

IBD

CERTIFICAÇÕES

CREDIBILITY & TRUST



RSPO Principles & Criteria (P&C) Public Summary Report

**Extractora Natural Ecuador S.A.
Ecuador**

**Pedro Roberto Cerrate Morales
23 – 26 de Octubre 2017**

CONTENTS

1. Scope of the Certification Audit

- 1.1** Normative references
- 1.2** Company and Contact Details
- 1.3** RSPO Membership Details
- 1.4** Audit type
- 1.5** Location of the Palm Oil Mill
- 1.6** Palm Oil Mill Output and Approximate Tonnages Certified
- 1.7** General Description of Supply Base
 - 1.7.1** Location of the Supply Base
 - 1.7.2** Statistics of the Supply Base and Estimated Tonnes of FFB/year
 - 1.7.3** Biodiversity (Conservation & HCV Area for the respective Supply Bases)
 - 1.7.4** Total Certified Area
 - 1.7.5** Calculation of the Number of Production Units (N) to Sample for the Mill
 - 1.7.6** Calculation of the number of subcontractors to be sampled
- 1.8** Progress of associated Smallholders or Out-growers towards compliance
- 1.9** Location Map for this Certification Unit
- 1.10**
- 1.11** Summary of Net GHG Emissions
- 1.12** Summary of Field Emissions and Sinks
- 1.13** Summary of Mill Emissions and Credits
- 1.14** Palm Oil Mill Effluent (POME) Treatment
- 1.15** POME Diverted to Anaerobic Digestion

2. Partial Certification

- 2.1** Management Organization
- 2.2** Time-bound plan
- 2.3** Progress made on the time-bound plan
- 2.4** Non-conformities

3. Audit Process

- 3.1** IBD - The Certification Body
- 3.2** Audit Team
- 3.3** Audit Methodology
 - 3.3.1** Audit Agenda
 - 3.3.2** List of stakeholders consulted prior to and during the audit.
 - 3.3.3** Outline of how stakeholder consultation was managed.
 - 3.3.4** Issues that arose during stakeholder consultation and company responses.

4. Audit Findings

- 4.1** Summary of findings
- 4.2** Non conformity register
 - 4.2.1** Verification of previous assessment non-compliances
 - 4.2.2** New non-compliances raised at this audit
 - 4.2.3** Observations
- 4.3** Lead Auditor Recommendations for the RSPO Principles & Criteria certification.
- 4.4** Comments for next audit.

5. Formal signing of audit findings

- 5.1** Acknowledgment of internal responsibility by the Client
- 5.2** Signing by the Lead Auditor.

6. Major non-compliances follow-up actions

1. SCOPE OF THE CERTIFICATION AUDIT							
1.1 Normative references							
The Palm Oil Mill and the supply base was audited against the following documents:							
<input checked="" type="checkbox"/>	RSPO International Principles and Criteria (April, 2013 version)						
<input type="checkbox"/>	National Interpretation (approved version XX/20XX)						
<input checked="" type="checkbox"/>	RSPO Supply Chain Certification (June 2017 version)						
<input checked="" type="checkbox"/>	New Planting Procedures (November, 2015 version)						
<input checked="" type="checkbox"/>	RSPO Rules on Market Communications and Claims (November, 2016 version)						
1.2 Company and Contact Details							
Company name	Extractora Natural Ecuador S.A. (Natural Habitats)						
Business address	Office Ecuador: Ave. Amazonas N39-123 Edif. Amazonas Plaza, 8th floor, #58 Quito Ecuador.						
Scope	Production of Crude Palm Oil and Palm Kernel						
Products	Crude Palm Oil and Palm Kernel						
Contact person	Jessenia Angulo						
Telephone	31652823919						
E-mail	jessenia@natural-habitats.com						
Web site	www.natural-habitats.com						
Other certifications held	USDA ORGANIC, KOSHER, FAIR FOR LIFE, HACCP						
1.3 RSPO Membership Details							
RSPO membership number	1-0115-11-000-00						
Parent company as applicable	Natural Habitats Group						
1.4 Audit type							
Date of previous audit	9-12/08/2017						
Date of this audit	23 – 26 Octubre 2017						
Main or ASA (1 to 4)	ASA 4						
Date of next surveillance audit	Within 9 to 12 months after ASA 4 audit						
1.5 Location of the Palm Oil Mill							
Palm Oil Mill (POM) Name	Location Address	Mill Capacity	GPS Reference				
		MT/Hour	Longitude	Latitude			
Extractora Natural Ecuador S.A.	Vía Viche- Esmeraldas km 3. Esmeraldas, Ecuador.	11/MT/Hour	UTM:00 74964	17N:0 662441			
1.6 Palm Oil Mill Output and Approximate Tonnages Certified							
The 12 month output is the average over any 12 month period and the actual production for the 12 months from the date of certification will be included in the annual summary. These figures exclude any output product from non-certified suppliers.							
For the 12 month period ending month year the mill received [37,521.83] mt of FFB.							
<ul style="list-style-type: none"> The estimate for the last 12 months is applicable to Annual Surveillance Audits and is the Projection for the next 12 months from the previous audit. The actual production for the last 12 months is the audited quantity since the last audit. The projection for the next 12 months is given by the company. 							
FFB received and processed by the mill for the 12 months prior to this audit:			Mt RSPO Certified FFB:	37,521.8 3 Mt			
			Mt Conventional FFB:	0 Mt			
FFB received on the previous 12 months, month by month:							
January:	3524.570	February:	3559.880	March:	3784.920	April:	3439.780
May:	3313.940	June:	3106.740	July:	446.490	August:	3242.260
September:	2352.531	October:	3412.550	November:	3559.080	December:	3779.090
Estimate for last 12 Months (MT) [State of IP or MB] (ASA audits).		Actual Production for last 12 months (MT) [IP]		Projection for next 12 Months (MT) [IP]			
CPO	PK	CPO	PK	CPO		PK	
10512	4993.91	8100	820.23	15000		1386	

Last license year's actual sold volume		Last license year's actual sold volume under other schemes		Last license year's actual sold volume as conventional	
CPO	PK	CPO	PK	CPO	PK
1715,42	131,22	0	0	6384,58	689,01
Notes:					
1.7 General Description of Supply Base					
<p>Natural Habitats Group owns only one Mill in Ecuador: Extractora Natural Ecuador S.A. or Extra Natu located in Viche, Esmeraldas.</p> <p>Natural Habitats supports farmers in the implementation of several standards (organic standards, RSPO and Fair trade) through its agronomist team and also delivers training to farmers, facilitates credits and supplies, and pays premium prices for the FFB.</p> <p>Due that the Ecuadorian law forbids associated or scheme smallholders, the RSPO Secretariat discussed the situation and decided that the growers should be considered as independent smallholders.</p>					
1.7.1 Location of the Supply Base					
Oil Palm Plantation (OPP)		Location Address	GPS Reference		
Name			Longitude	Latitude	
Abad Baque Félix Monso		San Juan	676123	44731	
Abad Baque Mauro Valentín		San Juan	17N 0674585	UTM 0042559	
Abad Leones Antonio Homero		San Juan	17N 0676868	UTM 0042620	
Alarcon Haro Mariana De Jesus		El Respaldo	17N: 0661543	UTM: 0048670	
Andrade Calisto Nelson Esteban		Agromache	673665	9998859	
Andrade Moncayo Hugo Ernesto		San Ramón	17N: 0658539	UTM: 0033495	
Andrade Valdez Hugo Juvencio		San Ramón	17N: 0658539	UTM: 0033495	
Astudillo Cevallos Juan Carlos		El 200	17 N 0675838	UTM 0027890	
Astudillo Cevallos Julieta Emperatriz		El 200	17 N 0675718	UTM 0027595	
Astudillo Cevallos Mercedes Del Carmen		El 200	17 N 0675515	UTM 0027340	
Astudillo Cevallos Mónica Beatriz		El 200	17 N 0675628	UTM 0027481	
Astudillo Cevallos Raquel Siboney		El 200	17 N 0675718	UTM 0027769	
Astudillo Cevallos Rubén Alejandro		El 200	17 N 0675940	UTM 00280102	
		Los Velez	17 N 0669838	UTM 0046595	
Barcia Molina Carlos Simón		Sabalito	17N: 0684733	UTM: 0031072	
		Sabalito	17N: 0685949	UTM: 0031313	
Borja Borja Alexandra Verónica		Chigue	UTM 00 86223	17 N 0 655145	
Bravo Narváez Wilson Rene		Perla del Sade	681193	56073	
Buitron Herrera Carlos Luis Gustavo		Macallares	17N: 0675532	UTM: 0050075	
Cabrera Carrion Carlos Sigifredo		Las 40 (arenales)	17N: 0677812	UTM: 0037431	
Cabrera Leon Carlos Aurelio		El cajoncito	17N: 0662058	UTM: 0033863	
Cagua Rentería Juan		Chucaple	UTM 00 60978	17 N 0 659974	
Calero Salazar Francisca Ortencia		Palma Real	17N: 0682090	UTM: 0041236	
Carpio Morales Glenda Elizabeth		San Jacinto del Chipo	17N: 0676033	UTM: 0030319	
Cedeño Cedeño José Tomas (Agro Exportadora GARYTH SA)		La Marujita	673569	24456	
Cedeño Marcillo Denys Otita		San Jacinto de Chila	17N: 0666386	UTM: 9981192	
Celi trujillo Willian José		Maravillas	17N: 0691601	UTM: 0030143	
		La SEXTA	17N:0692062	UTM: 0035784	
Centeno Menéndez María Piedad		La Marujita	17N:00667906	UTM: 0010814	
Cevallos Arizala María Enoe		El 200	17 N. 0672641	Utm.0045872	
Cevallos Arizala María Enoe		Malimpia	17 N. 0674728	Utm.0027712	
Chica Mero Annelio Isrrael		Muisne	UTM 00 70406	17 N 0 611200	
Choez Segovia Ana María		Arenales	17N: 0677198	UTM: 0039184	
		Arenales	17N: 679039	UTM40239	
		Arenales	UTM: 676744	UTM: 38972	
Choez Segovia Antonia Ramona		Arenales	17N: 0676343	UTM: 0038744	
		Arenales	17N: 0676851	UTM: 0040234	
		Arenales	17N: 0678728	UTM: 0040800	

	Arenales	17N: 0678236	UTM: 0040145
Choez Segovia Geoconda Liliana	Arenales	17N: 0678000	UTM: 0039123
	Arenales	17N: 676757	UTM: 39215
Choez Segovia José Manuel	Arenales	17N: 0676592	UTM: 0038732
	Arenales	17N: 0676658	UTM: 0040376
	Arenales	17N: 0677983	UTM: 0038915
Choez Segovia Juan Carlos	Zona 20	17N 0676402	UTM 0039251
Choez Segovia Julio Licimaco	Arenales	17N: 0676328	UTM: 0039222
	Arenales	17N: 0677831	UTM: 0038600
	Arenales	17N: 0676866	UTM: 0038962
	Arenales	17N: 0677699	UTM: 0038698
Choez Segovia Santos Rafael	Arenales	17N: 0676465	UTM: 0038737
	Arenales	17N: 0676773	UTM: 0038975
	Arenales	17N: 0678728	UTM: 0040800
Coello Zambrano Clara Friné	El Duana	17 N: 0674132	UTM: 0040761
Coello Zambrano Piedad Teodolinda	La Calderón	17N: 0696965	UTM: 003307
Coello Zambrano Walter Antonio	La Sexta	UTM 00 40761	17 N 0 674132
	La Sexta	UTM 00 40761	17 N 0 674132
Cortez King José Fernando	Cupa	17N 0670031	UTM 0040783
	Cupa	670574	41237
	Nuevo Quininde	671003	37156
De Mattos Morais Marilda	10 de agosto	17N: 0699738	UTM: 0042829
Del Hierro Montoya Gabriel Enrique	San Gregorio	17N: 0670710	UTM: 0034186
Delgado Erazo Garis Fernando	El Barrero	UTM 00720652	17 N 0 662282
Díaz Proano Carlos Rafael	El Consuelo	17N: 0674866	UTM 11211
Flores Angulo Lissette Stephanie	Cupa	668125	41656
Franco Dávila Mario Maximiliano	Miramuchín	17N: 0668752	UTM: 0030972
Galeas Chamba Carlos	El Almozadero	682924	20631
Galeas Chamba Elvia Marisol	El Almozadero	683687	20169
Galeas Chamba Hugo Fernando	El Almozadero	683760	20255
Gallardo Freire Raúl Edmundo	San Antonio	17N: 0676617	UTM: 0044507
Granda Villavicencio Diana Sophia	El Limón	17N: 0679519	UTM: 0020335
Hartley De Mattos Daniel Stuart	10 de agosto	17N: 0699716	UTM: 0042811
Hernández Sánchez Byron Luis	El Silencio	UTM 00 17478	17 N 0 684809
Hoyos Cobeña Lucia Alexandra	Cupa	UTM 00 42994	17 N 0 667038
Hoyos Cobeña Rosa Mercedes	El Consuelo	666967	42820
Hurtado Ibarra Jose	Santa Elvira		
Hurtado Quiñonez Jose	Santa Elvira		
Ibarra Pinargote Dilia	Santa Elvira	UTM 00 70406	17 N 0 611200
Ibarra Pinargote Diofre De Los Santos	Santa Elvira	UTM 0072062	17 N 0662286
Intriago Bermello José Leovijildo	Santa Elvira	UTM 00 29280	17 N 0 666968
Intriago Bermello Luis Adalberto	Santa Elvira	UTM 00 29280	17 N 0 666968
Intriago Bermello Wilma Jacinta	Santa Elvira	UTM 00 29280	17 N 0 666968
Intriago Bermello Yhadira Solanda	Santa Elvira	UTM 00 29280	17 N 0 666968
Intriago Mera Carlos Julio	El Cedro	17N 0673398	UTM 0046025
Intriago Mera Gergis Nijel	Vía Zapotal Bajo	17 N 0666334	UTM 0048714
Intriago Mero José Jhonny	Venado	17N: 0676270	UTM: 0047505
Intriago Peñarrieta Leovigildo	Santa Elvira	UTM 00 29280	17 N 0 666968
Intriago Quintero Amelia Alexandra	El 200	673691	27230
Intriago Quintero Fabián Arturo	El 200	672597	26628
Intriago Quintero Javier Ignacio	El Progreso	17N: 0669239	UTM: 0025361
Intriago Quintero María Patricia	Pueblo Nuevo	17N 0674219	UTM 0027385
Intriago Zambrano Héctor Leonardo	Pambula	17N: 0666719	UTM: 0033363
	Pambula	17N: 0667706	UTM: 0033069
Jácome Verdezoto Fermín Manuel	Corre Mono	17N: 0670432	UTM: 0017978
Jiménez Díaz Carlos Alberto	Salima	UTM 00 92942	17 N 0 629759
Jiménez Díaz Luis Alberto	El Roto	UTM 00 65064	17 N 0 659858
Jurado Monteros Betty Daniela	Cosmopolita Zona 20	677584	37769

