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

AGROCARIBE / EXTRACTORA DEL ATLÁNTICO CHAMPONA / MORALES / IZABAL /GUATEMALA

Auditor Name: Cuauhtémoc Cedillo
Audit Date: 11/08/2017
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1. SCOPE OF THE CERTIFICATION AUDIT

1.1 Normative references
The Palm Oil Mill and the supply base was audited against the following documents:
- RSPO International Principles and Criteria (April, 2013 version)
- National Interpretation (approved version December/2015)
- RSPO Supply Chain Certification (November, 2014)
- New Planting Procedures (November, 2015 version)
- RSPO Rules on Market Communications and Claims (November, 2016 version)

1.2 Company and Contact Details
Company name: Agrocaribe - Extractora del Atlántico S.A.
Business address: Kilometer 273.5 road to the Atlantic, Finca Dublin Morales, Izabal, Guatemala
Scope: Production and sales of crude palm oil (CPO) and palm kernel (PK).
Products: CPO IP and PK IP
Contact person: Mercin Isaac Lopez
Telephone: +50254900990
E-mail: milopez@agrocaribe.com
Web site: www.agrocaribe.com
Other certifications held: Rainforest Alliance, BASC, Certified Emissions Reductions, Kosher

1.3 RSPO Membership Details
RSPO membership number: 1-0069-08-000-00
Parent company as applicable: Corporación Agroindustrial del Caribe S.A - AGROCARIBE

1.4 Audit type
Date of previous audit: July 18-22 2016
Date of this audit: August 7-11 2017
Main or ASA (1 to 4): ASA 3
Date of next surveillance audit: August 2018

1.5 Location of the Palm Oil Mill

<table>
<thead>
<tr>
<th>Palm Oil Mill (POM)</th>
<th>Location Address</th>
<th>Mill Capacity MT/Hour</th>
<th>GPS Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extractora del Atlántico S.A.</td>
<td>Kilometer 273.5 road to the Atlantic, Finca Dublin Morales Izabal</td>
<td>60</td>
<td>Longitude: 88°33’ 54.27” W, Latitude: 15°33’ 54.72” N</td>
</tr>
</tbody>
</table>

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 July 2017 the mill received 270,333 mt of FFB.
- 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:

<table>
<thead>
<tr>
<th>Month</th>
<th>FFB (MT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td>17725</td>
</tr>
<tr>
<td>February</td>
<td>11424</td>
</tr>
<tr>
<td>March</td>
<td>16187</td>
</tr>
<tr>
<td>April</td>
<td>12359</td>
</tr>
<tr>
<td>May</td>
<td>18184</td>
</tr>
<tr>
<td>June</td>
<td>24474</td>
</tr>
<tr>
<td>July</td>
<td>27164</td>
</tr>
<tr>
<td>August</td>
<td>29,680</td>
</tr>
<tr>
<td>November</td>
<td>31617</td>
</tr>
<tr>
<td>December</td>
<td>12469</td>
</tr>
</tbody>
</table>

FFB received on the previous 12 months, month by month:

<table>
<thead>
<tr>
<th>Month</th>
<th>FFB (MT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td>17725</td>
</tr>
<tr>
<td>February</td>
<td>11424</td>
</tr>
<tr>
<td>March</td>
<td>16187</td>
</tr>
<tr>
<td>April</td>
<td>12359</td>
</tr>
<tr>
<td>May</td>
<td>18184</td>
</tr>
<tr>
<td>June</td>
<td>24474</td>
</tr>
<tr>
<td>July</td>
<td>27164</td>
</tr>
<tr>
<td>August</td>
<td>29,680</td>
</tr>
<tr>
<td>November</td>
<td>31617</td>
</tr>
<tr>
<td>December</td>
<td>12469</td>
</tr>
</tbody>
</table>

Estimate for last 12 Months (MT) [IP] (ASA audits):

<table>
<thead>
<tr>
<th>Month</th>
<th>FFB (MT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td>17725</td>
</tr>
<tr>
<td>February</td>
<td>11424</td>
</tr>
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<td>24474</td>
</tr>
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<tr>
<td>August</td>
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</tr>
<tr>
<td>November</td>
<td>31617</td>
</tr>
<tr>
<td>December</td>
<td>12469</td>
</tr>
</tbody>
</table>

Actual Production for last 12 months (MT) [IP]:

<table>
<thead>
<tr>
<th>Month</th>
<th>FFB (MT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td>17725</td>
</tr>
<tr>
<td>February</td>
<td>11424</td>
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<td>November</td>
<td>31617</td>
</tr>
<tr>
<td>December</td>
<td>12469</td>
</tr>
</tbody>
</table>

Projection for next 12 Months (MT) [IP]:

<table>
<thead>
<tr>
<th>Month</th>
<th>FFB (MT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
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</tr>
<tr>
<td>November</td>
<td>31617</td>
</tr>
<tr>
<td>December</td>
<td>12469</td>
</tr>
</tbody>
</table>
### General Description of Supply Base

The supply base of Extractora del Atlantico S.A. are own plantations of Agrocaribe. The planted oil palm area is 8,968.54 hectares, distributed in two districts and 9 sectors. District 1 has 24 farms or estates and District 2 has 23 farms or estates. The certified areas retain the original names of the farms, but they correspond to a single management unit, according to the company.

The distribution of farms by district and sector is shown in the following table:

<table>
<thead>
<tr>
<th>Sector 1</th>
<th>Sector 2</th>
<th>Sector 3</th>
<th>Sector 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roma</td>
<td>Manzanillo</td>
<td>Paris</td>
<td>Place I</td>
</tr>
<tr>
<td>Roma II</td>
<td>Louisiana</td>
<td>Brasilia</td>
<td>Place II</td>
</tr>
<tr>
<td>Dubai I</td>
<td>London</td>
<td>Viena I</td>
<td>Cary Island</td>
</tr>
<tr>
<td>Dubai II</td>
<td>Lisboa</td>
<td>Viena II Híbridos</td>
<td>Poivenir</td>
</tr>
<tr>
<td>Roma</td>
<td>Berlin</td>
<td>Viena II Irios</td>
<td>Moran</td>
</tr>
<tr>
<td>Madrid</td>
<td>San Fernando</td>
<td>Canarias</td>
<td>Florencia I</td>
</tr>
<tr>
<td>Londres</td>
<td></td>
<td>Bordas Mariana</td>
<td>Florencia II</td>
</tr>
<tr>
<td>Lisboa</td>
<td></td>
<td>Pamexan</td>
<td>Florencia III</td>
</tr>
<tr>
<td>Berlin</td>
<td></td>
<td>Eskimo</td>
<td></td>
</tr>
<tr>
<td>San Fernando</td>
<td></td>
<td>Yolanda</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>San José</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Louisiana</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Arizona Irios</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Arizona</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Nogales</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sevilla</td>
<td></td>
</tr>
</tbody>
</table>

The processing capacity of the mill is 60 ton RFF/hour. The plant receives only RFF from its own plantations.

