 del 17 de febrero de 2010. Por medio de la cual se concede una renovación de una concesión de aguas subterráneas otorgada a la empresa Banaeva S.A.S, a partir del pozo profundo existente en el predio Eva, ubicado en el corregimiento de Río Frio, del municipio de zona bananera con caudal de 4 LPS, para uso de lavado de banano de exportación. Vigencia por 5 años.

**AGUAS SUPERFICIALES**

- La fuente es ASORIOFRIO. Resolución 2265 del 14 de agosto de 2015 al 11 de agosto de 2025. Se otorga concesión de aguas superficiales a ASORIOFRIO. Vigencia por 10 años.

### IV. CANALi S.A.S. - Nit 900,181,466-9

#### 1. Don Fuad I-II

**AGUAS SUBTERRANÉAS**

a. Resolución 453 del 17 de febrero de 2020. Por medio de la cual se concede una renovación de una concesión de aguas subterráneas otorgada a la empresa Canali S.A.S. para beneficio del predio Don Fuad I-II, ubicado en corregimiento de Orihueca del Municipio zona bananera, proveniente de dos (2) pozos con caudal de 39 LPS para uso de lavado de banano. Vigencia 5 años.

**AGUAS SUPERFICIALES**

<table>
<thead>
<tr>
<th>V.</th>
<th>BANANERA EL ENANO S.A.S - Nit 819,006,977-9</th>
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<tr>
<td></td>
<td><strong>AGUAS SUBTERRANEAS</strong></td>
</tr>
<tr>
<td></td>
<td>a. Resolución 449 del 17 de febrero de 2020. Por medio de la cual se concede una renovación de una concesión de aguas subterráneas a la empresa bananera El Enano S.A.S. para beneficio del predio Samy, ubicado en corregimiento de Rio Frio del Municipio zona bananera, con caudal de 5.0 LSP para lavado de banano, Vigencia 5 años.</td>
</tr>
<tr>
<td></td>
<td><strong>AGUAS SUPERFICIALES</strong></td>
</tr>
<tr>
<td></td>
<td>• No aplica Concesión ya que se encuentra suscrita a la Asociación de Usuario del Rio ASORIOFRIO.</td>
</tr>
</tbody>
</table>

| 2. | Enano                                     |
|    | **AGUAS SUBTERRANEAS**                   |
|    | a. Resolución 447 del 17 de febrero de 2020. Por medio de la cual se concede una renovación de una concesión de aguas subterráneas a la empresa bananera El Enano S.A.S. a partir del pozo profundo del predio El Enano, ubicado en corregimiento de Rio Frio del Municipio zona bananera, con caudal de 3LSP para uso de lavado de banano de exportación. Vigencia 5 años. |
|    | **AGUAS SUPERFICIALES**                  |
|    |   a. La fuente es ASORIOFRIO. Resolución 2265 del 14 de agosto de 2015 al 11 de agosto de 2025 Se otorga concesión de aguas superficiales a ASORIOFRIO. Vigencia por 10 años. |