Jurado Sevilla Gandhi Danilo	Cosmopolita Zona 20	677616	37769
Jurado Sevilla Hegel Danilo	Cosmopolita Zona 20	673166	36972
López Espinosa María Lucila	Valle Hermoso	9 995812	17 N 0 685812
Loyaga Zaquinaula Walthier Humberto	El Duana	674709	33268
Loza Moreno María Leticia	El Consuelo	675157	10011682
Marín Delgado Jorge Geovanny	San Antonio	17N: 0686162	UTM: 0010855
	San Antonio	17N: 0684805	UTM: 0009767
	San Antonio	17N: 0684809	UTM: 0011154
Mera Panta Eladio Zacarias	Tres Vías	UTM 00 52664	17 N 0 613962
Mijas Tinizaray José Rolando	Portilla	17N: 0669784	UTM: 0039032
Monar Morejon Oswaldo Rodrigo	El Podrido	17N 0683042	UTM 0019068
	El Podrido		
Montoya Peñarrieta Enrique Pascual	Sabalito	17N: 0684249	UTM: 0027542
Moreira Muñoz Colon Vicente	Zapotal Bajo	17N: 0667389	UTM: 0048833
Moya Ortega Marena Jeaneth	Valle Alto	17N: 0669831	UTM: 0033278
Muirragui Montalvo Andrés Adrián	Via Santo Domingo km 18	17N 0695412	UTM 0985242
Murillo Rosado Vicente Modesto	San Ramon		
Obstancias Faure Claude Georges	El Limón	17N: 0678717	UTM: 0022077
Orozco Masson Fausto Adriano	Gorgona	UTM 00673417	17 N 0 673417
Orozco Masson Fausto Adriano	Venado	UTM 00 39394	17 N 0 671313
Orozco Nuñez Carlos Andres	El Quisphe	673775	37010
Ortega Chavez Emma Lucitania	Valle Alto	17N: 0670514	UTM: 0034101
Perez Quishpe Alicia Yolanda	San Antonio	17N: 0675286	UTM: 0043366
Pérez Valarezo Oscar Danilo	La Victoria	679456	12937
Perez Yáñez Danilo Lenin	La Victoria	677067	13329
Pullas Parra Marco Roberto	San Gregorio	17N: 0662454	UTM: 0074955
Quelal Cisneros Douglas Mauricio	Zona 20	17N 0677028	UTM 0038426
Quevedo Vivanco William Luciano	Nueva Esperanza	17N: 0670321	UTM: 0031874
	La Milagrosa	17N:687565.0	UTM:1003888
	El Paraiso	17N: 86274.0	1.0035985
	La Milagrosa	17N:687565.0	UTM:1003888
	La Milagrosa	17N:687254.0	UTM:1.00402
	5 De Junio	17N: 0700392	UTM: 0039362
	La Independiente	17N: 0710462	UTM: 0036564
	La Comuna	17N: 0681452	UTM: 0035653
Quinche Alava Joice Araceli María	Los Guandales	17N: 0684870	UTM: 0022391
Recalde Angulo Carlos Ramón	La Unión	17N: 0677924	UTM: 0015908
	San Gregorio	17N 616002	59796
Rivadeneira Rivadeneira José Manuel	El 200	17 N 0681172	UTM 0028778
Rivas Balarezo Darwin Rolando	San Antonio	17N: 0675906	UTM: 0048557
Rivera Vicentina	La Sexta	691610	25450
Rodríguez Loza Segundo Abel	El Consuelo	679271	10008652
Rojas Cevallos Mónica Virginia	Boca del Sucio	17 N 06173445	UTM 00593342
Rosales Vasconez Cecilia	Km 19 vía Sto. Dgo.	17N: 0676190	UTM: 007350
Rosales Vasconez José Rafael	Mompiche	UTM 00 55777	17 N 0 612136
Rosales Vasconez María Eugenia	INIAP	17N: 0679622	UTM: 9996523
Rosales Vasconez Pablo Alberto	Mompiche	UTM 00 55552	17 N 0 612727
Saldarriaga García Carlos Andrés	Mompiche	9989459	55435
Saltos Rodríguez Klever Francisco	km 50	17N: 0676190	UTM: 007350
Santos Zambrano Milton De Jesús	Cube	UTM 00 64687	17 N 0 653091
Segura Vergara Alfonso	Santima	17N: 0660762	UTM: 0025253
	San Roque		
	El Cajoncito Via San Ramón km 1 (1)		
Solórzano Andrade Isaac Salomón	Plan Piloto	680509	680509
Solórzano Andrade Linston Frowen	El Barrero	698380	42444
Soto Ramírez Betty Maritza	El Limon	677973	22023
Soto Ramírez Gloria Esperanza	Arenales	17N; 0686984	UTM: 0035933

Soto Ramirez Gloria Esperanza	La Cuarta	17N: 0688265	UTM: 0035069
	La Quinta	-79.294592	0.31783003
Soto Ramirez Rober Franco	Via Arenales	17N: 0683079	UTM: 0034078
	Via Arenales	17N: 0683079	UTM: 0034078
	La Comuna	17N: 0683079	UTM: 0034078
	Guachal	17N: 0683079	UTM: 0034078
	La Comuna	17N: 0681452	UTM: 0035653
	La Comuna	17N: 0681452	UTM: 0035653
Soto Ramirez Walter Jose	Arenales	17N: 0686292	UTM: 0028304
	Via Arenales	17N: 0682308	UTM: 0034872
	Sabalito	17N: 0681301	034780
	La Comuna	17N: 0675278	36257
Teran Caicedo Fanny Catalina	El Duana	17N 00 39 483	667167
	Malimpia	17N 00 39 483	667167
	El Palmito	17N 00 39 483	667167
Toro Salazar Franco José	Miramuchin	17N: 0666221	0028028
	Barrero	17N: 0667197	0029515
	Barrero	17N: 0667197	0029515
Torres Pluas Gina Manira	Quininde	17N 0031643	0 673042
Van Moorselaar Cevallos Daniela	El Cedro Malimpia	17 N. 0672641	Utm.0045872
Vasconez Altamirano Martha Cecilia	La Unión	676650	17679
Vega Perez Segundo José Rafael	Malimpia	17N: 0674443	UTM: 0045569
Vela Cheroni Jaime Alejandro	Valle del Sade	688000	55736
Velasco Verdezoto Sergio Amado	Santa Elvira	671359	29845
Whitney Shppard Lucia Sara	La Perla	17N 0680528	UTM 9998006
Zamora Cevallos Flor María	Santa Elvira - Nueva Grecia	17N 0277785	UTM 079493
	Malimpia	17N 0277785	UTM 079493
Zorrilla Sánchez Esther Benedicta	La Quinta	17N 040759	17 N 0 674183
Zorrilla Sánchez Nemecio Guillermo	Tres de Enero	17N 680723	17 N 10007889
	La Quinta	17N 680723	17 N 10007889
	Pueblo Nuevo	675434	32828
	El Duana	682821	32362
Jervis Mario	La Concordia	17N: 0666386	UTM: 9981192
Reyes Cecilia	Muisne	17N: 0670322	UTM: 0031874
Saenz Montenegro Mariana Rocio	La Independiente	17N: 0710462	UTM: 0036564
	La Independiente	17N: 0710462	UTM: 0036564
Tejada Margot	Las Villegas	17N: 070039	UTM: 003962
	Las Villegas	17N: 070039	UTM: 003962
Jacome Fermin	Corre Mono	17N: 0684805	UTM: 0009767
Roberto Hernandez Ticono	Malimpia	17N: 0674443	UTM: 0045569
Micolta Reasco Libia	Mache	17 N 06173445	UTM 00593342
Angulo Vaca Galo Heriberto	24 de mayo	17N: 0680993	UTM: 0009710
Diego Zambrano	Ronca Tigrillo	17N: 0688265	UTM: 0035069

1.7.2 Statistics of the Supply Base and Estimated Tonnes of FFB produced per year

Name	Area of Oil Palm (Ha)		Estimated Tonnes FFB/Yr	Planting Years	Cycle (Years)
	Total	Production			
Abad Baque Félix Monso	16	15.84	239.98	1990 2005	24
Abad Baque Mauro Valentín	10.9	9.6	180.00	1997 2000	24
Abad Leones Antonio Homero	6.2	6.12	120.01	2000	24
Alarcon Haro Mariana De Jesus	6.1	8.39	167.97	2000	24
Andrade Calisto Nelson Esteban	81	47.05	623.88	92 93 94 09 14	24

Andrade Moncayo Hugo Ernesto	52.4	20	300.00	1995 2003	24
Andrade Valdez Hugo Juvencio	25.41	25.41	383.95	1995 2000 2007	24
Astudillo Cevallos Juan Carlos	7.35	7.3	119.21	1994	24
Astudillo Cevallos Julieta Emperatriz	7.35	7.3	119.21	1994	24
Astudillo Cevallos Mercedes Del Carmen	7.4	7.35	120.03	1994	24
Astudillo Cevallos Mónica Beatriz	7.35	7.2	117.58	1994	24
Astudillo Cevallos Raquel Siboney	7.35	7.2	117.58	1994	24
Astudillo Cevallos Rubén Alejandro	7.5	7.35	143.99	94 02 06 08 09 10 11 12	24
	30.49	22.8	358.87		24
Barcia Molina Carlos Simón	46	45	621.00	97 99 01 05	24
	17.08	17	262.82		24
Borja Borja Alexandra Verónica	28	18.5	300.07	2004 2010 2013	24
Bravo Narváez Wilson Rene	43.3	31.6	504.02	2003 05 08	24
Buitron Herrera Carlos Luis Gustavo	60	40	560.00	1992 2006 2010	24
Cabrera Carrion Carlos Sigifredo	9.5	9	191.97	1994 98	24
Cabrera Leon Carlos Aurelio	27.7	22.8	351.12	2005	24
Cagua Rentería Juan	39.2	8	144.00	2002	24
Calero Salazar Francisca Ortencia	10	10	180.00	2009	24
Carpio Morales Glenda Elizabeth	65.3	50	720.00	2002 2005	24
Cedeño Cedeño José Tomas (Agro Exportadora GARYTH SA)	29.3	29.3	0.00		
	38	38	489.06	1985 1995	24
Cedeño Marcillo Denys Otita	32	24.47	359.95	2001	24
	17.75	13.98	191.95		24
Celi trujillo Willian José	25	23.3	391.44	1994 2003	24
	50	47.5	684.00		24
Centeno Menéndez María Piedad	169.1	76.22	960.37	1993	24
Cevallos Arizala María Enoe	72.2	52.54	719.80	1981 88 92 2000 06 09 10	24
	54.5	42.91	599.88		24
Chica Mero Annelio Isrrael	37.7	28.67	504.02	2009 2012	24
Choez Segovia Ana María	10	9.8	176.40	1999 2005 2009	24

	4	4	120.00		24
	3	3	108.00		24
Choez Segovia Antonia Ramona	9	9	168.03	1999 2007 2009	24
	3	3	84.00		24
	2	2	72.00		24
	8	3.49	96.01		24
Choez Segovia Geoconda Liliana	15	12.99	216.02	1995 2009	24
	3.3	2.9	84.36		24
Choez Segovia José Manuel	2.34	2.34	60.00		24
	9	9	180.00		24
	3.32	3.32	96.01		24
Choez Segovia Juan Carlos	8	7.6	171.00	1995 97 2010	24
	2	1.8	54.00		24
	3.1	2.3	60.01		24
Choez Segovia Julio Licimaco	11	10.6	173.42	1997 2009	24
	5	5	194.60		24
	3.7	3.7	107.63		24
	7.55	5.3	126.35		24
Choez Segovia Santos Rafael	3.25	3.25	96.01	1999 2009	24
	9	8.1	144.02		24
	2.34	2.1	64.62		24
Coello Zambrano Clara Friné	11	9.65	168.01	2001	24
Coello Zambrano Piedad Teodolinda	32.2	25.87	420.13	1997 2003 2009	24
Coello Zambrano Walter Antonio	60.3	56.06	803.90	93 99 05 06 09 10 11	24
	39	28.97	420.07		24
Cortez King José Fernando	25.7	23.83	360.07	2000 02 08	24
	100	98.48	1379.70		24
	18.1	14.79	215.93		24
De Mattos Morais Marilda	44	43.7	596.07	1991 2000	24
Del Hierro Montoya Gabriel Enrique	39.7	37.3	563.98	2013	24

Delgado Erazo Garis Fernando	5.47	4	87.76	1995	24
Diaz Proano Carlos Rafael	41.8	37.06	504.02	1994 2010	24
	3.92	3.8	81.43		24
Flores Angulo Lissette Stephanie	17.14	16.2	249.48	1998 2003	24
Franco Dávila Mario Maximiliano	63	60.2	813.90	1998 2002 09	24
Galeas Chamba Carlos	24.3	20.27	263.92	2008	24
Galeas Chamba Elvia Marisol	12.54	10.11	145.08	2000 07 11	24
Galeas Chamba Hugo Fernando		29.46	466.65	2001 2008	24
Gallardo Freire Raúl Edmundo	20	19	300.01	2003 2006	24
Granda Villavicencio Diana Sophia	139	120	1558.80	1994 2002 2015	24
Hartley De Mattos Daniel Stuart	44	44	660.00	1985 1988 1990	24
Hernández Sánchez Byron Luis	46.3	44.5	657.27	2006 2010 11	24
Hoyos Cobeña Lucia Alexandra	23.9	18.81	383.91	1999 2008	24
Hoyos Cobeña Rosa Mercedes	20	13	192.01	1999 2008	24
Hurtado Ibarra Jose	20	15.8	240.32	2004 05 10	24
Hurtado Quiñonez Jose	21.4	21.2	325.00	2002 2008	24
Ibarra Pinargote Dilia	28	24.9	405.37	1998 2004	24
Ibarra Pinargote Diofre De Los Santos	35	35	535.15	1999	24
Intriago Bermello José Leovijildo	4.4	4.12	96.00	2001	24
Intriago Bermello Luis Adalberto	4.4	4.11	96.01	2001	24
Intriago Bermello Wilma Jacinta	6.4	4.12	96.00	2001	24
Intriago Bermello Yhadira Solanda	4.7	4.12	96.00	2001	24
Intriago Mera Carlos Julio	7.9	5.6	120.01	2009 2013	24
Intriago Mera Gergis Nijel	11.7	11.33	227.96	2005	24
Intriago Mero José Jhonny	20.8	17.28	299.98	2001	24
Intriago Peñarrieta Leovigildo	38.8	31.38	480.11	1993 2003	24
Intriago Quintero Amelia Alexandra	10.5	10	182.90	2005	24
Intriago Quintero Fabián Arturo	13.1	8.77	179.96	2000 2007 2009	24
Intriago Quintero Javier Ignacio	11.7	9.77	216.01	2007	24
Intriago Quintero María Patricia	24.7	10.69	228.02	1993 2005	24

Intriago Zambrano Héctor Leonardo	19.2	15.38	300.06	2002 2007	24
	4.55	4.4	139.26		24
Jácome Verdezoto Fermín Manuel	42.2	15.42	228.06	2000	24
Jiménez Díaz Carlos Alberto	61.17	53.6	756.83	2007 08 09	24
Jiménez Díaz Luis Alberto	32.4	20	336.00	1999	24
Jurado Monteros Betty Daniela	49	40.25	600.13	1989 1997	24
Jurado Sevilla Gandhy Danilo	28.4	25.15	420.01	1997	24
Jurado Sevilla Hegel Danilo	34.4	27.21	444.07	1994	24
López Espinosa María Lucila	88.3	28.62	384.08	90 95 00 11	24
Loyaga Zaquinaula Walther Humberto	14.7	14.6	252.00	2001	24
Loza Moreno María Leticia	142.2	141.82	1823.81	1994 2002 2011	24
Marín Delgado Jorge Geovanny	53.4	51.99	743.98	2000 2002	24
	19.9	18.09	240.05		24
	12	9.44	143.96		24
Mera Panta Eladio Zacarias	29.9	7.27	144.02	2000 2009	24
Mijas Tinizaray José Rolando	32	12.87	228.06	1997 2009	24
Monar Morejon Oswaldo Rodrigo	56.6	48.7	691.54	1987 1995 2003	24
	37.6	30	444.00		24
Montoya Peñarrieta Enrique Pascual	42.3	33.57	300.00	1999 2005 2008 2009	24
Moreira Muñoz Colon Vicente	23	18.15	259.55	2008	24
Moya Ortega Marena Jeaneth	45.18	44.1	612.11	1998 2001 2012	24
Muirragui Montalvo Andrés Adrián	286.3	60.14	926.76	77 90 05 10	24
Murillo Rosado Vicente Modesto	27.8	5.93	81.89	2006 08	24
Obstancias Faure Claude Georges	45.1	36.62	963.47	2001 03 05	24
Orozco Masson Fausto Adriano	84.94	74.3	974.07	98 00 05 06 07 08	24
	29.7	18.14	243.44		24
Orozco Nuñez Carlos Andres	27.77	26.7	459.24	2006	24
Ortega chavez Emma Lucitania	65.6	44.18	706.44	1998 2005	24
Perez Quishpe Alicia Yolanda	19	15	220.05	1987 2009	24
Pérez Valarezo Oscar Danilo	7.3	5	88.00	2006 2008	24

Perez Yáñez Danilo Lenin	25.2	19.14	367.49	2000 04 07	24
Pullas Parra Marco Roberto	64.3	41	642.47	2013	24
Quelal Cisneros Douglas Mauricio	72.2	19	285.00	1993	24
Quevedo Vivanco William Luciano	37.45	37.41	496.06	1997 99 2000 01 02 03 04 05 06 07 09	24
	59.6	59.5	954.38		24
	33.03	33.03	459.78		24
	69.6	69.6	1087.15		24
	92.2	92.2	1255.76		24
	88.64	88.64	1177.14		24
	176	175.95	2334.86		24
	129	127	1645.92		24
Quinche Alava Joice Araceli María	43.3	10.4	137.59	99 03 10	24
Recalde Angulo Carlos Ramón	49.5	41.45	572.84	1990 02 13	24
	17.8	16.54	252.07		24
Rivadeneira Rivadeneira José Manuel	21.9	21	316.05	1991 2006	24
Rivas Balarezo Darwin Rolando	47	42.5	655.78	2003 07 08 09	24
Rivera Vicentina	27.6	27.54	365.73	93 03 07 09	24
Rodríguez Loza Segundo Abel	41	40.51	564.71	99 10 13	24
Rojas Cevallos Mónica Virginia	226	53.96	719.29	2010	24
Rosales Vasconez Cecilia	184	43.7	593.01	2007	24
Rosales Vasconez José Rafael	40	37.5	493.88	2006 2010	24
Rosales Vasconez María Eugenia	66	46.73	574.78	1992	24
Rosales Vasconez Pablo Alberto	273	105.4	1515.65	2000 02 04 07 08 09 10	24
Saldarriaga Garcia Carlos Andrés	70.4	21	298.83	2009	24
Saltos Rodríguez Klever Francisco	17.5	16.8	240.07	2008	24
Santos Zambrano Milton De Jesús	20.61	20.1	344.51	03 08	24
Segura Vergara Alfonso	83	82.52	1441.62	2000 2009	24
	205	105	1439.55		24
	50.34	50.34	744.03		24