### Location of the Supply Base

**Oil Palm Plantation (OPP)**

<table>
<thead>
<tr>
<th>Name</th>
<th>Location Address</th>
<th>GPS Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agrocaribe</td>
<td>Kilometer 273.5 road to the Atlantic, Finca Dublin Morales Izabal, Guatemala.</td>
<td>88°32'58.10&quot;O 15°35'15.10&quot;N</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Name</th>
<th>Area of Oil Palm (Ha)</th>
<th>Estimated Tonnes FFB/Yr</th>
<th>Planting Years</th>
<th>Cycle (Years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agrocaribe</td>
<td>8,968.54</td>
<td>8,920.30</td>
<td>281,760</td>
<td>1999-2014</td>
</tr>
<tr>
<td>TOTAL</td>
<td>8,968.54</td>
<td>8,920.30</td>
<td>281,760</td>
<td></td>
</tr>
</tbody>
</table>

### Biodiversity (Total Conservation & HCV Area for the respective Supply Bases)

<table>
<thead>
<tr>
<th>Oil Palm Plantation</th>
<th>Biodiversity (Total Conservation &amp; HCV Area) Hectares.</th>
<th>Conservation</th>
<th>HCV</th>
<th>Comments</th>
</tr>
</thead>
</table>

---

**Notes:**

1.7.1 Location of the Supply Base

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

1.7.3 Biodiversity (Total Conservation & HCV Area for the respective Supply Bases)
1.7.4 Total Certified Area
(Total Certified Area corresponds to the sum of total Area of Oil Palm and the total Conservation Area)

<table>
<thead>
<tr>
<th>Oil palm plantation.</th>
<th>Operation</th>
<th>No of sample sites</th>
<th>No of Intervies</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>San Fernando farm</td>
<td>Block 113 fertilization</td>
<td>1</td>
<td>7</td>
<td>Full compliance with RSPO standard found during audit.</td>
</tr>
<tr>
<td>Madrid farm</td>
<td>Block 140/Agrochemical application</td>
<td>1</td>
<td>2</td>
<td>An observation is make for haven’t an appropriate signalization of agrochemical application zone.</td>
</tr>
<tr>
<td></td>
<td>Block 149/agricultural work several</td>
<td>1</td>
<td>12</td>
<td>An acceptable compliance with RSPO standard found during audit.</td>
</tr>
<tr>
<td>Mariana farm</td>
<td>installations</td>
<td>1</td>
<td>2</td>
<td>Full compliance with RSPO standard found during audit.</td>
</tr>
<tr>
<td>Florencia farm</td>
<td>Fruit evacuation (buffalo driver)</td>
<td>1</td>
<td>2</td>
<td>Full compliance with RSPO standard found during audit.</td>
</tr>
<tr>
<td>Florencia farm</td>
<td>harvesting</td>
<td>1</td>
<td>1</td>
<td>Full compliance with RSPO</td>
</tr>
</tbody>
</table>

For the Mill, how many units make up the production base?

- Owned estates (Y) \( N = 0.8\sqrt{Y} \)
- Smallholders (Z) \( N = 0.8\sqrt{Z} \)

| Explanation as to the selection of estates sampled |

The supply base consists of two districts and nine sectors. Two farms were chosen in one district and one farm in another district. With HCV in one of the sectors, it was also chosen to include a farm where the HCV (ecological reserve) is located. In total, 4 farms were visited.

A low risk was considered given that the company have a consolidated RSPO management.

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.

<table>
<thead>
<tr>
<th>Operation</th>
<th>No of sample sites</th>
<th>No of Intervies</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>San Fernando farm</td>
<td>Block 113 fertilization</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>Madrid farm</td>
<td>Block 140/Agrochemical application</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Mariana farm</td>
<td>installations</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Florencia farm</td>
<td>Fruit evacuation (buffalo driver)</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Florencia farm</td>
<td>harvesting</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

**HCV is part of conservation**
Florencia farm  
Picking loose fruit  
1  
Full compliance with RSPO standard found during audit.

Florencia farm  
Application of herbicide  
1  
Full compliance with RSPO standard found during audit.

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.

<table>
<thead>
<tr>
<th>Number of sub-contractors.</th>
<th>Mill and workshops</th>
<th>Farms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved:</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>On site during audit: Y</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Number to audit: = 0.8\sqrt{Y}</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Names</th>
<th>Activity</th>
<th>Audited</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oscar Orrego</td>
<td>SAISA Chief of Security</td>
<td>9/08/17</td>
</tr>
</tbody>
</table>

Explanation as to the selection of sub-contractors sampled:

The Chief of Security of the company SAISA, subsidiary of Agrocaribe, was interviewed at the facilities during the audit.

The other subcontracted service is CPO and CPKO transport tankers with 4 companies. No representative or transport driver of any of the companies was found during the audit.

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

N/A. There are no associated producers or small independent producers in the scope of this audit, since the supply base is from the company itself.

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

Justification: 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)

1.11 Summary of Net GHG Emissions

<table>
<thead>
<tr>
<th>Emissions per Product</th>
<th>tCO2e/tProduct</th>
<th>Land use</th>
<th>ha</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPO</td>
<td>-0.68</td>
<td>Oil Palm P planted area</td>
<td>8,968.62</td>
</tr>
<tr>
<td>PK</td>
<td>-0.68</td>
<td>Oil Palm planted on peat</td>
<td>0</td>
</tr>
</tbody>
</table>

Production t/yr

| FFB processed         | 275,786.4 |
| CPO Produced          | 62,819.72 |
| Conservation (forested) | 67.08 |
| Conservation (non-forested) | 0 |

Extraction %

| OER | 22.78 |
| KER | 0     |
| Total | 9,035.62 |

1.12 Summary of Field Emissions and Sinks

<table>
<thead>
<tr>
<th>Own Crop</th>
<th>Group</th>
<th>3rd Party</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>tCO 2e</td>
<td>tCO 2e</td>
<td>tCO 2e</td>
<td>tCO 2e</td>
</tr>
<tr>
<td>tCO 2e/ Ha</td>
<td>tCO 2e</td>
<td>tCO 2e/ FFB</td>
<td>tCO 2e</td>
</tr>
<tr>
<td>tCO 2e/ FFB</td>
<td>tCO 2e/ Ha</td>
<td>tCO 2e/ FFB</td>
<td>tCO 2e/ FFB</td>
</tr>
</tbody>
</table>