<table>
<thead>
<tr>
<th>VI.</th>
<th>BANAVEGA S.A.S Nit 819,005,359-2</th>
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<tr>
<td>1.</td>
<td>Vega</td>
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<td><strong>AGUAS SUBTERRANEAS</strong></td>
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<td></td>
<td>a. Resolución 1202 del 20 de mayo de 2017: Por medio de la cual se otorga concesión de aguas subterráneas a partir de pozo profundo existente en el predio La Vega, a la empresa Banavega SAS, en el caudal de 7.0LPS, para lavado de banano de exportación. Vigencia por 5 años.</td>
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<td><strong>AGUAS SUPERFICIALES</strong></td>
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<tr>
<td></td>
<td>• Fuente ASORIOFRIO. Resolución 2265 de fecha 14 de agosto de 2015: Por medio de la cual se otorga concesión de aguas superficiales a la Asociación de usuarios del Distrito de adecuación de tierras de gran escala del Rio Frio – ASORIOFRIO, proveniente del Rio Frio, en caudal de 3410.68LPS, para el beneficio de los predios ubicados dentro de su jurisdicción, en el riego de cultivo de banano, palma y frutales. Vigencia de 10 años.</td>
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<thead>
<tr>
<th>VII.</th>
<th>INVERSIONES MRS S.A.S Nit 830,514,890-6</th>
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<tbody>
<tr>
<td>1.</td>
<td>Don Marce Sur</td>
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<td><strong>AGUAS SUBTERRANEAS</strong></td>
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<td></td>
<td>a. Resolución 451 del 17 de enero de 2020 por medio de la cual se otorga concesión de aguas subterráneas a la empresa Inversiones MRS S.A.S, a partir del pozo profundo ubicado en el corregimiento de Orihueca, del municipio Zona bananera con caudal de 4LPS, para uso de lavado de banano de exportación. Vigencia por 5 años.</td>
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<td></td>
<td><strong>AGUAS SUPERFICIALES</strong></td>
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</tbody>
</table>
Webpage CORPOMAG printscreen for resolutions verification. CORPOMAG is responsible to upload them, and they are still to upload 5 of the 11 resolutions.
7 SUMMARY

In reviewing the evidence presented by TECBACO and the banana farmers, it was demonstrated that there was a very high stakeholder engagement for several years already in place through a very mature platform for both rivers. Therefore, this was the basis for providing support for the audit for Alliance for Water Stewardship Certification.

The minor non-conformances were all situations where TECBACO and the banana farmers were considered to have partially met the AWS Core criterion requirement but were requested to make some improvements to be considered fully compliant at the next surveillance visit.

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

The action plan proposed to SGS in response to the findings was reviewed and evaluated for compliance to the AWS standard. All actions were accepted for implementation. Evidence for closing the Major CAR was sent 3 weeks after the audit, while the actions taken for addressing the Minor CARs will be reviewed at the first surveillance visit.
8 OPPORTUNITIES FOR IMPROVEMENT

The certification audit for the client against the AWS Standard is for the initial assessment for conformity and as such allows for many areas for improvement going forward.

**Observation to 5.3.1:** The previous communication was in September 2019 at the platform meeting, when it was only a partial implementation, therefore, it should be disclosed the full results to date.

Other opportunities for improvements are recorded at the checklist.
9 CONCLUSIONS AND RECOMMENDATIONS

TECBACO and the banana farmers have demonstrated effective involve of its management system and is capable of achieving its policy objectives, as well as the intended results of the respective management system.

Given the evidence reviewed and the site visit inspections performed, SGS recommends that, based on the results of this audit, **C.I. Técnicas Baltime de Colombia is awarded AWS Core – Group Certification** with yearly surveillance audits.
10 REFERENCES

- Maps of zone where farmers are located
- Boundaries of each farm, with the legends
- Water suppliers diagram
- Characteristics of the acquifer
- Information about the catchment
- Actors and Roles
- Presentation of Water Platform by WWF
- Climate Change Adaptation plans for each farm
- Water Balance for each farm
- Water tests results (potability, processing and releases)
- Chemical products list
- Legal Permits and other compliance records
- Shared water challenges by stakeholder
- Sustainability strategy
- Forum for the catchment
- Actions Summary
- Diagram Influence – strategy by Stakeholders
- Best practices identification
- Policy commitment
- Meeting record with the platforma, WWF and Edeka
- Legal Requirements Compliance Spreadsheet
- Legal permits
- AWS strategy
- Water Stewardship action plans by farm
- Adaptation plan
- Water Stewardship Training Presentations
- Training Plans
- Benefits to the catchment list
- Feedback meetings to the water platform
- AWS information flyer for feedback to stakeholders
- Group Requirements Procedure
- List of farms included in the Group
- Internal Audits Records
- Other records