Solórzano Andrade Isaac Salomón	239	238.2	3187.12	96 00 01 02 03 04	24
Solórzano Andrade Linston Frowen	85.24	73.8	929.14	1996	24
Soto Ramírez Betty Maritza	61.6	40	563.20	1989	24
Soto Ramírez Gloria Esperanza	40.9	38	570.00	1999	24
	49.9	47	1410.00	1999	24
	52.45	51.5	685.98		24
Soto Ramírez Rober Franco	45.6	44	654.28	1978 89 92 93 97	24
	40	40	545.60		24
	46	44	594.00		24
	43.2	43	586.52		24
	46	46	641.70		24
	53.6	53.13	748.60		24
Soto Ramirez Walter Jose	43.8	35	474.25	1999 2005 2006	24
	35	32.17	432.36		24
	71.8	64.3	1079.60		24
	34.9	18.18	299.97		24
Teran Caicedo Fanny Catalina	68.3	62.98	906.91	88 90 94 03 05 08 10 11 14	24
	40.2	33.04	453.31		24
	20.3	15.16	236.80		24
Toro Salazar Franco José	34.4	33.16	524.92	1996 1999	24
	30.5	25.57	416.28	1999 2005	24
	23.46	18.1	297.38	2000 1999	24
Torres Pluas Gina Manira	91.6	69.85	1072.20	95 05 10	24
Van Moorselaar Cevallos Daniela	40.5	35.62	489.42	92 98 06	24
Vasconez Altamirano Martha Cecilia	24.94	24.94	378.09	2002 05 12	24
Vega Perez Segundo José Rafael	8.5	8.1	136.40	2005	24
Vela Cheroni Jaime Alejandro	439.54	142.1	2807.90	93 94 97 98 00 02 10 13	24
Velasco Verdezoto Sergio Amado	14.5	12.96	194.66	1996	24
Whitney Shppard Lucia Sara	650	23.8	352.48	1975	24
Zamora Cevallos Flor María	23.63	23.63	357.52	1999 2005 2010 11	24

	33	33	502.59		24
Zorrilla Sánchez Esther Benedicta	18.6	8.28	135.46	2005 2009	24
Zorrilla Sánchez Nemecio Guillermo	2.96	2.4	45.22	93 99 01 02 06 09	24
	8.6	6.94	140.67		24
	22.3	19.55	338.02		24
Jervis Mario	44	44	675.40	2005	24
Reyes Cecilia	50	50	613.50	2005	24
Saenz Montenegro Mariana Rocio	44.2	44.2	583.44	2009	24
	44.2	44.2	167.96	2009	24
Tejada Margot	60	60	260.40	2008	24
	11	11	154.00	2008	24
Jacome Fermin	42.2	15.42	235.46	2006	24
Roberto Hernandez Ticono	100	100	1440.00	1988 2006 2005	24
Micolta Reasco Libia	13.98	13.98	201.31	2014	24
Angulo Vaca Galo Heriberto	7	7	90.16	2000	24
Diego Zambrano	90	90	1466.10	2006 2005	24
TOTAL	9,250.68	6,418.9	94,824.26	-	-
1.7.3 Biodiversity (Total Conservation & HCV Area for the respective Supply Bases)					
Oil Palm Plantation	Biodiversity.(Total Conservation & HCV Area) Hectares.				
Name	Conservation	HCV	Comments		
Abad Baque Mauro Valentín	0.50				
Andrade Calisto Nelson Esteban	2.00		Secondary forest in recovery		
Andrade Moncayo Hugo Ernesto	0.50		River conservation with native species		
Astudillo Cevallos Juan Carlos	0.50		With native vegetation on the shore of the estuary		
Astudillo Cevallos Julieta Emperatriz	0.50		With native vegetation on the shore of the estuary		
Astudillo Cevallos Mercedes Del Carmen	0.50		With native vegetation on the shore of the estuary		
Astudillo Cevallos Mónica Beatriz	0.50		With native vegetation on the shore of the estuary		
Astudillo Cevallos Raquel Siboney	0.50		With native vegetation on the shore of the estuary		
Astudillo Cevallos Rubén Alejandro (el 200)	0.50		With native vegetation on the shore of the estuary		
Buitron Herrera Carlos Luis Gustavo	70.00		Secondary forest in recovery and conservation is matured		
Cagua Rentería Juan	0.50		With native vegetation on the shore of the estuary		
Carpio Morales Glenda Elizabeth	1.50		Conservation of estuaries		
Centeno Menéndez María Piedad	4.00		Conservation of estuary and river with native species		

Coello Zambrano Walter Antonio	1.00		With native vegetation on the river bank
Cortez King José Fernando	4.00		Secondary forest in recovery
De Mattos Morais Marilda	4.00		Secondary forest in recovery
Del Hierro Montoya Gabriel Enrique	6.00		Primary Forest
Franco Dávila Mario Maximiliano	1.50		
Galeas Chamba Hugo Fernando	0.50		Conservation of estuaries with native vegetation
Gallardo Freire Raúl Edmundo	0.50		Conservation of estuaries with native species
Granda Villavicencio Diana Sophia	8.00		Secondary Forest
Hartley De Mattos Daniel Stuart	4.00		Secondary forest in recovery
Heras Zambrano Jackson Steeve	5.00		Secondary forest in recovery and conservation of estuaries and rivers with native species
Hernández Sánchez Byron Luis	1.00		With native vegetation on the shore of the estuary
Hoyos Cobeña Lucia Alexandra	0.50		With native vegetation on the shore of the estuary
Ibarra Pinargote Diofre De Los Santos	2.00		With native vegetation on the river bank
Intriago Bermello José Leovijildo	0.50		With native vegetation on the river bank
Intriago Bermello Luis Adalberto	0.50		With native vegetation on the river bank
Intriago Bermello Wilma Jacinta	0.50		With native vegetation on the river bank
Intriago Bermello Yhadira Solanda	0.50		With native vegetation on the river bank
Intriago Mero José Jhonny	2.00		River Conservation
Intriago Peñarrieta Leovigildo	1.00		With native vegetation on the river bank
Intriago Quintero Amelia Alexandra	1.50		Secondary forest in recovery
Intriago Quintero Fabián Arturo	1.00		Secondary forest in recovery
Intriago Quintero Javier Ignacio	0.50		Conservation of estuaries with native species
Intriago Zambrano Héctor Leonardo	3.00		Primary Forest
Jácome Verdezoto Fermín Manuel	1.00		Conservation of estuaries with native species
López Espinosa María Lucila	2.00		With native vegetation on the river bank
Loyaga Zaquinaula Walther Humberto	1.00		With native vegetation on the river bank
Marín Delgado Jorge Geovanny	1.00		Conservation of estuaries with native species
Marín Delgado Jorge Geovanny	1.00		Conservation of estuaries with native species
Marín Delgado Jorge Geovanny	1.00		Conservation of estuaries with native species
Mera Panta Eladio Zacarias	3.00		River Bank
Monar Morejon Oswaldo Rodrigo	1.00		With native vegetation on the river bank
Monar Morejon Oswaldo Rodrigo	1.00		With native vegetation on the river bank
Montoya Peñarrieta Enrique Pascual	6.00		Secondary Forest
Moreira Muñoz Colon Vicente	3.00		Secondary forest in recovery and conservation of estuary with native species
Muirragui Montalvo Andrés Adrián	1.00		Conservation of estuaries with native species
Murillo Rosado Vicente Modesto	0.50		Conservation of estuaries with native species
Obstancias Faure Claude Georges	2.00		Conservation of estuaries with native species
Orozco Masson Fausto Adriano	1.00		With native vegetation on the river bank

Perez Quishpe Alicia Yolanda	2.00		With native vegetation on the river bank
Pérez Valarezo Oscar Danilo	0.50		With native vegetation on the river bank
Perez Yáñez Danilo Lenin	0.50		With native vegetation on the river bank
Quelal Cisneros Douglas Mauricio	0.50		With native vegetation on the river bank
Quevedo Vivanco William Luciano (Las Golondrinas)	15.00		Secondary Forest
Quinche Alava Joice Araceli María	2.00		With native vegetation on the river bank
Rivadeneira Rivadeneira José Manuel	1.00		With native vegetation on the river bank
Rivas Balarezo Darwin Rolando	2.00		River Conservation
Rosales Vasconez José Rafael	14.00		Primary Forest
Rosales Vasconez María Eugenia	19.00		Secondary Forest
Rosales Vasconez Pablo Alberto	25.00		Primary Forest
Saldarriaga Garcia Carlos Andrés	13.00		Secondary Forest
Santos Zambrano Milton De Jesús	70.00		
Segura Vergara Alfonso (San Roque)	2.00		With native vegetation on the river bank
Segura Vergara Alfonso (Santima)	1.50		
Soto Ramírez Rober Franco	1.00		With native vegetation on the river bank
Torres Pluas Gina Manira	2.00		With native vegetation on the river bank
Vela Cheroni Jaime Alejandro	50.00		Secondary forest in recovery
Whitney Shppard Lucia Sara		400.00	Protective Forest La Perla
Zamora Cevallos Flor María	1.00		Secondary forest
Zorrilla Sánchez Nemecio Guillermo	1.00		With native vegetation on the river bank
TOTAL	379.5	400.0	-
1.7.4 Total Certified Area (Total Certified Area corresponds to the sum of total Area of Oil Palm and the total Conservation Area)			10,030.18
1.7.5 Calculation of the Number of Production Units (N) to Sample for the Mill			
<p>$N = 0.8\sqrt{Y*Z}$, where "Y" is the number of units, with the result always to be rounded "up" to the next whole integer and Z is number defined by the risk factor. Where only a sample of the supply base is assessed, units not previously assessed, or assessed earlier in the certification program, are to be preferred over those more recently assessed. A 'risk level' shall be set at:</p> <p>Level 1 - low risk Level 2 - medium risk Level 3 - high risk</p> <p>Multiplier z is set as follows: Low risk = multiplier of 1 Medium risk = multiplier of 1.2 High risk = multiplier of 1.4.</p> <p>Factors to consider in the risk assessment are geographic locations and distance of estates, complexity of the labour force, landscape setting and presence of HCV or peat, complexity of supply sheds, number of communities and known conflicts, legality, etc.</p>			
For the Mill, how many units make up the production base?			
Owned estates (Y)	$N = 0.8\sqrt{Y}$	Smallholders (Z)	$N = 0.8\sqrt{Z}$
0	N/A	144	$N = 0.8\sqrt{144}=9.6$ eq 10
Explanation as to the selection of estates sampled			
<p>During the current RSPO P&C audit the field visits were focus in the Quinindé and Viche area. It should be noted that Viche has been severely affected by PC causing several growers to abandon oil palm plantations. As a result 10 farms were visited in Quinindé, some of the visited farms are owned by men and others by women.</p>			
<p>The table below shows the oil palm plantations that were included in this audit, with the operations reviewed in the field, the number of sample sites within the plantation and the number of worker interviews. Comments are added as applicable.</p>			
Oil palm plantation.	Operation	No of sample sites	No of Interviews
			Comments.

Finca Guayabamba	Application of vinasse, Chapia, farm management, protection of rivers	1	3	During the interviews, knowledge was validated in the procedures, policies and other actions that comply with the requirements of the RSPO
Finca Santa Clara - Santa Monica	Harvest, transportation	2	3	During the interviews, knowledge was validated in the procedures, policies and other actions that comply with the requirements of the RSPO
Finca Dianita	Farm manager, Chapia field worker, Harvest	1	1	During the interviews, the knowledge was validated in the procedures, policies and other actions that comply with the requirements of the RSPO
FINCA DIANA GRANDA	Storage, records work and payments	1	1	During the interviews, knowledge was validated in the procedures, policies and other actions that comply with the requirements of the RSPO

1.7.6 Calculation of the Number of Sub Contractors to be sampled.

$N = 0.8\sqrt{Y}$, where "Y" is the number of contractors, with the result always to be rounded "up" to the next whole integer. Where only a sample of the sub-contractors not previously assessed, or assessed earlier in the certification program, are to be preferred over those more recently assessed.

The table below shows the number of approved sub-contractors who may be contracted to be directly employed in the work of the certification unit. The number of sub-contractors actually contracted at the time of the audit is used to calculate the sample.

Number of **sub-contractors**.

Mill and workshops			Farms		
Approved:	4		Approved:	2	
On site during audit: Y	3		On site during audit: Y	2	
Number to audit: = $0.8\sqrt{Y}$	$0.8\sqrt{4}=1.6$ eq 2		Number to audit: = $0.8\sqrt{Y}$	1	
Names	Activity	Audit ed	Names	Activity	Audit ed
Cortez Rivandeniera Hugo Israle	Backhoe	yes	Jose Delgado	FFB transportation	Yes

Nunajulca Yangali Pilar	Medical Services	Yes			

Explanation as to the selection of sub-contractors sampled:

The selection of subcontractors interviewed was based on their location at the mill or farms at the time of the audit, in that way, transport and security service were interviewed. The files of every interviewed service provider were reviewed at the mill main office and contracts, permits, insurance and proof of compliance with Ecuador labor law and other legal requirements were found in order.

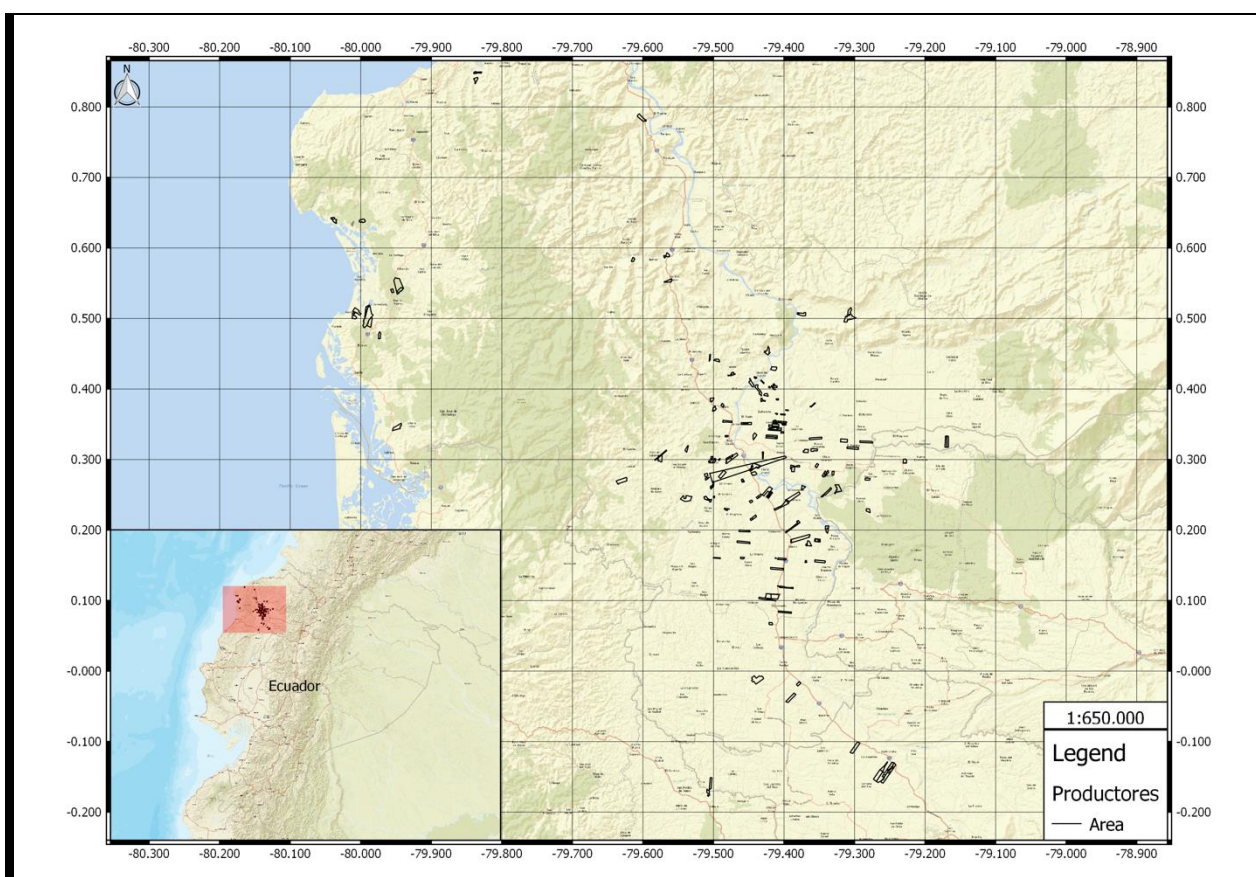
1.8 Progress of associated Smallholders or Out-growers towards Compliance with relevant Standards - should be in accordance to the 3 year implementation plan

The totality of the growers conforming the supply base list are RSPO certified under the mill certificate. The Extractora Natural Ecuador PAP team (growers assistance program) works to engage growers into their FFB supply base. Once internal audits, training and other requirements have been done/met, the growers are incorporated into the group of growers to be certified.