Emissions
<table>
<thead>
<tr>
<th></th>
<th>tCO2e</th>
<th>tCO2e/tFFB</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Land Conversion</strong></td>
<td>746</td>
<td>0,77</td>
</tr>
<tr>
<td></td>
<td>9,85</td>
<td>0,03</td>
</tr>
<tr>
<td><strong>CO2 Emissions from Fertilizer</strong></td>
<td>124</td>
<td>0,05</td>
</tr>
<tr>
<td></td>
<td>55,4</td>
<td>0,03</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>0,77</td>
</tr>
<tr>
<td><strong>N2O Emissions</strong></td>
<td>882</td>
<td>0,91</td>
</tr>
<tr>
<td></td>
<td>4,98</td>
<td>0,03</td>
</tr>
<tr>
<td>Fuel Consumption</td>
<td>351</td>
<td>0,36</td>
</tr>
<tr>
<td></td>
<td>3,76</td>
<td>0,01</td>
</tr>
<tr>
<td>Peat Oxidation</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Sinks</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crop Sequestration</td>
<td>903</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>88,7</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>0</td>
</tr>
<tr>
<td>Sequestration in conservation area</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>581</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>24,</td>
<td>0,2</td>
</tr>
<tr>
<td></td>
<td>74</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>6,0</td>
<td>0,2</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

### 1.13 Summary of Mill Emissions and Credits

<table>
<thead>
<tr>
<th></th>
<th>tCO2e</th>
<th>tCo2e/tFFB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emissions</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>POME</td>
<td>7287,18</td>
<td>003</td>
</tr>
<tr>
<td>Fuel Consumption</td>
<td>1183,41</td>
<td>0</td>
</tr>
<tr>
<td>Grid Electricity</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Utilisation</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Credits</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Export of Grid Electricity</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Sales of PKS</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Sales of EFB</td>
<td>-743,15</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>7727,44</td>
<td>0,03</td>
</tr>
</tbody>
</table>

### 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**: 0 %
- **Divert to methane capture**: 10 %
- **Divert to methane capture (electricity generation)**: 90 %

### 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

<table>
<thead>
<tr>
<th>Item</th>
<th>Criteria</th>
<th>(Yes/No)</th>
<th>Description (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1.1</td>
<td>Is the operation conducting a partial certification?</td>
<td>Yes</td>
<td>The plan for partial certification includes the subsidiary company Agrofrancia S.A., which has an extractor and own</td>
</tr>
</tbody>
</table>
The plan contemplated carrying out the certification of this company in December 2016, but it has not been possible to carry out even though the company is waiting for the approval of the LUCC in the procedure of Remediation and Compensation.

An email was sent dated 13/07/2017 by IBD RSPO Manager, addressed to the Certification Manager of Agrocaribe, informing him that a response from RSPO was received indicating that it should be awaited by the approval of the LUCC before renewing the annual license.

### 2.1.2 Is any company of the group, member of the RSPO? Which one?

| Yes | Corporación Agroindustrial del Caribe S.A - AGROCARIBE 1-0069-08-000-00 |

### 2.1.3 Is there a clear relationship between the companies, where one company has the majority ownership or the management control of others?

| Yes | It was evidenced that there is a clear relationship between the companies, where Corporación Agroindustrial del Caribe S.A - AGROCARIBE owns Servicios Integrales Montañas del Norte S.A., Extractora del Atlántico S.A. and Extractora La Francia S.A. |

### 2.1.4 Is there a clear and achievable time-bound plan prepared and in place?

| Yes | There is a clear and attainable plan, which is being implemented. The extractor Agrofrancia S.A. is ready to be certified but is awaiting authorization from the LUCC and the Remediation and Compensation plan by RSPO. |

### 2.1.5 Does the plan include all subsidiaries?

| Yes | The plan includes all subsidiaries |

### 2.2 Time-bound plan

**Description:** The plan includes subsidiaries belonging to the group, Agrofrancia S.A. and its supply base as the only missing certification site. The expected date had a first change from November 2015 to December 2016 because there was a process of Remediation and Compensation with RSPO and at that time there was no response. The date was rescheduled for December 2016 but has not been achieved even though the company is awaiting approval of the LUCC under Remediation and Compensation (see 2.1.1).

The company is ready for initial certification in October 2017 if RSPO's timely response is received and can be carried out.

**Initial** (mention sites and years proposed for the certification): Agrofrancia S.A. November 2015.

**Alterations:** It was rescheduled for December 2016 and again for October 2017 for reasons not attributable to the company.

**Justifications:** See 2.1.

**Acquisitions:** N/A. No new acquisitions.

### 2.3 Progress made on the time-bound plan

Please report upon adherence or deviation: Changes of dates are justified and can not be attributed to the company.

### 2.4 Non-compliances on the partial certification rules

None, changes in the time-bound plan are not imputable to the company.

### 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 No.: 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** Cuauhtémoc Cedillo (CC)

**Audit team** Ana María Uribe (AU)

### 3.3 Audit Methodology

#### 3.3.1 Audit Agenda

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Location</th>
<th>Program</th>
<th>Auditor(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/08/17</td>
<td>9:30</td>
<td>La Argentina Farm</td>
<td>Opening meeting</td>
<td>CC, AU</td>
</tr>
<tr>
<td>07/08/17</td>
<td>10:00</td>
<td>La Argentina Farm</td>
<td>Presentation by the company: General, Social, Agricultural Management and Organizational Development</td>
<td>CC, AU</td>
</tr>
<tr>
<td>07/08/17</td>
<td>11:00</td>
<td>Benefit plant office</td>
<td>Review of procedures and records in Palm Trace. Traceability exercise.</td>
<td>CC, AU</td>
</tr>
<tr>
<td>07/08/17</td>
<td>13:00</td>
<td>La Argentina Farm</td>
<td>Lunch</td>
<td>CC, AU</td>
</tr>
<tr>
<td>07/08/17</td>
<td>14:00</td>
<td>Benefit plant</td>
<td>Inspection of scale and reception of fruit; facilities and processes of the beneficiation plant, biodigesters and interviews</td>
<td>CC, AU</td>
</tr>
<tr>
<td>07/08/17</td>
<td>16:30</td>
<td>Benefit plant dining room</td>
<td>Performance verification and interviews</td>
<td>CC, AU</td>
</tr>
<tr>
<td>08/08/17</td>
<td>08:00</td>
<td>4 farms visit</td>
<td>Inspection of field work, agrochemical warehouse, conservation areas, camps and interviews with workers</td>
<td>CC, AU</td>
</tr>
<tr>
<td>08/08/17</td>
<td>11:00</td>
<td>Ecological reserve, riparian zones and 3 communities of the area of influence</td>
<td>Visit to ecological reserve and riparian areas. Visit to 3 communities, verification of social projects and interviews</td>
<td>CC, AU</td>
</tr>
<tr>
<td>08/08/17</td>
<td>14:00</td>
<td>La Argentina Farm</td>
<td>Lunch</td>
<td>CC, AU</td>
</tr>
<tr>
<td>08/08/17</td>
<td>15:00</td>
<td>Benefit plant Office</td>
<td>Documentary review and interviews</td>
<td>CC, AU</td>
</tr>
<tr>
<td>08/08/17</td>
<td>16:30</td>
<td>Benefit plant Office</td>
<td>Review - summary of the day’s activities with representatives of the company</td>
<td>CC, AU</td>
</tr>
<tr>
<td>09/08/17</td>
<td>08:00</td>
<td>Benefit plant Office</td>
<td>Review of title deeds and financial projections</td>
<td>CC</td>
</tr>
<tr>
<td>09/08/17</td>
<td>08:00</td>
<td>Clinic and Department of Occupational Health</td>
<td>Criterion 4.7 review</td>
<td>AU</td>
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<tr>
<td>09/08/17</td>
<td>10:00</td>
<td>La Argentina Farm</td>
<td>Stakeholders meeting</td>
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<tr>
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<td>12:30</td>
<td>La Argentina Farm</td>
<td>Lunch</td>
<td>CC, AU</td>
</tr>
<tr>
<td>09/08/17</td>
<td>13:30</td>
<td>Servicios Integrales del</td>
<td>Inspection of the facilities and operation of Servicios Integrales del</td>
<td>CC</td>
</tr>
</tbody>
</table>
### 3.3.2 List of stakeholders consulted prior to and during the audit.