1.9 Location Map for this Certification Unit

Note: Individual maps of the group members are available from the co-operatives but it is not practical to reproduce them here. Each area of oil palm is individually managed as an integral part of a farm holding and the adjacent crops are all agricultural.





1.10 Use of RSPO PalmGHG Calculator

The Lead Auditor confirms that data inputs and the use of RSPO PalmGHG Calculator Version 3.0.1 have been verified with the final summary of the net GHG emissions (tCO₂e/tCPO) figure

Yes No

Justification:

1.11 Summary of Net GHG Emissions

Emissions per Product	tCO ₂ e/tProduct	Land use	ha
CPO	0.41	Oil Palm P planted area	6567.57
PK	0.41		
Production	t/yr	Oil Palm planted on peat	0
FFB processed	35310	Conservation (forested)	318
CPO Produced	7061		
Extraction	%	Conservation (non-forested)	0
OER	20%	Total	6885.57
KER	1.55%		

1.12 Summary of Field Emissions and Sinks

	Own Crop			Group			3 rd Party			Total		
	tCO ₂ e	tCO ₂ e/Ha	tCO ₂ e/tFFB	tCO ₂ e	tCO ₂ e/Ha	tCO ₂ e/tFFB	tCO ₂ e	tCO ₂ e/Ha	tCO ₂ e/tFFB	tCO ₂ e	tCO ₂ e/Ha	tCO ₂ e/tFFB
Emissions												
Land Conversion	0	0	0	52468	8.06	1.49	0	0	0	52468	8.06	1.49
*CO ₂ Emissions from Fertilizer	0	0	0	0	0	0	0	0	0	0	0	0
**N ₂ O Emissions	261	0	0	0	0	0	0	0	0	261	0	0

Fuel Consumption	0	0	0	105	0.02	0	0	0	0	105	0.02	0
Peat Oxidation	0	0	0	0	0	0	0	0	0	0	0	0
Sinks												
Crop Sequestration	0	0	0	-524 68	-8.06	-1.49	0	0	0	-524 68	-8.06	-1.49
Sequestration in conservation area	0	0	0	-173 4	-0.27	-0.05	0	0	0	-173 4	-0.27	-0.05
Total	261	261	261	1629	0.25	0.05	0	0	0	1629	0.25	0.05

1.13 Summary of Mill Emissions and Credits

	tCO2e	tCo2e/tFFB
Emissions	4473.84	0.13
POME	4185.46	0.12
Fuel Consumption	126.45	0
Grid Electricity	161.45	0
Utilisation		
Credits	0	0
Export of Grid Electricity	0	0
Sales of PKS	0	0
Sales of EFB	0	0
Total	4473.84	0.13

1.14 Palm Oil Mill Effluent (POME) Treatment

Divert to compost	0%	Divert to anaerobic digestion	100%
-------------------	----	-------------------------------	------

1.15 Palm Oil Mill Effluent Diverted to Anaerobic Digestion:

Divert to anaerobic pond	100%	Divert to methane capture	0%	Divert to methane capture (electricity generation)	0%
--------------------------	------	---------------------------	----	--	----

PARTIAL CERTIFICATION

The rules for partial certification allow organizations that have a majority holding in and / or management control of more than one autonomous company growing oil palm to certify individual management units and / or subsidiary companies subject to certain rules.

2.1 Management Organization

Item	Criteria	(Yes/No)	Description (if applicable)
2.1.1	Is the operation conducting a partial certification?	No	
2.2.2	Is any company of the group, member of the RSPO? Which one?	N/A	
2.2.3	Is there a clear relationship between the companies, where one company has the majority ownership or the management control of others?	N/A	
2.2.4	Is there a clear and achievable time-bound plan prepared and in place?	N/A	
2.2.5	Does the plan include all subsidiaries?	N/A	

2.2 Time-bound plan

Description:

Initial (mention sites and years proposed for the certification):N/A

Alterations:N/A

Justifications:N/A

Acquisitions:N/A

2.3 Progress made on the time-bound plan

Please report upon adherence or deviation: N/A

2.4 Non-compliances on the partial certification rules

N/A

AUDIT PROCESS

3.1 IBD - The Certification Body

IBD takes pride in being the largest certifier in Latin America and the only Brazilian certifier of organic products with accreditation through IFOAM (international market), ISO 17065 (European market regulation CE 889/07), Demeter (international market), USDA/NOP (North-American market), and SISORG (Brazilian market), making its certificate global.

Located in Botucatu-SP, Brazil, IBD has been in operation since 1992. Initially focused exclusively on the certification of organic product, after 2004, IBD began including certification services in the social-environmental area through the Fair Trade, RSPO, SAN, UTZ, 4C and UEBT programs. Today, IBD certifies over 5,000 producers, covering an area of approximately 520 thousand hectares in cultivation and 3 million hectares under wild harvest management, in more than 20 countries.

For more information regarding IBD, access www.ibd.com.br. RSPO Membership N°: 8-0090-08-000-00. RSPO accredited by ASI on November 4th, 2014, worldwide (accreditation code RSPO-ACC-020).

3.2 Audit Team

Lead auditor	Pedro Cerrate
Audit team	Ana Uribe / Diego Bernal

3.3 Audit Methodology

3.3.1 Audit Agenda

Date	Time	Location	Program	Auditor(s)
23/10	7:30am	La Fabril Office	Opening Meeting (Revision Audit Plan and Audit Logistics in the Refinery)	PC
23/10	8:00am	La Fabril Office	Documentary Review	OC
23/10	10:30	Quininde PKO Mill Office	Opening Meeting	AU, DB
23/10	11:00	Quininde PKO Mill Office	Documentary Review	AU
23/10	11:00	Support Center	Visit, Audit P&C, SCC	DB
23/10	13:00	Lunch		
23/10	14:00	Quininde PKO Mill Office	Plant visit	AU, DB
23/10	15:00	Quininde PKO Mill Office	Documentary Review	AU, DB
23/10	14:00	La Fabril	Plant visit	PC
23/10	15:00	La Fabril	Documentary Review	PC
23/10	16:00	La Fabril	End of SCC audit (Refinery)	PC
23/10	16:30	Manta – Quininde	Travel	PC
END DAY 1				
24/10	08:00	Quininde Mill Office	Opening Meeting	PC, AU, DB
24/10	08:30	Quininde Mill Office	Documentary Review	PC, AU, DB
24/10	12:30	Lunch		
24/10	13:30	Quininde Mill Office	Documentary Review	PC, AU, DB
END DAY 2				

25/10	7:30	Plantation 1 y 2	Inspection of facilities, field activities, interviews, suppliers and stakeholders	PC
25/10	7:30	Plantation 3 y 4	Inspection of facilities, field activities, interviews, suppliers and stakeholders	AU
25/10	7:30	Plantation 5 y 6	Inspection of facilities, field activities, interviews, suppliers and stakeholders	DB
25/10	13:30	Lunch		
25/10	14:00	Quininde Mill Office	Documentary Review	PC, AU, DB
25/10	15:00	Communication Hall	Meeting with Stake holders	PC
END DAY 3				
26/10	7:30	Plantation 7 y 8	Inspection of facilities, field activities, interviews, suppliers and stakeholders	PC
26/10	7:30	Plantation 9 y 10	Inspection of facilities, field activities, interviews, suppliers and stakeholders	AU
26/10	7:30	Plantation 11 y 12	Inspection of facilities, field activities, interviews, suppliers and stakeholders	DB
26/10	13:30	Lunch		
26/10	14:00	Quininde Mill Office	Documentary Review	PC, AU, DB
26/10	16:40	Quininde Mill Office	Preparation for Ending Meeting	PC, AU, DB
26/10	17:40	Quininde Mill Office	Ending Meeting	PC, AU, DB

3.3.2 List of stakeholders consulted prior to and during the audit.

Name	Category
Clinger Tisiano	Director SSGT
Delia Alsibar	Directora de Calidad
Israel Cueva	Ingeniero Agronomico
Maria Fernanda Montoya	Dotora Plantacion
Tarira Banguera Maria Angetina	Recurso Humano
María Angulo	Ingeniera Agronoma
Juan Sebastian Alcalde	Coordinador de Sostenibilidad
Hans Van de Heuvel	Gerente general NaturalHabitats Ecuador
Byron Luis Hernandez Sanchez	Farm Hernandez Sanchez
Felipe Diaz	Farm Hernandez Sanchez
Carlos Yam	Farm Hernandez Sanchez
Olmedo Solarte	Farm Hernandez Sanchez
Maria Cevallos	Farm Maria Cevallos
Juan Carlos Astuhillos	Farm Maria Cevallos
Manuell Zhunio Torrero Campo	Farm Maria Cevallos
Ana Gabriel Barcaa	Farm Maria Cevallos
Vinicio Qntonio Quiño	Farm Casa Grande
Jose Arturo Sambrano Mendoza	Farm Casa Grande
Galos Reyes	Farm Casa Grande
Alfredo Reyes	Farm Casa Grande
Martha Cecilia Vascones	Farm Martha Cecilia Vascones
Juan Marcelo Moncayo	Farm Martha Cecilia Vascones
Jose Olimpo Sevilla	Farm Martha Cecilia Vascones
Celso Masias	Guayabamba Farm manager
Hernan Marquez	Guayabamba Chapia field worker and vinasse application
Jubin Seballos	Guayabamba Chapia field worker and vinasse application
Andres Zambrano	Harvest - Transportation
Milton Meujano	Harvest - Transportation
Jose Emerito Medranda	Farm manager, Chapia field worker, Harvest
Carlos Salazar	Farm manager
Jessenia Angulo	Certification Manager
Jun Alcalde	Certification
Angelita Tarira	Chaupara
Jimmy Patta	Junta Parroquina de Chinca
Javier Tacos	Tecnico Ambiental Esmeraldas
Carlos Dias	Grower

Andres Perex	Grower
Jhon Moreira	Mill
Xavie Bone	Mill
Glenda Picos	Accounting
Janina Bazurto	RRHH
Eder Moreira	Mill
Patricio Castro	Agronomist
Hans Van Der Heuvel	Country Manager

3.3.3 Outline of how stakeholders consultation was managed.

Mill neighbors and governmental institutions and NGO s representatives

A meeting was held between external stakeholders and A RSPO P&C auditor on October 25 in a school near to the Extractora Natural Ecuador S.A., without the presence of Extractora Natural Ecuador S.A. personnel. The meeting lasted one hour and a half and took place from 15:00 to 16:30. The stakeholders arrived by their own.

3.3.4 Issues that arose during stakeholder consultation and company responses.

Subject raised	Company response and proposed action to be taken.	Audit team findings
Stakeholders manifested that It is very positive to have palm production and the company in the area since it generates job opportunities for people.	No action required	The company is a source of jobs for local people.
Community members do not see any negative impact regarding the company activity.	No action required	There was no evidence of complaints set against the company.

AUDIT FINDINGS

4.1 Summary of findings.

Principle 1: Commitment to Transparency.

Criterion 1.1: Oil Palm growers and millers provide adequate information to other stakeholders on environmental, social and legal issues relevant to RSPO criteria, in appropriate languages and forms to allow for effective participation decision making.

Summary of the findings for 1.1:

Findings:	Comments:	Compliance
<p>Adequate information is provided to the interested parties through edition, publishing and implementation of policies related to social and legal topics. This is done in adequate language and through meetings with interested parties. There is enough evidence that communication is open, inclusive and transparent with all the interested groups.</p> <p>The internal communication procedure is not working, the collaborators have stated that the complaints that are placed in the mailbox disappear; the complaints have been put on the person of human talent; and she is responsible for opening the mailbox, the mechanism for reviewing complaints does not show that there is</p>	<p>The company provides information to interested parties about the Transparency Policy procedure/ Transparent Communication Policy/ Communication Process under code NH-PRO-029 and dated August 5th, 2016. It makes reference to the confirmation reception document dated August 2016. The following documents are available upon request:</p> <p>Standard Operational Procedures Communication Mechanisms Naming a non-administrative employees representative to facilitate communication</p> <p>The information is provided in Spanish, which is the language spoken in the region.</p>	Yes/No

confidentiality and that there is no conflict of interest.		
Criterion 1.2: Management documents are publicly available except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.		
Summary of the findings for 1.2:		
Findings:	Comments:	Compliance
The information from the company is available in their web-site, especially in aspects related to transparency and communication: http://www.natural-habitats.com/content/cnt/i_175/Politica_de_Transparencia_Comunicacional.pdf Additionally, there is a procedure named Transparent Communication Policy under code NH-PRO-029 (without date) version 1 and which describes the commitment of Natural Habitats to maintain open communication with all interested parties.	The information is registered and available in different presentations: electronically through the company's web-site and written copies are available in the company. Each party or group of interested has to establish all adequate communication mechanisms. Procedures include interest areas according to social, legal and environmental issues and they include the frequency in which information is communicated and it shows some examples of where this has been implemented, requests of information where the process has been satisfactory in terms of response times and the quality of resolution for some cases.	yes
Criterion 1.3 Growers and millers commit to ethical conduct in all business operations and transactions.		
Summary of the findings for 1.3:		
Findings:	Comments:	Compliance
Principle 2: Compliance with applicable laws and regulations.		
Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations		
Summary of the findings for 2.1:		
Findings:	Comments:	Compliance
The company has procedures focused on compliance with the relevant Ecuadorian legislation, it also has a document regarding the update of legal information titled PROCEDIMIENTO DE ACTUALIZACIÓN DE LA INFORMACIÓN LEGAL, versión 2. This document determines the management and updating of legal requirements by outside legal professionals. In addition, through interviews, documentary review and observation, compliance was evidenced. Within the mechanisms implemented to guarantee compliance, it was evidenced that there are no environmental records and licenses for 100% of certified suppliers. A breach against this criteria in indicator 2.1.3 is generated because the farms that make up their supply chain does not have an environmental permit established by the national legislation.	The company currently has no agricultural land (farms)It only has the processing plant where the fruit from its partners is processed, the plant was purchased in May 2013 by Extractora Natural Ecuador SA. Within the visits made to 12 farms of the sample it was evident that Natural Habitats has supporting documents such as public deeds that support the legal possession of the properties. Field visits were made in Quinde and Viche, no situations related to land conflicts were evident. Non-compliance 2.1.3 Until the time of the visit, the farms that make up the supply chain do not have the environmental license required for palm farms in Ecuador. Additionally, despite having the annual update, it exceeds in three months the periods determined in the procedure. Observatios 2.1.3 Although the company has advanced the procedures for permits to use the underground water are not available so far. Support evidenced last visit record SENAGUA 10-24-2017	YES/NOT
Criterion 2.2: The right to use the land can be demonstrated and is not legitimately contested by local communities with demonstrable rights		
Summary of the findings for 2.2:		
Findings:	Comments:	Compliance
Findings: During the audit it was evidenced that each producer of the supply base has a folder where documents are listed as support for taxes and deed titles. Additionally , the company ensures the legal possession of the premises by copying public scriptures and plans for the land	The company currently has no agricultural land (farms) has only the processing plant where the fruit from its partners is processed, the plant was purchased in May 2013 by Extractora Natural Ecuador SA	YES