<table>
<thead>
<tr>
<th>Name</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alberto Mendez</td>
<td>Fruit Evacuator</td>
</tr>
<tr>
<td>German Rene Max Cuc</td>
<td>Fertilizer/San Fernando farm /block 113</td>
</tr>
<tr>
<td>Marcos Mayo</td>
<td>Fertilizer/San Fernando farm /block 113</td>
</tr>
<tr>
<td>Aroldo Max Cuc</td>
<td>Fertilizer/San Fernando farm /block 113</td>
</tr>
<tr>
<td>Ronald Reyes Caal</td>
<td>Fertilizer/San Fernando farm /block 113</td>
</tr>
<tr>
<td>Eliceo Ic</td>
<td>Fertilizer/San Fernando farm /block 113</td>
</tr>
<tr>
<td>Luis López</td>
<td>Fertilizer/San Fernando farm /block 113</td>
</tr>
<tr>
<td>Abelino Sabana Duran</td>
<td>Agrochemical applicator /Madrid farm/block 140</td>
</tr>
<tr>
<td>Marino Elías Tul</td>
<td>Agrochemical applicator /Madrid farm/block 140</td>
</tr>
<tr>
<td>Mario Rolando Choc</td>
<td>Miscellaneous agricultural work / Madrid farm / block 149</td>
</tr>
<tr>
<td>Marcelino rene Choch</td>
<td>Miscellaneous agricultural work / Madrid farm / block 149</td>
</tr>
<tr>
<td>Nelson augusto Yat Pop</td>
<td>Miscellaneous agricultural work / Madrid farm / block 149</td>
</tr>
<tr>
<td>Elder Ramirez</td>
<td>Miscellaneous agricultural work / Madrid farm / block 149</td>
</tr>
<tr>
<td>Ernesto Tox</td>
<td>Miscellaneous agricultural work / Madrid farm / block 149</td>
</tr>
<tr>
<td>Agustín Caal</td>
<td>Miscellaneous agricultural work / Madrid farm / block 149</td>
</tr>
<tr>
<td>Juan Choch Icoc</td>
<td>Miscellaneous agricultural work / Madrid farm / block 149</td>
</tr>
<tr>
<td>Bayron Tum</td>
<td>Miscellaneous agricultural work / Madrid farm</td>
</tr>
<tr>
<td>Name</td>
<td>Position</td>
</tr>
<tr>
<td>---------------------------</td>
<td>----------------------------------------------------</td>
</tr>
<tr>
<td>Josué Méndez</td>
<td>Miscellaneous agricultural work / Madrid farm</td>
</tr>
<tr>
<td>Abraham Coy</td>
<td>Miscellaneous agricultural work / Madrid farm</td>
</tr>
<tr>
<td>Dario Queq</td>
<td>Miscellaneous agricultural work / Madrid farm</td>
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<tr>
<td>Darwin Garrido</td>
<td>Miscellaneous agricultural work / Madrid farm</td>
</tr>
<tr>
<td>Gerson Eduardo Gómez</td>
<td>Area Chief/Mariana farm</td>
</tr>
<tr>
<td>Francisco Bentura</td>
<td>Sector Chief/Mariana farm</td>
</tr>
<tr>
<td>Ricardo Coy Caal</td>
<td>Buffalo driver /Florenca farm</td>
</tr>
<tr>
<td>Carlos Abelino</td>
<td>Buffalo driver / Florenca farm</td>
</tr>
<tr>
<td>Jorge Mario Caac Cacao</td>
<td>Harvester / Florenca farm</td>
</tr>
<tr>
<td>Mario Rolando Cucul Ical</td>
<td>Harvester of fallen fruits / Florenca farm</td>
</tr>
<tr>
<td>Oscar Caal Vac</td>
<td>Agrochemical applicator / Florenca farm</td>
</tr>
<tr>
<td>Luis Angel Durini Recinos</td>
<td>Florenca I farm administrator</td>
</tr>
<tr>
<td>Elias Caal</td>
<td>OHS Inspector</td>
</tr>
<tr>
<td>Levin Abzum</td>
<td>Warehouse manager of fertilizers and agrochemicals</td>
</tr>
<tr>
<td>María Lisbeth Pérez Tot</td>
<td>Cook</td>
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<tr>
<td>Florinda Pop Coc</td>
<td>Cook</td>
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<tr>
<td>María Angela Dubón Merlos</td>
<td>Barrio El Beneficio Community Mayor</td>
</tr>
<tr>
<td>Evelyn Soriano Fuentes</td>
<td>Barrio El Beneficio Director of Mixed Rural School</td>
</tr>
<tr>
<td>Lester Rolando Rivera Dulón</td>
<td>Cocode El Beneficio Vocal</td>
</tr>
<tr>
<td>Norma Elizabeth Rivera</td>
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</tr>
<tr>
<td>Emilio Ochoa</td>
<td>Plant Manager Servintegrales</td>
</tr>
<tr>
<td>Mauricio Estuardo Ortiz de Paz</td>
<td>Scale operator</td>
</tr>
<tr>
<td>Miguel Ángel Morales</td>
<td>Colonia Nueva Esperanza Community Mayor</td>
</tr>
<tr>
<td>Xiomara Osorio</td>
<td>Cocode Colonia Nueva Esperanza Vicepresident</td>
</tr>
<tr>
<td>Gerlys Francis Ramos</td>
<td>Colonia Nueva Esperanza Treasurer</td>
</tr>
<tr>
<td>Yulitsa Amarilis Gregorio Espino</td>
<td>Colonia Nueva Esperanza Vocal II</td>
</tr>
<tr>
<td>María Catalina Corado</td>
<td>Aldea Chaponá Línea Morales Community Mayor</td>
</tr>
<tr>
<td>Janeth Ramírez</td>
<td>inspector of environmental sanitation Aldea Chaponá Línea Morales</td>
</tr>
<tr>
<td>Erick Falles</td>
<td>Aldea Chaponá Línea Morales Health Technician</td>
</tr>
<tr>
<td>Rodemio Betino</td>
<td>Cocode Aldea Chaponá Línea Morales Treasurer</td>
</tr>
<tr>
<td>Maynor Lemus</td>
<td>Cocode Puerto Barrios</td>
</tr>
<tr>
<td>Edwin Cordón</td>
<td>Media Luna President</td>
</tr>
<tr>
<td>Carlos Roda</td>
<td>Departmental Delegate of the Ministry of the Environment</td>
</tr>
<tr>
<td>Juan Carlos Tuch</td>
<td>Morales _Municipality</td>
</tr>
<tr>
<td>Eloy Godínez</td>
<td>Cocode Chaponá INTA</td>
</tr>
<tr>
<td>Yolima Lemus García</td>
<td>Morales Education Supervisor</td>
</tr>
<tr>
<td>Luwin Guerra</td>
<td>Representative Conafal (National Literacy Committee)</td>
</tr>
<tr>
<td>Ludwig Alberto Guerra Romero</td>
<td>Municipal Coordinator</td>
</tr>
<tr>
<td>Angelica Lambe</td>
<td>San Gil Ecological Reserve Secretary</td>
</tr>
<tr>
<td>Yenni Castro</td>
<td>Puerto Barrios Municipal Secretary</td>
</tr>
<tr>
<td>Eddy O. Palencia Padilla</td>
<td>Fundaeaco Regional Subdirector</td>
</tr>
</tbody>
</table>
3.3.3 Outline of how stakeholders consultation was managed.

The consultations with stakeholders were carried out in their place of residence or work, as well as in the specific meeting with stakeholders carried out in La Argentina Farm on August 9, 2017.

3.3.4 Issues that arose during stakeholder consultation and company responses.

<table>
<thead>
<tr>
<th>Subject raised</th>
<th>Company response and</th>
<th>Audit team findings</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Héctor Estupiñán</th>
<th>Environment Committee of Puerto Barrios</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adolfo Estrada Romero</td>
<td>MARN Regional Representative</td>
</tr>
<tr>
<td>Angélica M. Alarcón Corona</td>
<td>MARN Environmental Advisor</td>
</tr>
<tr>
<td>Carlos Estuardo Cardona</td>
<td>Tenedores Village Director</td>
</tr>
<tr>
<td>Rodín Miguel Zopón</td>
<td>Aldea Piteros Development Representative</td>
</tr>
<tr>
<td>Wendy Margarita Ceijas Peña</td>
<td>Aldea Champona Teacher</td>
</tr>
<tr>
<td>Ana Patricia Margarita Cerón</td>
<td>Aldea Guatlán Director</td>
</tr>
<tr>
<td>Claudia Noemí Mars Esquivel</td>
<td>Parcelamiento Centro Administrativo Navajoa</td>
</tr>
<tr>
<td>Ruth Milena Díaz González</td>
<td>Cruc de Champona Director</td>
</tr>
<tr>
<td>Maria Magdalena Mejicano Pérez</td>
<td>School of Mixed Rural Development Aldea Tenedores</td>
</tr>
<tr>
<td>David López Mendez</td>
<td>Cocode Las Vegas</td>
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<tr>
<td>Juan Rosales Ayala</td>
<td>Cocode Suiche III</td>
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<tr>
<td>Gerles Francisco Ramos</td>
<td>Cocode Nueva Esperanza Vocal II</td>
</tr>
<tr>
<td>Nicomedes Godoy Gómez</td>
<td>Punta de Rieles Community mayor</td>
</tr>
<tr>
<td>Miguel Ángel Morales</td>
<td>Nueva Esperanza Community Mayor</td>
</tr>
<tr>
<td>Adelfa Beatriz García León</td>
<td>Satélite Director</td>
</tr>
<tr>
<td>Angela Karina Muñoz Barrios</td>
<td>Colonia Cimarrón teacher</td>
</tr>
<tr>
<td>Yadira Marisol Escobar</td>
<td>School's director</td>
</tr>
<tr>
<td>Yulma Nineth Lémus M.</td>
<td>Mineduc Educational Supervisor</td>
</tr>
<tr>
<td>Mildred Nineth Jordán T.</td>
<td>Colonia Cimarrón Director</td>
</tr>
<tr>
<td>Marta Julia Ovando S.</td>
<td>Campamento Tenedores Director</td>
</tr>
<tr>
<td>Claudia Juliza Folaar Castillo</td>
<td>EDRM Picuat Director</td>
</tr>
<tr>
<td>María Catalina Corado H.</td>
<td>Cocode Champona Linea</td>
</tr>
<tr>
<td>Sulmi Esperanza Ventura Vázquez</td>
<td>Member of Cocode Champona Linea</td>
</tr>
<tr>
<td>Carlos Roberto Pérez</td>
<td>Sinai Village</td>
</tr>
<tr>
<td>Noe Chamale Galván</td>
<td>Puerto Barrios Environmental Adviser</td>
</tr>
<tr>
<td>Juan Carlos Tush</td>
<td>UFAM Puerto Barrios Coordinator</td>
</tr>
<tr>
<td>Edwin Ramírez</td>
<td>Scale operator</td>
</tr>
<tr>
<td>Axel Miguel Yalibat</td>
<td>Scale operator</td>
</tr>
<tr>
<td>Jorge Leonel Turcios</td>
<td>Production Chief</td>
</tr>
<tr>
<td>Job Santos</td>
<td>Electrician</td>
</tr>
<tr>
<td>Jorge Gerardo Alvarado Tobar</td>
<td>Turner</td>
</tr>
<tr>
<td>Serafín Argeta Galindo</td>
<td>Turner</td>
</tr>
<tr>
<td>Otoniel Gámez Ramo</td>
<td>Turner</td>
</tr>
<tr>
<td>Ana Carpio</td>
<td>Snack manager</td>
</tr>
<tr>
<td>Jesús Salguero</td>
<td>Agricultural Warehouse Manager Berlin</td>
</tr>
<tr>
<td>Evelia Noemi Salguero Cardona</td>
<td>Nurse</td>
</tr>
<tr>
<td>José Roberto Montenegro</td>
<td>General Manager</td>
</tr>
<tr>
<td>Jorge Otoniel Carranza Archila</td>
<td>Human resources manager</td>
</tr>
<tr>
<td>Cristina Samayoa Aycinena</td>
<td>Sales Manager (Corporate)</td>
</tr>
<tr>
<td>Carlos Alberto Chávez Garzón</td>
<td>Technical Department Manager</td>
</tr>
<tr>
<td>Oscar Amilcar Lobo Cruz</td>
<td>Engineering manager</td>
</tr>
<tr>
<td>Luis Custodio Rosa Chinchilla</td>
<td>District manager</td>
</tr>
<tr>
<td>Leonel Eduardo Orellana Urrutia</td>
<td>General Auditor</td>
</tr>
<tr>
<td>Mercín Isaac López Poveda</td>
<td>Certifications Manager</td>
</tr>
<tr>
<td>Marvin Oliva Pantaleón</td>
<td>District manager</td>
</tr>
<tr>
<td>Sergio Geovany Salguero</td>
<td>District manager</td>
</tr>
<tr>
<td>Edwin Estuardo Vásquez</td>
<td>Financial Analyst</td>
</tr>
<tr>
<td>Roberto Augusto Paiz Ruiz</td>
<td>Workshop and Engineering Manager</td>
</tr>
<tr>
<td>Oscar Bernabé Orrego</td>
<td>Security boss</td>
</tr>
<tr>
<td>José Alberto Rolando Luna</td>
<td>Plant manager</td>
</tr>
<tr>
<td>Jorge Leonel Turcio Galvez</td>
<td>Production manager</td>
</tr>
<tr>
<td>Perlita Waleska de León Ramírez</td>
<td>CSR Coordinator</td>
</tr>
<tr>
<td>Sergio Salguero</td>
<td>District 2 Manager</td>
</tr>
<tr>
<td>Mario Ramos</td>
<td>Head of Sector 5 District 2</td>
</tr>
<tr>
<td>proposed action to be taken.</td>
<td>Maynor Lemus, Cocode of Puerto Barrios said that they requested the collaboration of the company with maintenance of roads. Also with water filters for school.</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td></td>
<td>Juan Carlos Tuch, Municipality of Morales maintenance of rivers and drainage, maintenance of roads. Edwin Cordón, president of Cocode Media Luna, mentioned that they requested the company to collaborate on the maintenance of roads and containment of rivers. Maria Angela Dubón Merlos / community mayor of Barrio Beneficio also mentioned that they requested maintenance of roads.</td>
</tr>
<tr>
<td></td>
<td>Ing. Agronomist Carlos Roda, Departmental Delegate of the Ministry of the Agronomic Environment, said that they requested Agrocaribe to support a forest nursery and training.</td>
</tr>
<tr>
<td></td>
<td>Yolima Lemus Garcia, Educational Supervisor of Morales, said they requested the company to donate blackboards, construction materials, ecofilter and training.</td>
</tr>
<tr>
<td></td>
<td>Luwin Guerra, Representative Conalfa National Literacy Committee, shared that the company has generated spaces for staff to study at night. This activity began in 2014 in the camps London, Vienna, Dublin; 72 workers are currently participating in this program.</td>
</tr>
<tr>
<td></td>
<td>Angelica Lambey, Secretary of the San Gil Reserve mentioned that they requested the company to provide nurseries, fertilizers and the development of ecological days.</td>
</tr>
</tbody>
</table>
|  | Eloy Godínez Cocode de Champona INTA, proposed that the company should | The company will analyze if that possibility is viable. | Agrocaribe was made known this request externalized during the consultation with stakeholders.
consider creating spaces to employ the elderly and disabled.