<p>belonging to the company and the land belonging to the producers. In the visits to the farms, legal limits were observed and interviews were carried out with growers, workers and other interested parties, evidencing that in the visited zones there are no conflicts over the land.</p>	<p>Within the visits made to 12 farms it was evident that Natural Habitats has supporting documents such as public deeds that support the legal possession of the properties. Field visits were made in Quinde and Viche, no situations related to land conflicts were evident.</p>	
<p>Criterion 2.3: Use of land for oil palm does not diminish the legal or customary rights of other users without their free, prior and informed consent.</p>		
<p>Summary of the findings for 2.3:</p>		
<p>Findings:</p>	<p>Comments:</p>	<p>Compliance</p>
<p>It has defined procedures to ensure that each producer that is part of the supply chain Natural Habitats Ecuador has legal ownership of their land and does not function against the policies defined by the company. In the files of the benefit plant there are copies of the public deeds, titles of property and tax payments of the lands of each producer.</p>	<p>NATURAL HABITATS has a document called LAND OWNERSHIP, DISPUTES AND LEGAL DOCUMENTS, this determines all legal guidelines that can be had in the country and how the farms that are part of their supply line must comply with possession of the land. All producers in the supply base are legal owners of their land, backed by public deeds and title deeds. Natura Ecuador SA has a copy of the land titles of farmers and public deeds. Within the accompaniment carried out by the company with its producers, it has been defined that within the visits the technical staff of Natural Habitats must validate the legal limits and areas of which the producer has ownership of.</p>	<p>YES</p>
<p>Principle 3: Commitment to long-term economic and financial viability.</p>		
<p>Criterion 3.1: There is an implemented management plan that aims to achieve long-term economic and financial viability.</p>		
<p>Summary of the findings for 3.1:</p>		
<p>Findings:</p>	<p>Comments:</p>	<p>Compliance</p>
<p>The company has a business plan projected at 2,021 to ensure the economic viability of the business and its partners. Among the items included in the business plan we have: FFB Income Projection to 2021, with base year 2017.</p> <p>The extraction rate increase due classification of FFB in the entry of mill (18.9% on 2016 to 21.4% on 2017)</p> <p>There is a planning of plantation renovation program, projected 5 years. The plan mentions that as of 25 years (for palm) the renovation is made due the height of palm</p>	<p>The extraction rate increase due classification of FFB in the entry of mill (18.9% on 2016 to 21.4% on 2017)</p> <p>The information was verified with the Country manager Natural Habitats Ecuador Hans Van de Heuvel</p>	<p>yes</p>
<p>Principle 4: Use of appropriate best practices by growers and mills.</p>		
<p>Criterion 4.1 Operating procedures are appropriately documented and consistently implemented and monitored.</p>		
<p>Summary of the findings for 4.1:</p>		
<p>Findings:</p>	<p>Comments:</p>	<p>Compliance</p>
<p>Standard operating procedures (SOPs) documented from quality management department.</p> <p>There is a mechanism in place to check consistent implementation of procedures.</p> <p>There is a records of monitoring and corrective actions at the company managed operations are maintained and available.</p> <p>The origins control of Fresh Fruit Bunches is documented.</p>	<p>The company has a "standard operating procedures for the mill and suppliers dated 2017, elaborated Maria Angulo. Evidence: PAP procedure, Waste solid management, MIP procedure, maintenance procedure, Agrochemical application procedure.</p> <p>There is a data base with 24 procedures documents, actualization date February 2017.</p> <p>There is a producer assistance program PAP with technical visit to organic producer of palm.</p>	<p>YES</p>

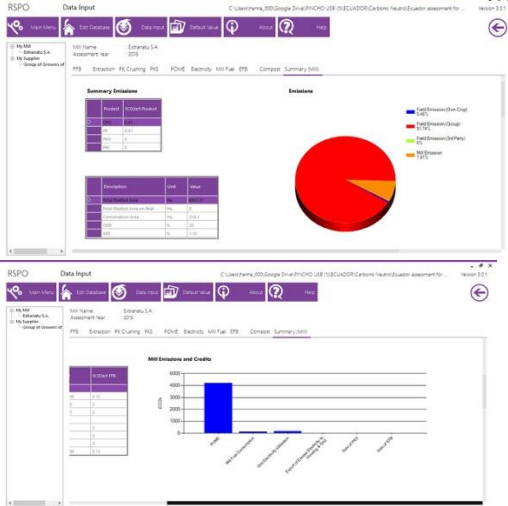
	<p>There are internal audits done at farms part of the supply base, and a software was implemented for internal audit (the software count with 76 question) with photograph evidence. This information taking by NATURAL-HABITATS personnel in each visit</p> <p>In visit the 24-25/10/2017 was verified that the farms count on a booklet given by Natural Habitats in which the formats for recording activities records fertilizer application, training, pruning and harvesting the day they was verified.</p> <p>The mill has two FFB reception centres (Viche, and Quinindé) where at the weighting point (certified by ECOCERT) the scale operator fills a voucher/format that collects the information.</p> <p>With the above information taken at the FFB reception sites, the origins of all FFB is recorded.</p>	
Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield		
Summary of the findings for 4.2:		
Findings:	Comments:	Compliance
<p>Good agricultural practices as contained in the foliar and soils analysis and feeding procedure.</p> <p>There is a nutrient recycle strategy plan to biomass generate</p> <p>The effluent are not used in irrigation process (fertigation)</p> <p>There are soil and tissue analysis performed periodically (2 or 4 years) at farms, and results are the base to elaborate the fertilization programs.</p> <p>.</p>	<p>The company count to organic management plans (Management plan for oil palm plantations in Ecuador) for pre-selection of suppliers</p> <p>There is a fertilization plans elaborated by Maria Angulo. Soil and tissue laboratory analysis are made every two to four years by Agrolab Laboratory. Soil fertility is considered in the plan and considers aspects as limited planting on slopes, construction of terraces if necessary, application of EFB and other crop residues on the plantation (nutrient recycling strategy) and manual weeding.</p> <p>NOTE: four farms was visited and no verified fertilization applied. The general manager of farm informed that the fertilization time delay is caused by economic problems</p>	YES
Criterion 4.3: Practices minimise and control erosion and degradation of soils.		
Summary of the findings for 4.3:		
Findings:	Comments:	Compliance
<p>Soil maps available. No peat soils on the area.</p> <p>No slopes above certain limit.</p> <p>A road maintenance program is implemented.</p> <p>No signs of erosion observed at visited farm</p>	<p>There are maps that identify fragile soils: "Map 2013 – 2014 MAGAP". The provincial government gives the authorization for cultivating oil palm after soil analysis and conditions. Ex. certificate the intersection. Hernandez Sanchez Byron Luis, October 9, 2015.</p> <p>The soil analysis elaborated by Generation de Geo information for "Gestión del territorio a Nivel Nacional, 2009- 2012", show that there is not peat soils.</p> <p>There is a procedure document of design and construction of road for suppliers at organic farm, "Comercio Justo Sostenible" elaborated by Maria Angulo, date October 2017.</p>	YES

	There is a strict process of selection for the palm plantations establishment. There is not special necessity of strategy of soils fragile management. Nevertheless NATURA HABILTATS have procedure documented: Manual of soil use, cod: ST-PSS.-PROG. This document is given to the suppliers of FFB.	
Criterion 4.4: Practices maintain the quality and availability of surface and ground water.		
Summary of the findings for 4.4:		
Findings:	Comments:	Compliance
<p>Water management plans available for mill and farm independences with strong focus on the prevention of contamination of surface and ground Waters.</p> <p>NO COMPLIANCE OCTOBER/2017 (New NON COMPLIANCE) No Protection of water courses by buffer and riparian zones was evidenced during field visits.</p> <p>NO COMPLIANCE OCTOBER/2017 (NON COMPLIANCE) Mill effluent analysis within accepted limits, with exception 2 parameters: DQO and oil and fats.</p>	<p>There is a water management plan for the mill with strong focus on preventing contamination of surface and ground water. Elaborated by Maria Angulo, actualized on August 2017.</p> <p>System of environment management document includes a table: water sources, contamination prevention and mitigation.</p> <p>In farm visit was evidenced that the replantation does not fulfill the distance established parameters of the Blanco River (more than 20 meters in width). The ministerial agreement 002 article 10 paragraph A (Contributed by NATURAL HABITATS) establishes 10 meters as minimal distance.</p> <p>2 farms (of 12 farms visited) producers do not have a commitment stating that when replant should keep distance from watercourses. No Compliance was detected in audit to 2016.</p> <p>In audit time (October 2017) the DQO and DBO analysis for water quality evaluation were not made. No Compliance was detected in audit to 2016</p> <p>There are records of daily water consumption at the mill.</p>	YES
Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate integrated Pest Management (IPM) techniques		
Summary of the findings for 4.5:		
Findings:	Comments:	Compliance
<p>No use of synthetic pesticides in Extractora Natural Ecuador S.A. activity.</p> <p>Trap placement to capture disease transmitting insects and the use of bio-products is recommended. The use of biologic traps is evident within the plantation with Rynchophorus palmarum and Ophisphanes cassina for weevil control.</p> <p>The farm has a protocol, treatment of pests and diseases preventively</p> <p>Training to farmers on IPM technics is regularly done.</p>	<p>The farm count with an integrated management of pests elaborated by Maria Angulo actualized on February 2017.</p> <p>Recommended IPM practices: trap placement to capture disease transmitting insects and the use of bio-product.</p> <p>The different suppliers (farmers) receives training on different topics regarding plantation management, including IPM techniques.</p>	YES
Criterion 4.6: Agrochemicals are used in such a way that does not endanger health or the environment. There is no prophylactic use, and where agrochemicals are used that are		

categorised as World Health Organisation Type 1A or 1B, or are listed by the Stockholm or Rotterdam Conventions, growers are actively seeking to identify alternatives, and this is documented.		
Summary of the findings for 4.6:		
Findings:	Comments:	Compliance
<p>There is no use of agrochemicals in the whole operation.</p> <p>There is no use of pesticides class 1A or 1B by who neither paracuat at the operation.</p> <p>No specific laboratory blood analysis for workers are required (no use of agrochemicals at the operation).</p> <p>Application of phytosanitarian products is done under technical recommendation.</p> <p>No aerial spraying is tolerated.</p> <p>It is forbidden for pregnant women and children to manipulate phytosanitarian products.</p> <p>NO COMPLIANCE OCTOBER/2017 (NON COMPLIANCE)</p> <p>The process description in the waste environment management code EN PRO 015 chapter 7 does not comply with the verification in the field.</p>	<p>Natural Habitats Group has an approved list of authorized products from Ecocert (recognized certification body in Ecuador for organic products) mentioning all authorized products for the use on organic palm plantations, dated April 2017.</p> <p>Note: synthetic pesticides are not utilize, as the production is entirely organic. Each farmer signs to commitment for no use of synthetic pesticides</p> <p>A PIM plan is implemented. Annual internal audits at farms controls the records of management of palm oil culture and organic activity producer's records.</p> <p>Farmers receive training and assistance each two month. For each visit the technician elaborates a report with technical recommendations including the application of phytosanitarian products.</p> <p>No aerial spraying is tolerated. The company does not use chemical products, therefore, no specific laboratory blood analysis are required. Nevertheless, the company organizes national's visits by a medical doctor to check health issues.</p> <p>In the pamphlet "Uso de Equipo de Protección Personal" it is indicated that it is forbidden for pregnant women and children to manipulate phyto sanitarian products.</p> <p>There is a waste environment management plan. The danger waste (oil fired) is collected by BIOFACTOR company.</p> <p>NO COMPLIANCE OCTOBER/2017 (NON COMPLIANCE) NATURAHABITATS have a procedure of waste environmental management, code EN PRO 015.Chapter 7 shows the effluent waste management in sterilization and clarification process. When carrying out the verification in the field, the process description does not comply with the document code EN PRO 015 chapter 7</p>	YES/NO
Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented		
Summary of the findings for 4.7:		
Findings:	Comments:	Compliance
<p>A Health and Safety Occupational plan is documented and implemented. All operations are risk assessed and prevention and mitigation measures defined.</p> <p>Proper use of Personal Protection Equipment (PPE) by workers and visitors was observed at the mill.</p>	<p>There is a Health and Safety Occupational plan dated 2017. The document contains: Procedures, identification, measurement, evaluation and control of occupational risks.</p>	YES/NO

<p>There are emergency procedures in place.</p> <p>There is a Paritario Committee that meets once a month to analyze safety and security aspects at the mil. There are minutes of the meetings held.</p> <p><u>Non compliance 24-25/10/2017 (new non compliance)</u> Evidenced in Audit time that the workers haven't the corresponding trainings in safe working practices, Exemple: working in height, induction of work.</p>	<p>All operations are risk assessed and mitigation and prevention measures defined. Ref: Risk analysis table.</p> <p>Labor regulation procedure (without identification code and date) under supervision and verification means sections, establishes that the personal SIC PAP (internal management system personal) given training to the producers in order to fulfill the certifications requirements and national regulations.</p> <p>There is a PARITARIOS committee, which is elected every year. Workers are called on the election of workers representative to from the joint PARITARIO committee on health and safety of EXTRANUTU SA for the period 2017 – 2018, with election date 12 of October 2017. Fulfilling the executive decree No 2393, the workers represents and employer represent are registered in the work ministry. Register number: No OP 2015 14492-3.</p> <p>Signaling routes evacuations Photographs at windmill (signaling on the floor) and meeting points are showed. The Mills signaling is verified in visit the 25-26 October 2017.</p> <p>The mill features an emergency procedure that includes evacuation routes. The signalization is verified in visit the 25-26 October 2017</p> <p><u>NON COMPLIANCE 24-25/10/2017 (new non compliance)</u> The records of training to the producer farms is documented. The workers haven't the corresponding trainings in safe working practice.</p>	
<p>Criterion 4.8: All staff, workers, smallholders and contractors are appropriately trained</p>		
<p>Summary of the findings for 4.8:</p>		
<p>Findings:</p>	<p>Comments:</p>	<p>Compliance</p>
<p>There is a training program, documented and implemented, that covers Extractora Natural Ecuador S.A. administrative and operational personnel as well as FFB providers (farmers) code: ST CER REG SIC PAP actualization date: 25/01/2016</p> <p>There are up to date training records.</p> <p><u>Non compliance 24-25/10/2017 (new non compliance)</u> Evidenced in Audit time that the workers haven't the corresponding trainings in safe working practices, Exemple: working in height, induction of work.</p>	<p>Records of all training for employees is. Training records were inspected for workers interviewed in the field and found to be in order.</p> <p>There is a training plan for 2016 directed to FFB suppliers. The plan covers the different aspects contemplated on the RSPO P&C.</p> <p><u>NON COMPLIANCE 24-25/10/2017 (new non compliance)</u> The records of training to the producer farms is documented. The workers haven't the corresponding trainings in safe working practice.</p>	<p>YES</p>

Principle 5: Environmental responsibility and conservation of natural resources and biodiversity.		
Criterion 5.1: Aspects of plantation and mill management that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continuous improvement		
Summary of the findings for 5.1:		
Findings:	Comments:	Compliance
<p>A documented EIA for the mill was done and approved by the Ministry of Environment on June 2013.</p> <p>There is a Plan de Manejo Ambiental (Environmental Management Plan), developed to mitigate negative impacts. The responsible person for the compliance of the plan is the biologist Garcia Armando.</p> <p>There are no mitigation plans and identification of environmental impacts, for the farms and extracting plant, these are not reviewed and updated every 2 years at least</p>	<p>The company, according to Ecuador's environmental legislation, has a management and monitoring plan for the environmental impacts identified.</p> <p>Monitoring of effluents from the extraction plant and greenhouse gas emissions are monitored.</p>	Yes/no
Criterion 5.2: The status of rare, threatened or endangered species and high conservation value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and their conservation taken into account in management plans and operations.		
Summary of the findings for 5.2:		
Findings:	Comments:	Compliance
<p>The company has a study of HCV and analysis of land use and change of coverage. The study was carried out by an independent consultant of the Verde Natura Foundation and the Company's technical team.</p> <p>No se ha documentado correctamente un plan de monitoreo del estatus de las especies RAP y el estado de los AVC.</p>	<p>No HCV were identified that affects the rights of local communities.</p>	Yes/NO
Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
Summary of the findings for 5.3:		
Findings:	Comments:	Compliance
<p>The EIA includes a clear identification of all waste from the mill, plantations and offices. Mitigation Plan 2013. Plan de Mitigation de Impactos. Pages 36- 42 The ultimate responsible for the safe disposal of waste in the farm is the farm manager and in the mill the mill manager. All FFB waste is used for compost and renewable energy, other type of waste that can not be recycled such as empty bottles, and burned oils are collected by contractors with experience in handling waste. Recycling of EFB and fibre. An agreement is in place with the local municipality who collect solid waste such as household and office waste. Hazardous waste is collected on demand." ASA 1 report (2014 audit), validated for the 2016 audit.</p>	<p>There is a waste management plan: Plan de Gestión de Residuos en las Plantaciones 2015-2016. Natural Habitats Ecuador. The document includes: Introduction, Legal frame, Waste Management, Mitigation activities. The waste included are containers of agriculture inputs, organic waste as pruning leftovers, non acceptable fruit and bunches, palms, tools, PPE, paper, cardboard, plastic, engine oil, tire pneumatics. Each of the identified sources of waste indicates the proper and approved way of disposal.</p>	yes
Criterion 5.4: Efficiency of energy use and use of renewable energy is maximised.		
Summary of the findings for 5.4:		
Findings:	Comments:	Compliance
<p>The boiler is heated with vegetal fiber from the palm fruits after processing. On a monthly basis the consumption of fossil fuel and electric energy is</p>		yes