<table>
<thead>
<tr>
<th>AUDIT FINDINGS</th>
<th>4.1 Summary of findings.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Principle 1: Commitment to Transparency</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Criterion 1.1:</strong> 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.</td>
<td></td>
</tr>
<tr>
<td><strong>Summary of the findings for 1.1:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
<tr>
<td>Up-to-date directories with contact details of stakeholders were shown: community representatives, providers, academia, NGOs, media, government institutions.</td>
<td>The information is distributed through email, website, Facebook, text messages, billboards in all areas where there are visits within the company.</td>
</tr>
<tr>
<td>It was verified the existence of a database called Agrocaribe Requests and Complaints Control which contains records from 2013 to 2016. From 2017 another database is used called Agrocaribe Applications and Projects.</td>
<td>A free phone line (Guatemala number 23780188), electronic mail and physical mailboxes are the measures taken by the company to receive the requests. Request records and responses are kept for 3 years.</td>
</tr>
</tbody>
</table>

| **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** |
| It was verified the existence of the Public Documents procedure (DP, Revision No. 01, First Edition, dated July 1, 2017), which aims to: Establish documents available to the public through the following procedure: be consulted by any person, as long as the request for documents is made through the procedure of petitions, complaints and complaints, which will be sent to general management for approval. | We verified the existence of the procedure called Policy for petitions, complaints, complaints or suggestions from our stakeholders (Revision 2, number 24, issue date: September 2015) NC. It was not evidenced that the stakeholders were informed of the availability of consultation of the Public Documents or of the procedures that must follow to request them. | Yes/Obs |

| **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** |
| It was verified the existence of the Code of Ethics document that is disseminated among employees when entering the workforce. Regular training is provided to reinforce the commitment to comply with the code of ethics at all levels. The company is certified with the BASC (Bussines Alliance Security Commerce) standard that contains very strict requirements in terms of business and transaction correction. | The Code of Ethics for the general public is also published on the company’s website. | Yes |

<p>| <strong>Principle 2: Compliance with applicable laws and regulations</strong> | |
| <strong>Criterion 2.1:</strong> There is compliance with all applicable local, national and ratified international laws and regulations | |
| <strong>Summary of the findings for 2.1:</strong> |</p>
<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was evidenced that the benefit plan and the farms comply with applicable local, national and international laws.</td>
<td>The company has contracted the company Ecolegal, which specializes in providing services for the elaboration and updating of legal matrices. Each time an update is sent to the end of the month, the updated information will be sent to you.</td>
<td>Yes</td>
</tr>
<tr>
<td>The legal ownership and use of the land is clearly demonstrated through the respective property titles and the notarized and registered certifications that were evidenced.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>It was verified the existence of a legal Matrix Tabulation updated to July 2017.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**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:

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>In the consultation with stakeholders, it was found that there are no land conflicts and also the documentary evidence supports them.</td>
<td>All stakeholders acknowledge that the land was banana and there is no record of any conflict.</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Criterion 2.3. Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their free, prior and informed consent.**

Summary of the findings for 2.3:

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Although there are no customary rights claimed by local communities, it was found that the company Agrocaribe has a Common Law Procedure.</td>
<td>What does exist is a Right of Way Map agreed upon between the company and its neighbors to facilitate the operations of the company and the accessibility of the communities to their lands.</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Principle 3: Commitment to long-term economic and financial viability.**

**Criterion 3.1: There is an implemented management plan that aims to achieve long-term economic and financial viability.**

Summary of the findings for 3.1:

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was evidenced that Agrocaribe has a business plan that aims to achieve long-term economic and financial viability to the company.</td>
<td>A detailed breakdown of estimated costs and benefits is presented in the Financial and Operational Summary with projections for each year, which includes direct and indirect costs for each significant activity and references to acceptable or desirable values for the good running of the business.</td>
<td>Yes</td>
</tr>
<tr>
<td>The business plan is designed and updated on a yearly basis (although it can also be updated semi-annually, according to market conditions) and contemplates a 5-year horizon.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Business Plan and the operation of Agrocaribe has the following virtues:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Focuses on increasing productivity per unit area; compared to other world-leading companies its productivity of nearly 8 tons of ACP / ha double the industry standards in Southeast Asia.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• In terms of costs they rank them among the industry leaders worldwide.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Sell at reasonable and appropriate prices as a reward for handling the different certifications.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Managing the Port Terminal in a</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
A company of its own gives them the strength to be competitive in costs and operational efficiency.

- Being self-sustaining in relation to providing funds for managing short-term loans with clients
- At a financial level with a gross margin above 40% and a low debt ratio, less than 1.5% (EBITDA, net profit before taxes, depreciation and amortization), which is considered low for the nature of the business.

**Principle 4: Use of appropriate best practices by growers and mills.**

**Criterion 4.1 Operating procedures are appropriately documented and consistently implemented and monitored.**

**Summary of the findings for 4.1:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agrocaribe has standard operating procedures documented and implemented for the field and for the extractor.</td>
<td>Formats and records of the realization of works, and records of quality control of works were evidenced.</td>
<td>Yes</td>
</tr>
<tr>
<td>Agrocaribe has a harvest procedure PR 17, with the aim of cutting all the ripe bunches produced and collecting all the grains detached from the bunches.</td>
<td>Each department of the company is responsible for communicating and applying best practice procedures. The Department of Management conducts internal evaluations to verify compliance and control.</td>
<td></td>
</tr>
</tbody>
</table>

**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:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was evidenced that Agrocaribe carries out practices with a high technical level that maintain and / or improve the fertility of the soil to a level that assures an optimum and sustained yield.</td>
<td>The company has a fertilization procedure in the field with code PR13, with the objective of applying specifically the nutrients that the palm needs, seeking to carry out a precision agriculture: fertilizer and doses according to the soil where it is planted, to the material of sowing, to the age of cultivation and the foliar, rachis and soil results that the laboratory gives, to obtain the expected production in that particular block.</td>
<td>Yes</td>
</tr>
<tr>
<td>Agrocaribe has the document called Integrated Crop Management, with the code MIC 01, this document, contemplates all agricultural practices.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Criterion 4.3: Practices minimise and control erosion and degradation of soils.**

**Summary of the findings for 4.3:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It has been shown that the company carries out practices that minimize and control soil erosion and degradation.</td>
<td>Agrocaribe, according to the result of soil analysis there are no peat soils and the slope maps show that there are no fragile soils.</td>
<td>Yes</td>
</tr>
<tr>
<td>Agrocaribe has an efficient maintenance program for access roads.</td>
<td>Agrocaribe has a procedure for handling areas of inclined soils PR 50 version 02. This procedure applies only to the farm Africa with an incline slope of 8%</td>
<td></td>
</tr>
<tr>
<td>There is no peat soil, according to the study of soils made by the Faculty of Agro-Food Sciences / University of Costa Rica. Soil laboratory and foliar laboratory and test report with code SC12 LSF I01 R01 (V9).</td>
<td>According to the result of the soil analysis, there are no peat soils and slope maps show that there are no fragile soils.</td>
<td></td>
</tr>
<tr>
<td>There is a procedure for the measurement of the water table in the field PR 46. To</td>
<td>Agrocaribe has a procedure for handling</td>
<td></td>
</tr>
</tbody>
</table>
Avoid slow movement of the water inside the soil sloping soil areas PR 50 version 02. This procedure applies only to the African farm with an incline slope of 8%.

### Criterion 4.4: Practices maintain the quality and availability of surface and groundwater.

**Summary of the findings for 4.4:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was evidenced that the practices carried out by Agrocaribe maintain the quality and availability of surface and groundwater.</td>
<td>There is a procedure to manage the palms on the shores (PR 25) through which the objective of avoiding the contamination of the water channels is achieved, eliminating the application of agrochemicals to the palms planted on the banks of the river.</td>
<td>Yes</td>
</tr>
<tr>
<td>The company has a water management plan (WFP), in order to make rational use of the resource in operations.</td>
<td>The company keeps a daily record of the water consumption for the processing of Fresh Fruit Clusters that is carried out in the extractor. It was evidenced that their values are quite rational.</td>
<td></td>
</tr>
<tr>
<td>There is a procedure in the treatment of water used in the extractor with the objective of reusing the wastewater emitted by the plant, carrying out the controlled decomposition of the organic matter to produce biogas and to capture it in closed tents, using the biogas for electric self-generation. No wastewater is discharged to bodies of water.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 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:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was evidenced that the company uses appropriate integrated pest management (IPM) techniques. The introduced pests, diseases, weeds and invasive species are effectively managed.</td>
<td>The IPM includes a sampling strategy, biological control and general considerations.</td>
<td>Yes</td>
</tr>
<tr>
<td>There is an Integrated Pest Management Plan (MIP 02) that starts from the sowing of the palm in the field.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 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:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was found that the agrochemicals used are managed without threatening human health or the environment. It was evidenced that a prophylactic use of agrochemicals is not made.</td>
<td>The company does not use pesticides that are classified as class 1A or 1B by the World Health Organization, or listed in the Stockholm or Rotterdam conventions, nor does paraquat. There is evidence of the updated list of pesticides banned in compliance with all international agreements, the Rainforest Alliance and RSPO.</td>
<td>Yes/Obs</td>
</tr>
<tr>
<td>There is a Plan for the Reduction of the Use of Pesticides for the period 2017-2018.</td>
<td>Observation: In Madrid farm, Lote 140, the roundup applicators Abelino Sabana and Mainor Elías Tul were observed, carrying the appropriate PPE and carrying out their work correctly. However, it was evidenced that the application batch lacked adequate signaling indicating the product applied and the time of not accessing it.</td>
<td></td>
</tr>
<tr>
<td>There is a list of approved products, classified by (trade name, fertilizer, herbicide, fungicide and insecticide), trade name, active ingredient, toxicity category and availability of MSDS.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>It was verified that all agrochemicals in use are authorized by WHO and registered in the Ministry of Agriculture, Livestock and Food (MAGA).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>It was evidenced that the personnel that</td>
<td></td>
<td></td>
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</tbody>
</table>
applied agrochemicals was provided with the EPP for its adequate protection.