registered. See: Consumos en proceso de extracción de aceite (consumption of energy / Tonne of CPO.		
Criterion 5.5: Use of fire for waste disposal and for preparing land for replanting is avoided except in specific situations, as identified in the ASEAN guidelines or other regional best practice		
Summary of the findings for 5.5:		
Findings:	Comments:	Compliance
The company has a zero burn policy in preparation of land or replanting for oil palm cultivation.	The company has a zero burn policy in preparation of land or replanting for oil palm cultivation.	yes
Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.		
Summary of the findings for 5.6:		
Findings:	Comments:	Compliance
The Ecuadorian legislation requires a semestral presentation of the operational report for effluent treatment systems and boilers. To fulfill the above, the company performs water quality analysis on a semestral basis and gaseous emissions analysis and particulates on a semestral basis.	The last operational report for potentially polluting activities is from april 2016 and was performed by the laboratory IPGM Servicios Ambientales Cía. The assessment was done to the gases of the boiler <i>Oil Fire Boiler ASSEM</i> and the results are presented in the page 6 of 7 of the document denominated Informe de Resultados de Emisiones a la Atmósfera, april 2016. An aspect to be noted is that the lab that perform the analysis reports compliance with Nitrogen Oxides X and particulates parameters but also indicates that it is not accredited to interpret Sulphure Dioxide, as it is expressly indicated on the report, and one of the gases to be measure on the assessments to fix sources of gaseous emissions, according to the texto unificado de legislación secundaria del medio ambiente AM097, libro VI , anexo 3, is Sulphure Dioxide. A non conformity was raised against indicator 2.1.1 due to lack of full compliance with the legal requirements for boiler emissions.	Yes
 <p>The image shows two screenshots of the RSPO Data Input software. The top screenshot displays a 'Summary Emissions' window with a pie chart showing the distribution of emissions across different categories. The bottom screenshot displays a 'Mitigation and Costs' window with a bar chart showing the costs associated with various mitigation measures.</p>		
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and mills.		
Criterion 6.1: Aspects of plantation and mill management that have social impacts are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continuous improvement		
Summary of the findings for 6.1:		
Findings:	Comments:	Compliance
Natural Habitats has a document called ESTUDIO DE IDENTIFICACIÓN Y MITIGACIÓN DE IMPACTOS SOCIALES EN LAS COMUNIDADES DE INFLUENCIA DE LA EMPRESA NATURAL	The project is called social impact assessment Study Identification And Mitigation Of Social Impacts In The Community Influence Of	YES/NOT

HABITATS ECUADOR, (Study Identification And Mitigation Of Social Impacts In The Community Influence Of Natural Habitats Ecuador), this paper analyzes surveys of people living in places where there are farms that belong to the supply chain. The study takes the areas of Quininde and Muisne only to identify positive and negative impacts. It has evidence of activities carried out with the community such as medical brigades, soccer training schools, housing improvement and housing roof improvements. Two defaults related to this criteria are generated in the following indicators.

6.1.1. The evaluation of social impact report does not clearly describe the methodology and ways in which they arrived at the identification of the evaluation areas and the defined impacts, additionally the study was carried out by company personnel, a situation that does not guarantee independence.

6.1.3. No clear timeline and response plans have been defined for the impacts identified by Natural Habitats Ecuador in its ESI study.

Natural Habitats Ecuador dated December 2016, the team that participated was:

- RESPONSIBLE FOR LICENSING: Eng. Pedro Reyes Vélez REGISTER MAE-072-CI
 - TECHNICAL TEAM RESPONSIBLE FOR THE ELABORATION OF THE STUDY:

• M.Sc. Armando García Cruel. Team Leader Personal Responsible for Sustainability of Natural Habitats Ecuador

• Eng. Digmar Lajones Rueano. Cartographic survey, Forest Engineer, Green Nature Environmental Foundation

• Eng. Isrrael Cave. Evaluation of good economic practices, Agronomist Natural Habitats

• Eng. Daniel Vivar Sosa. Identification and evaluation of environmental impact, Environmental Engineer, Green Nature Environmental Foundation

• Sociologist Manuel Abdallah Gonzalez Rodriguez. Socioeconomic diagnosis, Socialization of producers, Sociologist of Environmental Green Nature Foundation

The company has farms located in the area of Quininde, Zona de Viche, Zona de Chaupara and Muisne area, however, as sources of interviews used in the study only the areas of Quininde (21 surveys) and Muisne (5) were surveyed. although in the document review surveys were carried out in other areas of influence such as:

Canton rio verde, Roca fuerte parish, chunguillo precinct and argentine enclosure Canton Acatame Salima parish

Canton Muisne parish San Gregorio El Santo.

In the last year they have made efforts to develop works on health issues such as:

- Medical check-ups for special children by the NGO Fundación Camila 15 Sep-2017

- Medical roaming and cleaning with children from the school May 1st of the Barrero campus. On September 13, 2017

- Medical itinerary and cleaning with children and mothers of children of Santa Elvira on Sep 14, 2017

- Medical itinerary and cleaning in the school of the Republic of Panama Sep 13, 2017

These activities are focused on children who belong to soccer schools that add up to about 315 children.

- Visiting senior citizens with visual disability NGO Fundación Camila 21-09-2017

Support activities for the community

- Housing construction for the poorest person in the Muisne community

- Support to soccer schools for 313 children

- Support in the construction of ceilings

- Maintains the support of paying the teacher of the school that is in front of the benefit plant

.

Non-compliance 6.1.1

The study does not describe the way in which the sample was determined to perform the impact analysis (21 Quininde surveys, 5 Muisne surveys for a total of 26 surveys), and there is no justification of why two of the four zones are not related in which there is influence of the palm production of Natural Habitats Ecuador. The study does not show minutes of meetings of the interested and / or affected parties such as entities, institutions

<p>that represent them or spokespersons chosen freely, during the identification of the impacts, reviewing both the findings and the plans for their mitigation and monitoring of success of the plans implemented. The evaluation of social action was carried out by personnel from the company Natural Habitats Ecuador and the Green Natural Foundation, a situation that does not allow for a clear independence of said study.</p> <p>Non-compliance 6.1.3 The company has impacts to mitigate within the results obtained in the Study Of Identification And Mitigation Of Social Impacts In The Communities Of Influence Of The Habitats Ecuador Natural Company, in it a series of recommended activities are proposed to mitigate the impact, however There has not been a timetable for the execution of actions to respond to the identified impacts. It was not possible to establish the way to demonstrate activities at impact 1) Interruption to the use of natural resources (question 4).</p>		
<p>Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or mills, local communities and other affected or interested parties</p>		
<p>Summary of the findings for 6.2:</p>		
<p>Findings:</p> <p>It has a procedure to respond to stakeholders called: PROCEDIMIENTO DE RESPUESTA A CONSULTAS Y SOLICITUDES DE PARTES INTERESADAS DE EXTRANATU S.A.(Procedure for Response To Inquiries And Requests of Stakeholders Extranatu Sa) It is available online and physically in the processing plant. There is a lack of compliance on indicator 6.2.1: a correct diffusion of the communication procedure is not evident.</p>	<p>Comments:</p> <p>During the interview with the Assistant Project Manager, they argue that communication is done via email and phone calls between small producers and the community. The sustainability coordinator presents the document Group Communication Plan, with scope in the operations of Natural Habitats in Ecuador, Sierra Leone, the Netherlands and the USA. Extranatu SA, Nedoil Ltd., Natural Habitats Sierra Leone Ltd., Natural Habitats USA Inc., Organica Palm, Holland BV, Organic Animal Nutrition Inc., approved in October 2017, this will be updated by each new company that joins the group in the future. This document links communication mechanisms for stakeholder interviews and training, social impact assessment also has the response procedure PROCEDURE AND REQUESTS FOR CONSULTATIONS OF INTERESTED PARTIES EXTRANATU SA found in the link https://www.naturalhabitats.com/en/business-policies/</p> <p>Non-compliance 6.2.1 There has not been a correct dissemination of the communication procedure since during the interview with interested parties and collaborators of the company it was evidenced that they lack knowledge of said procedure.</p>	<p>Compliance</p> <p>YES/NOT</p>
<p>Criterion 6.3: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all parties</p>		
<p>Summary of the findings for 6.3:</p>		
<p>Findings:</p> <p>The organization has procedures to respond to complaints or comments from interested parties called RESPONSE PROCEDURE AND REQUESTS FOR CONSULTATIONS OF INTERESTED PARTIES EXTRANATU SA found in the link</p>	<p>Comments:</p> <p>procedure Complaints And Suggestions Of Workers Extranatu 2017 Code Th-Pro-002 Version 2 updated 12 is observed - 01- 2017, with release date 29 Sep 2017, counted with photographic record and attendee registration update. It was done by linking the handling of verbal complaints and its anonymous handling,</p>	<p>Compliance</p> <p>YES</p>

<p>https://www.natural-habitats.com / en / business-policies /</p>	<p>since because of internal issues the workers did it this way and there was no support left. In the current procedure it is related that for verbal and anonymous complaints should be left a record and the answers In each case will be made to all the staff of the plant. It has Procedure Of Management Of Complaints Of Clients And Suppliers code EN-PRO-024 version 2, this last one has not been communicated to the interested parties (clients - suppliers). There are two complaints supports, from the workers - Consecutive 000000017 dated 05-29-2017 complaint for damage of bathrooms, evidence of the case is reported to the person in charge of occupational health. There is no evidence of support for the closure of the related complaint, in an interview with the affected persons the closure is evidenced. - consecutive 000000016 date 01-05-2017 delay in the payment of utilities corresponding to the year 2016, it is observed that the responsible staff and support of bank transfer to the personnel is sent on 02-06-2017.</p>
<p>Criterion 6.4: Any negotiations concerning compensation for loss of legal or customary rights are dealt with through a documented system that enables indigenous peoples, local communities and other stake holders to express their views through their own representative institutions</p>	
<p>Summary of the findings for 6.4:</p>	
<p>Findings:</p> <p>During the advanced interviews and document review, it showed that the company has a document called PROPIEDAD DE LA TIERRA, CONFLICTOS Y DOCUMENTOS LEGALES (Land Ownership, Disputes And Legal Documents), there is no way establishing if provider farms are located in areas of customary rights and / or persons who are entitled to compensation. There is evidence of noncompliance with indicator 6.4.1 since the company has not defined a procedure and maps to establish if the properties in which its supply chain is on are properties with customary rights and their compensation applies.</p>	<p>Comments:</p> <p>6.4.1 Non - compliance During the interviews conducted and the documentary review it was evident that the company has a document called PROPIEDAD DE LA TIERRA, CONFLICTOS Y DOCUMENTOS LEGALES (Property Of The Earth, Conflicts And Legal Documents), however this document does not relate if the farms that are part of its supply chain are located in areas with customary rights, it does not describe the manner of identification of these rights and the manner of evaluation in case a farm enters to be part of the supply chain and is able to determine whether or not it is part of these areas or deserves some type of compensation.</p>
<p>Compliance</p> <p>NOT</p>	
<p>Criterion 6.5: Pay and conditions for employees and for employees of contractors always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.</p>	
<p>Summary of the findings for 6.5:</p>	
<p>Findings:</p> <p>The company has paid media workers demonstrating compliance with legal requirements defined by the Ministry of Labor in the document SALARIOS MINIMOS SECTORIALES 2017(Sector Minimum Wages 2017). According to the agreement it gives them part of the biweekly salary on the 15th and the remaining at the end of the month . In the farms visited within the sample on October 25 and 26, it was evidenced that the workers receive a remuneration according to what was defined by the Ministry of Labor, in the same way it was evidenced that they are affiliated to the IESS.</p> <p>There are three cases of non-compliance with this criterion in the following indicators, 6.5.2. The working days established by the legislation of the country are not complied with,</p>	<p>Comments:</p> <p>It has payment support for the workers in the processing plant, in these they relate: Name of the employee Position (position) Salary Reserve funds Extraordinary hours Supplementary Hours Discounts Contributions to the IESS Signature of payment approval. The sample was based on 8 workers of the benefit plant of different work areas for the months of April and May 2017, For the farms visited there were evidences of payment supports that relate: Name of the farm Payment period Minimum wage</p>
<p>Compliance</p> <p>YES/NOT</p>	

overtime is exceeded. Additionally, there are people who carry out more than one job and their working hours are extended in times not allowed by national legislation.

6.5.3 The housing area that is provided to the people of the Quinde collection center lacks adequate conditions for people.

6.5.4 Menus are not approved by a competent person who determines whether they are adequate and sufficient.

Bond

FDR

Discounts: IESS contributions

It is evident that the company has a worker of Colombian nationality who has a contract in action as of May 12, 2015, has dual citizenship and evidence of Ecuadorian citizenship with date of issue 25-08-2015.

The sample of worker David Parrales is taken to determine the granting of the license for his paternity, date of birth June 16, 2017, granting of 10 days according to what is defined by the National legislation.

A period of lactation that Patricia Valencia is given by law was requested for 2 hours of her daily schedule, during 3 months, the company grants the lactation permits.

Processes of entry of workers to the company are evaluated: Luis Flores, contract 06 Oct 2017, Paulina Areopaja signature date contract 11 Sep. 2017, José Diaz signs contract July 26, 2017, the three people have support of social security affiliations according to the national law, have induction training to the position, medical evaluations and supports as recommendations according to the defined procedure.

Contract Completion Processes: Evaluated within the sample,

Jeferson Quiñones: there is evidence of work and responsibilities assessment carried out on October 17, which is signed by the worker, there is a statement of settlement generated on October 28, the date on which the settlement of services was paid.

Boris Mena, voluntary retirement October 19, 2017, voluntary retirement letter signed by the worker is evidenced.

Non-compliance 6.5.2

The remunerations are made based on the sectoral tables which determine the basic salaries. Sample taken for the months of April - May 2017

The national legislation allows working up to 12 extra hours a week, being maximum 4 hours a day, for the sample it takes month of March - April weeks from March 27 to April 2 and from April 3 to April 8 showing that workers in the charges of boilers, clarification, fruit loader and collection center exceed the weekly allowed times by legislation reaching weeks of 28 hours and 58 minutes, 27 hours with 2 minutes, 23 hours with 17 minutes. Currently, a plan is underway that tends to reduce overtime, however for the month of October it is evident that two workers with Boiler positions exceed the 12 hours per week defined by legislation.

The people who perform the work of fruit loaders in the collection center have a work schedule of 8:00 a.m. - 4:30 p.m. or from 9:00 a.m. to 6:00 p.m. plus extra hours that they can work depending on the production with salary of US \$ 400 / month. In addition to the day, the work of Night Guard (care at night) salary 150 USD, this situation is not aligned to the conditions established by national legislation and as determined by the employment contract, since the latter only has the work of lowering of fruit, currently the people who are in the collection center have to

be in their place of work days longer than allowed by legislation.

Non-compliance 6.5.3

It was evidenced during the tour in the fruit reception area of Quininde, the place where workers of fruit discharge live and do the work of guardianship, does not have occupational health inspections. Windows have no protection and in rainy seasons They place plastic to avoid wetting their elements and protect from the cold. Additionally, in the room that connects with the bedroom, elements such as tools, personal protective equipment, boxes with training material, among others, are stored.

Non-compliance 6.5.4

Although the company through the Human Talent Manager approves the weekly menus of food for workers, they are not approved by a competent person to determine if they are adequate and sufficient.

Criterion 6.6: The employer respects the right of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel

Summary of the findings for 6.6:

Findings:	Comments:	Compliance
<p>There is evidence that the organization has implemented a policy of transparent communication, workers know the representatives of the association of workers and seek them when they have problems or problems with bosses or colleagues.</p>	<p>The company currently has Fair Trade certification, and has within the entire organization 4 associations as follows: 1) Association Extranatu: is made up of the direct workers of the company. Three others, made up of organic palmers in three different places: 2) Viche Association: made up of 4 producers in this area. 3) Mompiche Association: formed by 11 producers Quininde Association: made up of 93 producers There is evidence of a meeting of the Extratanatur Association 001-010-2017 of March 9, 2017 to discuss communication issues with the manager of the benefit plant where workers request that their work be recognized by the Manager, who congratulates them and recognizes the activities carried out. Additionally there are letters of application on April 12, 2017 to the manager of the company requesting economic support of the bonus obtained from the fair trade certification for people from the low-income population. On April 20, 2017 there is evidence of the Association's letter to the Manager of the benefit plant, to generate support in the use of sludge and in this way obtain resources to carry out the end of the year with the workers. On April 25, 2017 there is arequest letter to the responsible sustainability manager, requesting information about the utilities generated from the association. On October 14, 2017, there is a citrus purchase contract for 1,200 US to the company EXTRANATU SA that belongs to the same group Natural Habitats, to generate resources for the association of workers.</p>	<p>YES</p>

Criterion 6.7: Children are not employed or exploited. Work by children is acceptable on family farms, under adult supervision, and when not interfering with education programmes. Children are not exposed to hazardous working conditions.

Summary of the findings for 6.7:

Findings:	Comments:	Compliance
<p>The company has clear policies compliance off the legal framework of Ecuador, for that reason in its rules relates not hiring people under 18 years old. Additionally they have a child labor policy adopted since December 2012 this is disclosed and can be found in the link https://www.natural-habitats.com/es/business-policies/</p> <p>In the visits to the fruit supplier farms, a booklet was observed where the Child Labor policy is involved, in addition there is an agreement between the parties where the fulfillment of the farms is related to the policies of Natural Habitats, within these policies is the Child Labor Policy.</p>	<p>In the bylaws of the company 's work in Chapter 1 Article 9 line 1 describes: "Every worker must be of legal age , " said regulation is approved by the Ministry of Labor since July 20, 2016, additionally the link https://www.natural-habitats.com/es/business-policies/ is the child labor policy in force since December 2012 , which relates not hiring minors.</p>	<p>YES</p>

Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.

Summary of the findings for 6.8:

Findings:	Comments:	Compliance
<p>The company has a policy of discrimination and sexual harassment approved since December 2012, additionally it has internal work regulations approved by the Ministry of Labor where there is a ban and non - discrimination harassment relates.</p>	<p>It has a policy of discrimination and sexual harassment adopted since December 2012 in the page of Natural Habitats - business policies, the link is: https://www.natural-habitats.com/es/business-policies/ additionally within the rules of working chapter 9 article 58 it describes non - discrimination and personal harassment of staff working on Natural habitats, chapter 11 article 66 concerns the ban on employers to generate action against workers for discrimination or other which reduce their employment opportunities within Natural Habitats. Each worker has a copy of the internal work regulations, al employees have also participated in training to disseminate the internal work regulations and the company's policies. During the tour, there are Afro-Ecuadorian, mestizo and white people.</p> <p>The hiring processes of personnel were evaluated to determine that the hiring or promotions are based on the skills, abilities, aptitudes and medical concept.</p> <p>Processes of entry of workers to the company are evaluated: Luis Flores, contract 06 Oct 2017, Paulina Areopaja signature date contract 11 Sep. 2017, José Díaz signs contract July 26, 2017, the three people have support for social security affiliations according to the national law, have induction training for the position, medical evaluations and supports as recommendations according to the defined procedure.</p> <p>At the time of the audit no women are evident in state of pregnancy, granting periods of breastfeeding mothers is validated in the last year, it shows Mrs. Patricia Valencia, enjoyed the benefit for 3 months for two hours of her workday to breastfeed her child , the company did not discount the period provided to breastfeed the baby.</p>	<p>YES</p>

Criterion 6.9: There is no harassment or abuse in the

work place, and reproductive rights are protected.

Summary of the findings for 6.9:

Findings:	Comments:	Compliance
<p>The company has a procedure AGAINST SEXUAL HARASSMENT CODE N / A updated in 2017, where those responsible and how to resolve situations of sexual harassment in the company, just as it has the Policy Against Discrimination And Sexual Harassment established, it is available in the link https://www.natural-habitats.com/es/business-policies/</p> <p>In January 2017 the PROCEDURE FOR COMPLAINTS AND SUGGESTIONS OF WORKERS OF EXTRANATU 2017 was updated, CODE TH-PRO-002 Version 2, with disclosure date Sep 29 2017. It relates to the way of guaranteeing anonymity of the people who want to file a claim. In the internal labor regulations, the obligation of the company to provide mothers with breastfeeding periods and maternity leave is linked.</p> <p>A breach of this criterion was evidenced, indicator 6.9.1 the procedure defined against harassment is not functioning according to what is established, additionally it only has a policy for sexual harassment, other forms of harassment have not been linked.</p>	<p>In the link https://www.natural-habitats.com/es/business-policies/ it has policies against discrimination and sexual harassment, additionally it has the PROCEDURE AGAINST SEXUAL HARASSMENT CODE: N/A updated in the 2017. In it is determined that an interdisciplinary team consisting of the head of human talent, the head of occupational health and safety, the company's prevention physician and president of the workers' association must be formed, and it further describes that this group must have specialized training on the treatment and organizational intervention in matters of sexual and labor harassment. The internal work regulation chapter 8 article 56, relates to the granting of maternity and lactation leave to working women. Granting Mrs. Patricia Valencia evidence for 3 months where she enjoyed two hours of her working day to breastfeed her child.</p> <p>Non-compliance 6.9.1</p> <p>It was evidenced that the procedure Against Sexual Harassment is not being met, in section 6.3 of this document (Informacion y Difusion del procedimiento) it states that the content be disclosed to all staff and a copy to be provided to all staff. In the same way, it establishes that the committee that provides solutions to harassment situations will have training so that they can carry out their responsibilities, although such situations have not yet been carried out.</p> <p>Additionally, in the minutes of the association of workers, two minutes were evidenced related to the treatment by the Titular Manager of the Plant of benefit to its workers, one for inter-managerial change of the Plant Manager, where the workers complained about the way in which the Manager without just cause changes the personnel and additionally that they did not have clear who their boss was. This same situation is supported by e-mails from the area of human talent to the General Management. Similarly, an act of the assembly was evidenced where the workers asked the Head Manager of the Benefit Plant to recognize the work done, since with the treatment received they felt that no work was provided to said Manager, within the documented minutes the Manager explains that his attitude is due to the need to improve in the plant and that they are on the right track. There is also a complaint in the minutes of May 2017 of the Joint Committee where there is evidence of an engineer's complaint for incisive comments about sexual relations between her and a worker issued by the Manager of the Profit Plant, two people were interviewed. In this meeting, the Manager of benefit plant and Chief of Occupational Safety and Health in charge of confirming these situations, say so far there are no clear actions to mitigate the harassment presented by the Manager of the benefit plant according to the procedure defined by the company. The policy developed</p>	<p>YES/NOT</p>

only relates to sexual harassment, other forms of harassment and violence are not linked to or established by the requirement.		
Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.		
Summary of the findings for 6.10:		
Findings:	Comments:	Compliance
<p>Natural Habitats has a signed letter on January 31, 2017, which establishes the manner of payment and value per tonne of Fresh Fruit Bunches. During the interviews with the suppliers as a whole, the knowledge of how to obtain the price per ton of FFB was evidenced. It was observed in the places where the producers post the publication of the current price and the history of the year by week of FFB.</p> <p>The producers can communicate with the staff of Natural Habitats who assist them technically and they provide the price. Product purchase invoices are generated.</p> <p>There is evidence of a breach of this criteria, indicator 6.10.4: producers are not paid in a timely manner according to the agreements made.</p>	<p>It has a letter signed by the president of the Association of Organic Palmers of Quininde, Gina Torres, on January 31, 2017, which clarifies for Natural Habitats how it had defined the payment per tonne of FFB, it states that the price is defined by 21.5% of the CIB Rotterdam, and until the date of the visit the price is settled following that formula.</p> <p>It boasts that the disclosure of prices paid weekly are in the collection center and in the benefit plant at Viche, these points are the places where the delivery of fruit is done by the producers, additionally the attendants of agricultural area communicate to their producers the price of each week.</p> <p>Failure to comply 6.10.4 According to interviews with producers at present payments have been late from the processing plant for two or three weeks according to the agreement.</p>	YES/NOT
Criterion 6.11: Growers and mills contribute to local sustainable development wherever appropriate.		
Summary of the findings for 6.11:		
Findings:	Comments:	Compliance
<p>The company maintains support for a school Panama by paying a school teacher. It currently is advancing the expedition of a plan to allocate fixed teachers for the school. Additionally through the Extranatur Association SA, workers subsidizing the construction of housing for the poorest person in the village of Chaupara came forward.</p>	<p>It has the Act of October 10, 2016 where it is determined to give a home to the poorest person of the township Chaupara Perona, purchase invoices for materials were observed in the months of January, February and March 2017, the house was completed in March 2017 with a construction contract for November 30, 2016 deadline delivery date March 16 2017. The payment for the teacher at the School in Panama that is diagonal to the processing plant was evidenced.</p>	YES
Criterion 6.12: No forms of forced or trafficked labour are used.		
Summary of the findings for 6.12:		
Findings:	Comments:	Compliance
<p>The company has various certifications of good practices such as fair trade. It has a comprehensive policy that relates to the non-practice of forced labor, and it is available on the premises of the processing plant and on the website https://www.natural-habitats.com/en/business-policies/ During interviews on farms and their workers it was argued that they are not abused or are subjected to forced labor.</p>	<p>Within the company only a worker of Colombian nationality which has a contract in act since May 12, 2015 was evident, he has dual nationality and identity card of Ecuadorian citizenship is evidenced with date of issue 25.08.2014. No staff abuse, document retention or forced labor has become evident.</p>	YES
Criterion 6.13: Growers and millers respect human rights.		
Summary of the findings for 6.13:		
Findings:	Comments:	Compliance
<p>There is a policy on Human Rights published October 17, 2017, it is on the page https://www.natural-habitats.com/es/business-policies/, linking responsibility with its workers, farmers and affected communities, external service providers, monitoring and reporting of violations. It has been reported through training staff and stakeholders through group meetings.</p>	<p>The company has directed efforts to comply with human rights policy with its workers and people of interested parties.</p>	YES
Principle 7: Responsible development of new plantings.		

Criterion 7.1: A comprehensive and participatory social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations		
Summary of the findings for 7.1:		
Findings:	Comments:	Compliance
The processing plant has in its base farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at the RSPO.	<p>The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.</p> <p>The SIE was not conducted by independent personnel, this was carried out by staff of Natural Habitats, for that reason we can not establish independence processes.</p>	N/A
Criterion 7.2: Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations		
Summary of the findings for 7.2:		
Findings:	Comments:	Compliance
The processing plant has in its base farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at the RSPO.	<p>The processing plant has in its base farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at the RSPO.</p> <p>Among the maps that the company has of all the farms that supply fruit, it became clear that two of the polygons related to sowing crops after the year 2010 are located in an area of natural cover, these are Astudillo Cevallos Ruben Alejandro and Chica Mero Annelio Isrrael. In the drawings it demonstrates soil type and hedge type prior to the palm cultivation.</p>	N/A
Criterion 7.3: New plantings since November 2005 have not replaced primary forest or any area containing one or more high Conservation Values		
Summary of the findings for 7.3:		
Findings:	Comments:	Compliance
The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.	<p>The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.</p> <p>Among the maps that the company has revealed that two of the polygons related to sowing crops after the year 2010 are located in an area of natural cover. AVC study does not meet the requirements listed in this standard. Evaluated on the criterion 5.2</p>	N/A
Criterion 7.4: Extensive plantings on steep terrain, and/or on marginal and fragile soils, are avoided.		
Summary of the findings for 7.4:		
Findings:	Comments:	Compliance
The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.	The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.	N/A

	On the plans and evaluations of the company to each of the farms there is no presence of peat soils evident. It has procedure document for land management (Manual de Uso de Suelo), code ST-PSS-PROG.	
Criterion 7.5: No new plantings are established on local peoples' land without their free, prior and informed consent, dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their own representative institutions		
Summary of the findings for 7.5:		
Findings:	Comments:	Compliance
The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.	The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO. It has the document Land Ownership, Disputes And Legal Documents. Suppliers have supports lof land ownership.	N/A
Criterion 7.6: Local people are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.		
Summary of the findings for 7.6:		
Findings:	Comments:	Compliance
The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.	The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.	N/A
Criterion 7.7: Use of fire in the preparation of new plantings is avoided other than in specific situations as identified in the ASEAN guidelines or other regional best practices		
Summary of the findings for 7.7:		
Findings:	Comments:	Compliance
La planta de beneficio tiene dentro de su base de suministro fincas que han realizado nuevas plantaciones después del año 2010, estas fincas se encuentran certificadas desde el año 2013 por tal razón no cuenta con Procedimiento de Nuevas Plantaciones, en la actualidad Natural Habitats se encuentra adelantando el proceso de compensación ante la RSPO.	The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO. In the 12 farms visited fire for the preparation of land or crop management was not evidenced. Within the policies and procedures implemented fire for preparation or crop management is prohibited.	N/A
Criterion 7.8: New plantation developments are designed to minimise net greenhouse gas emissions.		
<p>i. The credentials of assessors are clearly captured demonstrating the competencies requirements listed in Table 2 of NPP (2015), as part of their public reporting (as per Chapter 6 of the Procedure).</p> <p>ii. Starting 1st January 2016, the RSPO GHG Assessment Procedure for New Planting Version 3 is used.</p> <p>iii. All information and data of the assessment as per Chapter 6, reporting framework of RSPO GHG Assessment Procedure Version 3 is correct.</p> <p>iv. The new Development GHG Calculator is used for the projection of GHG emissions associated with the new development plan.</p> <p>v. Valid references are provided for assessments done using any other values and vegetation covers classification other than RSPO Default Value (refer Chapter 3 of the Procedure).</p>		

Summary of the findings for 7.8:		
Findings:	Comments:	Compliance
The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.	The processing plant has in its base farms farms that have made new plantations after 2010, these farms are certified since 2013 and for that reason it has no procedure for new plantations, today Natural Habitats is advancing the process of compensation at RSPO.	N/A
Principle 8: Commitment to continual improvement in key areas of activity.		
Criterion 8.1: Growers and millers regularly monitor and review their activities and develop and implement action plans that allow demonstrable continual improvement in key operations		
Summary of the findings for 8.1:		
Findings:	Comments:	Compliance
<p>Continuous improvement plan update July 2016 is available with clear indications of the items listed.</p> <p>The general areas covered includes:</p> <ul style="list-style-type: none"> • Mill effluents treatment system • Reduction of GHG • Reduction of solid waste, • Reduction of energy consumption (electric,fossil) • Reduction of oil consumption, • Yield optimization(supply base) 	<p>There is a continuous improvement plan drawn up by Juan Alcalde 2016 dated 08/08/2016 and approved by Angulo Jessenia , has 48 indicators, which are divided by each section : production, processing , occupational health and safety, human resources , environmental management, social , where each month is recorded , to achieve the goal of 100 % if possible before the end of the year</p> <p>Natural Habitats Group has an approved list of authorized products from Ecocert (recognized certification body in Ecuador for organic products) mentioning all authorized products for the use on organic palm plantations, dated January 2016.</p> <p>An PIM plan is implemented.</p> <p>Annual internal audits at farms controls the records of management of palm oil culture and organic activity producer's records.</p> <p>There is an action Plan to improve the mil effluents treatment system "programa control y mitigación de la contaminación de suelo y agua. Objective zero soil contamination. Reduction GHG with new POME treatment Project.</p> <p>Biogas Project "INNOVAR" at the time of the audit is not running, it is anticipated that the first tank enters operations in September 2016.</p> <p>The agricultural practices that Extractora Natural Ecuador S.A. request from its FFB providers (growers) are in compliance with the recommendations of RSPO and ANCUPA. The growers receive booklets about good agricultural practices and technical assistance from the mill personnel.</p> <p>The cultivating protocol minimize GHG emissions through the implementation of waste management plans, energy efficiency plan, fertilization plan based on soil analysis and the use of crop residues and the prohibition of using synthetic pesticides (the totality of the production is organic certified). The new plantations that have been established, have been planted under the fore mentioned conditions/practices.</p> <p>Reference Documentos:</p> <ul style="list-style-type: none"> - Plan de gestión de residuos - Plan de manejo de residuos peligrosos - Plan de acción ambiental - Plan de monitoreo de efluentes - Plan de monitoreo de emisiones atmosféricas - Plan de acción social 	yes

	<ul style="list-style-type: none"> - Indicadores de impacto social - Plan de Buenas practicas agrícolas de 2015 - 2020 (Biointensification Maximum economic yield) - Plan de manejo orgánico. - Proyecto de Biogas-INNOVAR <p>Note: Evaluation Criteria Continuous Improvement in operations, of 8 criteria 2 do not please (5.2 to 6.1</p>	
RSPO Supply Chain Certification		
Supply Chain Module		D – Identity Preserved / E - Mass Balance
Findings:	Comments:	Compliance
Description		
All FFB entering the mill comes from certified farms. The supply base for the mill at the time of the audit is conformed by a group of 144 growers. All FFB are processed in one mill in Viche. There are two FFB reception sites. one at Viche (Mill) and one at Quinindé. where at the scale point the origin of FFB is verified and recorded.	<p>The mill (Extractora Natural Ecuador S.A.) sells the CPO and PK to Exportsustent S.A. Both companies are part of Natural Habitats Group who holds the RSPO membership.</p> <p>There is control of the quantity of CPO and PK produced every day. which is then summarized on a weekly and monthly basis.</p>	YES
Documented Procedures		
<p>There are documented procedures and formats to ensure the correct implementation of the supply chain model.</p> <p>Arturo Arévalo is the mill general manager and the responsible person for the implementation of the RSPO standards in the mill. He demonstrated a sound knowledge of the procedures to be followed.</p> <p>There are documented procedures in place. which explains what type of information has to be registered at the FFB reception points. The Mill only receives certified FFB.</p>		YES
Purchasing and goods in		
<p>The company only buys certified products (FFB).</p> <p>Only certified growers delivers fruit to the mill.</p> <p>There are weekly production projections for each grower part of the supply base.</p> <p>Overproduction has not occurred yet. On the contrary. the estimated proyection has been diminished due to PC disease.</p>	<p>Every week the agronomist team makes an estimation of the amount of FFB tones that each farmer should deliver to the FFB reception sites. The information on the individual harvest projection is send via e mail or delivered printed to Extractora Natural Ecuador S.A. including the FFB reception points personnel at Quinindé and Viche. At the collection center the person in charge makes a daily report on the tonnage received and the amounts received from each grower.</p>	YES
Record keeping		
<p>There are daily records of FFB received and processed.</p> <p>Updated sales records (CPO and PK) available.</p> <p>The totality of the production is sold to Exportsustent S.A.</p>	<p>There is a daily control on the quantity of FFB received and products produced at the mill.</p> <p>Every month a production balance report is generated and it contemplates the amount of FFB received and CPO and PK produced and sold.</p> <p>Documents: "Informe producción julio 2016".</p>	YES

	Monthly reports of quantity of PK delivered to AEXAV palm kernel crushing plant. company that produces PKO for Exportsustent S.A.	
Processing		
There is only one mill processing the company FFB and it is located in Viche. Esmeraldas. Ecuador. The capacity of the mill is of 11 Tons of FFB/hour. The mill only receives and process RSPO certified FFB from its certified supply base.	The only process run at the mill is the extraction of CPO from oil palm FFB. The CPO and PK are sold to Exportsustent S.A.	YES
RSPO Rules on Market Communications and Claims		
Claims & Trademark use		
On the webpage there are corporate communications that complies with section 4.2 of the RSPO Rules on Market Communications and Claims. June 2015.	On the Natural Habitats Group page http://www.natural-habitats.com/ under certifications . the name of RSPO is listed. The RSPO is correctly used and has the sentence "Check our progress at www.rspo.org ".	YES
4.2 Non conformity registers.		
This section gives an over view of new or revised non-conformities raised during this assessment and of action taken to close out non-conformities raised during the previous assessments. Major non-conformities raised during a main assessment will prevent the certification body from making a positive certification decision for the concerned units/products. The NC number is comprised of 2 parts to include the year in which the NC is raised as well as a sequential number.		

4.2.1 Verification of previous assessment non-compliances		
Non-compliance		
Date raised		
Major or Minor		
Reference of standard		
Correction at this audit	Full	
	Partial	
	Not Corrected	

4.2.2 New non-compliances raised at this audit	
NC number	00
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	1.1.2
Standard requirement	Record of request for information and responses shall be maintained.
Evidence of non-compliance	The communication procedure is not working, the employees have informed that the complaints added eventually disappear.
Date of closing:	28/11/2017

4.2.3 New non-compliances raised at this audit	
NC number	002
Date raised	26-10-2017
Major or Minor	Minor
Reference of standard	2.1.3
Standard requirement	A mechanism for ensuring compliance shall be implemented.
Evidence of non-compliance	Until the time of the visit, the farms that make up the supply chain do not have the environmental license required for palm farms in Ecuador. Additionally, despite having the annual update, it exceeds in three months the periods determined in the procedure.

Date of closing:	
-------------------------	--

4.2.4 New non-compliances raised at this audit	
NC number	003
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	4.4.2
Standard requirement	Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated.
Evidence of non-compliance	In the field view on October 25 -26 of Mr. Herandez Bayron, Jorge Marin (Campo Grande) at the time of verification in the field it was evident that there are palms that do not comply with the established parameters of distance from the rivers (more than 20 meters wide). The required distance according to the article 10 paragraph a of the Ministerial agreement 002 (contributed by documentation of Natural Habitats) the required distance is of 10 meters. Of the 12 farms visited, 2 of them do not do a differentiated maintenance to the palms already established in riverine areas.
Date of closing:	28/11/2017

4.2.5 New non-compliances raised at this audit	
NC number	004
Date raised	26-10-2017
Major or Minor	Minor
Reference of standard	4.4.3
Standard requirement	Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6).
Evidence of non-compliance	During the audit of the month of October it is evident that the effluents of the extractor plant do not have their respective analysis of BOD, COD. The last sample taken on December 23, 2016, by the Gruntec laboratory.
Date of closing:	

4.2.6 New non-compliances raised at this audit	
NC number	005
Date raised	26-10-2017
Major or Minor	Minor
Reference of standard	4.6.10
Standard requirement	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3).
Evidence of non-compliance	Natural Habitats does not comply with its waste management procedure with the code EN PRO 015, In his chapter 7 WASTE MANAGEMENT Effluents from sterilization and clarification: The effluent is subjected to a primary treatment where it circulates through a system of Florentines that allows to remove part of the oil, which is reprocessed. The remaining muddy waters are transported to the bioreactors of the INNOVAR project, where anaerobic digestion of the organic matter takes place, generating methane, clean mineralized sludge and clean mineralized water.

	The methane gas is stored in cylinders, the excess production is burned directly in the plant. The mineralized clean water is used to irrigate an adjacent experimental garden, while the de-metallized sludge is dried in one of the pools to be used later as fertilizer. The above written, at the time of verification in the field, does not exist, which establishes the NO conformity.
Date of closing:	

4.2.7 New non-compliances raised at this audit	
NC number	006
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	4.7.3
Standard requirement	All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.
Evidence of non-compliance	It was evidenced during the audit, that the workers of the extraction plant are not adequately trained in safe work practices, as an example work in altruas, and induction to the positions to perform.
Date of closing:	28/11/2017

4.2.8 New non-compliances raised at this audit	
NC number	007
Date raised	26-10-2017
Major or Minor	Minor
Reference of standard	4.8.2
Standard requirement	Records of training for each employee shall be maintained.
Evidence of non-compliance	When verifying 7 folders of the workers, in three of them they do not count on their respective capacitación of entrance to the work to carry out.
Date of closing:	

4.2.9 New non-compliances raised at this audit	
NC number	008
Date raised	26-10-2017
Major or Minor	Minor
Reference of standard	5.1.3
Standard requirement	This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.
Evidence of non-compliance	There are no mitigation plans and identification of environmental impacts, for the farms and extracting plant, these are not reviewed and updated every 2 years as a minimum.
Date of closing:	

4.2.10 New non-compliances raised at this audit	
NC number	009
Date raised	26-10-2017
Major or Minor	Minor
Reference of standard	5.2.4
Standard requirement	Where a management plan has been created there shall be ongoing monitoring: <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan.
Evidence of non-compliance	There are no mitigation plans and identification of environmental impacts, for the farms and extracting plant, these are not reviewed and updated every 2 years as a minimum. The monitoring plan for the RAP species and the status of the HCVs has not been documented correctly.
Date of closing:	
4.2.11 New non-compliances raised at this audit	
NC number	010
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	6.1.1
Standard requirement	A social impact assessment (SIA) including records of meetings shall be documented.
Evidence of non-compliance	The study does not describe the way in which the sample was determined to perform the impact analysis (21 Quininde surveys, 5 Muisne surveys for a total of 26 surveys), and there is no justification of why two of the four zones are not related in which there is influence of the palm production of Natural Habitats Ecuador. The study does not show minutes of meetings of the interested and / or affected parties such as entities, institutions that represent them or spokespersons chosen freely, during the identification of the impacts, reviewing both the findings and the plans for their mitigation and monitoring of success of the plans implemented. The evaluation of social action was carried out by personnel from the company Natural Habitats Ecuador and the Green Natural Foundation, a situation that does not allow for a clear independence of said study.
Date of closing:	28/11/2017

4.2.12 New non-compliances raised at this audit	
NC number	011
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	6.1.3
Standard requirement	Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.
Evidence of non-compliance	The company has impacts to mitigate within the results obtained in the Study Of Identification And Mitigation Of Social Impacts In The Communities Of Influence Of The Habitats Ecuador Natural Company, in it a series of recommended activities are proposed to mitigate the impact, however There

	has not been a timetable for the execution of actions to respond to the identified impacts. It was not possible to establish the way to demonstrate activities at impact 1) Interruption to the use of natural resources (question 4).
Date of closing:	28/11/2017

4.2.13 New non-compliances raised at this audit	
NC number	012
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	6.2.1
Standard requirement	Consultation and communication procedures shall be documented.
Evidence of non-compliance	There has not been a correct dissemination of the communication procedure since during the interview with interested parties and collaborators of the company it was evidenced that they lack knowledge of said procedure.
Date of closing:	28/11/2017

4.2.14 New non-compliances raised at this audit	
NC number	013
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	6.4.1
Standard requirement	A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.
Evidence of non-compliance	During the interviews conducted and the documentary review it was evident that the company has a document called PROPIEDAD DE LA TIERRA, CONFLICTOS Y DOCUMENTOS LEGALES (Property Of The Earth, Conflicts And Legal Documents), however this document does not relate if the farms that are part of its supply chain are located in areas with customary rights, it does not describe the manner of identification of these rights and the manner of evaluation in case a farm enters to be part of the supply chain and is able to determine whether or not it is part of these areas or deserves some type of compensation.
Date of closing:	28/11/2017

4.2.15 New non-compliances raised at this audit	
NC number	
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	6.5.2
Standard requirement	Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.
Evidence of non-compliance	The remunerations are made based on the sectoral tables which determine the basic salaries. Sample taken for the months of April - May 2017 The national legislation allows working up to 12 extra hours a week, being maximum 4 hours a day, for the sample it takes month of March - April weeks from March 27 to April 2 and from April 3 to April 8 showing that workers in the charges of boilers, clarification, fruit loader and collection center exceed the weekly allowed times by legislation reaching weeks of 28 hours and 58 minutes, 27 hours with 2 minutes, 23 hours with 17 minutes. Currently, a plan is underway that tends to reduce overtime, however for the month of October it is evident that two workers with Boiler positions exceed the 12 hours per week defined by legislation.

	The people who perform the work of fruit loaders in the collection center have a work schedule of 8:00 a.m. - 4:30 p.m. or from 9:00 a.m. to 6:00 p.m. plus extra hours that they can work depending on the production with salary of US \$ 400 / month. In addition to the day, the work of Night Guard (care at night) salary 150 USD, this situation is not aligned to the conditions established by national legislation and as determined by the employment contract, since the latter only has the work of lowering of fruit, currently the people who are in the collection center have to be in their place of work days longer than allowed by legislation.
Date of closing:	28/11/2017

4.2.16 New non-compliances raised at this audit	
NC number	
Date raised	26-10-2017
Major or Minor	Minor
Reference of standard	6.5.3
Standard requirement	Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.
Evidence of non-compliance	It was evidenced during the tour in the fruit reception area of Quininde, the place where workers of fruit discharge live and do the work of guardianship, does not have occupational health inspections. Windows have no protection and in rainy seasons They place plastic to avoid wetting their elements and protect from the cold. Additionally, in the room that connects with the bedroom, elements such as tools, personal protective equipment, boxes with training material, among others, are stored.
Date of closing:	

4.2.17 New non-compliances raised at this audit	
NC number	
Date raised	26-10-2017
Major or Minor	Minor
Reference of standard	6.5.4
Standard requirement	Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.
Evidence of non-compliance	Although the company through the Human Talent Manager approves the weekly menus of food for workers, they are not approved by a competent person to determine if they are adequate and sufficient.
Date of closing:	

4.2.18 New non-compliances raised at this audit	
NC number	
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	6.9.1
Standard requirement	A policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.
Evidence of non-compliance	<p>It was evidenced that the procedure Against Sexual Harassment is not being met, in section 6.3 of this document (Informacion y Difusion del procedimiento) it states that the content be disclosed to all staff and a copy to be provided to all staff. In the same way, it establishes that the committee that provides solutions to harassment situations will have training so that they can carry out their responsibilities, although such situations have not yet been carried out.</p> <p>Additionally, in the minutes of the association of workers, two minutes were evidenced related to the treatment by the Titular Manager of the Plant of benefit to its workers, one for inter-managerial change of the Plant Manager, where the workers complained about the way in which the Manager without just cause changes the personnel and additionally that they did not have clear</p>

	<p>who their boss was. This same situation is supported by e-mails from the area of human talent to the General Management. Similarly, an act of the assembly was evidenced where the workers asked the Head Manager of the Benefit Plant to recognize the work done, since with the treatment received they felt that no work was provided to said Manager, within the documented minutes the Manager explains that his attitude is due to the need to improve in the plant and that they are on the right track. There is also a complaint in the minutes of May 2017 of the Joint Committee where there is evidence of an engineer's complaint for incisive comments about sexual relations between her and a worker issued by the Manager of the Profit Plant, two people were interviewed. In this meeting, the Manager of benefit plant and Chief of Occupational Safety and Health in charge of confirming these situations, say so far there are no clear actions to mitigate the harassment presented by the Manager of the benefit plant according to the procedure defined by the company. The policy developed only relates to sexual harassment, other forms of harassment and violence are not linked to or established by the requirement.</p>
Date of closing:	28/11/2017

4.2.19 New non-compliances raised at this audit	
NC number	
Date raised	26-10-2017
Major or Minor	Major
Reference of standard	6.10.4
Standard requirement	Agreed payments shall be made in a timely manner.
Evidence of non-compliance	According to interviews with producers at present payments have been late from the processing plant for two or three weeks according to the agreement.
Date of closing:	28/11/2017

4.2.3 Observations	
Date raised	

4.3 Lead Auditor Recommendations for the RSPO Principles & Criteria certification.	
Grant/ Renewal/ Extension*	<input type="checkbox"/>
Maintenance*	<input checked="" type="checkbox"/>
Suspension	<input type="checkbox"/>
Refuse / Withdrawal Certificate	<input type="checkbox"/>
Justification for the Recommendation	
<p>* Grant / Renewal / Extension / Maintenance, in the case of open Minor nonconformities, assumes that the nonconformities will be cleared as agreed</p> <p>OBS: The final decision whether the company will be granted with the RSPO P&C certification or not, shall rely upon the certification body, after reviewing the audit documentation and taking in account the lead auditor's recommendation.</p>	
4.4 Comments for next audit.	
No comments.	

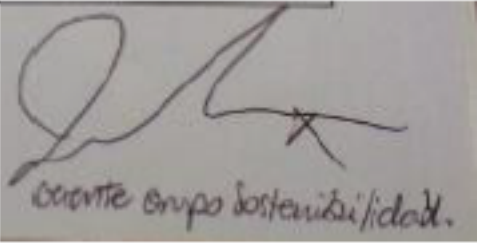
FORMAL SIGNING OF AUDIT FINDINGS

5.1 Acknowledgment of internal responsibility by the Client.

I the undersigned, being the most senior relevant management representative of the operation seeking or holding certification, agree with the contents and audit findings as presented in this document .

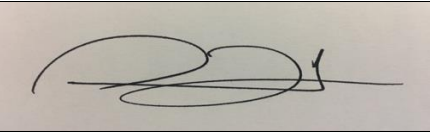
I also confirm:

- Acceptance of liability in execution of the instructions given.
- That this company was made aware that the findings of the audit team are tentative; pending review and decision making by the duly designated representatives of IBD.
- That during the closing meeting all agenda items were covered by the lead auditor.

Name	Jessenia Angulo
Position	Sustainability Manager
Signature	

5.2 Signing by the Lead Auditor.

I the undersigned, being the lead auditor, confirm that this report is an accurate record of the findings and of the closing meeting. I further confirm that the summary of the findings as presented are a true representation of the actual findings of the audit team.

Name	Pedro Roberto Cerrate Morales
Position	Lead Auditor
Signature	
Date	December 13th 2017

6. Major non-compliances follow-up actions (exclusive use of IBD decision maker)

Verification of effectiveness by:

- Follow-up on-site audit:
On-site review and evaluation of the introduction, implementation and effectiveness of non-compliance(s) correction and corresponding corrective actions.
- Desktop audit:
Document assessment of root cause analysis and evidence of corrections and corrective actions submitted to the certification body.

IBD

CERTIFICAÇÕES



www.ibd.com.br

Rua Amando de Barros, 2275
18602-150 - Botucatu-SP - Brasil
ibd@ibd.com.br

+55 14 3811-9800