**No compliance**

4.6.6 At the Mariana farm, it was evident that although the agrochemicals warehouse was neat and clean, it did not have adequate ventilation and had an inappropriate eyewash source to guarantee the correct application of water in case of emergency.

**Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented**

Summary of the findings for 4.7:

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
</table>
| It was evidenced that Agrocaribe has an Occupational Health and Safety Plan. With the objective to foresee the worker accidents (physically and mentally):  
- Industrial security / confined space work permission SI-PTEC  
- Industrial security / height work permission SI-PTS  
- Industrial security / fire extinguisher SI-EI  
- Industrial security / Risk evaluation SI-ER  
The mill has a PPE Supervision Plan with the objective to identify the security needs to ensure that all worker personals of company use adequately the personal protection equipment (PPE).  
Exist an health and occupational security committee (SSO). | Industrial security policy: At Extractora del Atlántico care about safety and well-being. Personal protection equipment (EPP) is proportioned for guarantee a safe work and foresee the worker accidents  
Occupational safety policy: At Extractora del Atlántico we strive to identify possible risks that may affect the health and safety of workers.  
Medical equipment: Training is provided for the use of medical equipment to the responsible personnel.  
the workers have medical service in the company's medical clinic. | No |

**No compliance:**

Criterion 4.8: All staff, workers, smallholders and contractors are appropriately trained

Summary of the findings for 4.8:

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>The existence and effective application of an Employee Training Program, which deals with the RSPO Principles and Criteria, was evidenced. The evaluation of the knowledge of the participants on the training topics is carried out.</td>
<td>The company organizes this information through a training program with the code EA S SSOPC -11 second edition.</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**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:

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was evidenced that aspects of plantation and mill management, including replanting, that have environmental</td>
<td>The evaluation includes consultation with relevant stakeholders to identify impacts and develop mitigation measures. The</td>
<td>Yes</td>
</tr>
</tbody>
</table>
impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.

It was verified the existence and authorization by the environmental authority of the Environmental Impact Assessment Study of the "Extractora del Atlántico S.A." Agroindustrial Project Prepared by Environmental Consultants S.A. (July 2003).

Environment and Development S.A, made an update of the study in 2012, called: Environmental Diagnosis of the Atlantic Extractor, submitted to the environmental authority on July 30, 2012 and registered with the number D-152-12. Environmental Record No. 25.


study complies with the requirements of the environmental authority and requested by the standard.

The plan incorporates a monitoring protocol, adapted to the changes in the operation and the effectiveness of the measures

The plan is reviewed at least every two years to reflect the results of the monitoring and where there are operational changes that can have positive and negative environmental impacts.

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:

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was verified the existence of the Study of High Values of Conservation carried out by Ambiens S.A. in May 2013.</td>
<td>The Howler monkey (Alouatta pigra) was the main RAP species identified to carry out the monitoring of its troops in the company's ecological reserve.</td>
<td>Yes</td>
</tr>
<tr>
<td>As a result of the study, HCV 1 was identified for the 45.4 ha reserve at Finca Florencia.</td>
<td>The company has a RAP in-kind training program for workers, which helps them become generators of field information for monitoring.</td>
<td></td>
</tr>
<tr>
<td>No HCV was identified in the local communities around Agrocaribe.</td>
<td>According to these TDR the consultancy will guide the company in the process of developing, implementing and operating an internal biological monitoring system within its properties. This system will be designed to allow the company to independently collect and process relevant information on local biodiversity to: 1) Be informed about the status of fauna and flora populations in the long term. 2) Anticipate changes in the status of fauna and flora populations through changes in management practices or management conditions of palm plantations. 3) Comply with the management and monitoring recommendations related to the documents approved by RSPO-AVC. 4) To comply with the requirements for the palm-growing in Guatemala</td>
<td></td>
</tr>
<tr>
<td>It was verified the existence of Terms of Reference of the Consultancy: Development of an Internal System of Biodiversity Monitoring with the company Agrocaribe, proposed by the NGO Solidaridad Networks and accepted by the company. The consultancy is scheduled to take place from August to December 2017.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
established by MARN-DIGARN.

**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:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was evidenced that waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.</td>
<td>The records of delivery of used containers are evidenced to the agrochemicals company Agrequima for its correct elimination.</td>
<td>Yes</td>
</tr>
<tr>
<td>The identification of the waste products of the mill and plantation are evidenced in the Environmental Assessment conducted by Ambiente &amp; Desarrollo. The different types of waste and the different sources were set out.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evidence of the proper disposal of chemical containers in the areas of cleaning plantation camps, with the respective triple washing and proper buffering. The organization has records of delivery of used packaging of the Agrequima company and Campo Limpio program.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Criterion 5.4: Efficiency of energy use and use of renewable energy is maximised.**

**Summary of the findings for 5.4:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>The existence of the Energy Efficiency Plan realized by the Department of Certifications and Environment (PEE, first edition, dated January 2017) was verified.</td>
<td>A daily record of propane consumption and diesel consumption is kept.</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**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:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agrocaribe has a policy of No Deforestation, which is socialized between the workforce and the general public through its website (<a href="http://www.agrocaribe.com/sites/default/files/noticias/Pol">http://www.agrocaribe.com/sites/default/files/noticias/Pol</a> % C3% ADtica% 20No% 20deforestation% C3% B3n_Agrocaribe.pdf)</td>
<td>Posters were displayed around the plantations, in the camps and in the area of ecosystem conservation.</td>
<td>Yes</td>
</tr>
<tr>
<td>As part of its non-deforestation policy, the company establishes the following in relation to the burning: a &quot;no burn&quot; procedure will be implemented, which means that no fire will be used in the preparation of new plantations, replanting or any other treatment, in accordance with the scope of this policy.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.**

**Summary of the findings for 5.6:**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agrocaribe, has a carbon footprint report Agrocaribe Project prepared by Environment and Development</td>
<td>Measurements are performed with Palm GHG Version 3. View data in Summary report table 1.12</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Summary
• Methodology
• Results
  ✓ Emissions and credits from the extractive plant
  ✓ Emissions and sequestration of carbon from plantations

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:

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agrocaribe has a socio-environmental impact study (EISA-AGROCARIBE), date July 2017 elaborated by Green Development. The socio-environmental impact study (EISA-AGROCARIBE) is developed with responsibility of the company that is compromissed with the sustainability and it has a long time vision. This study permits identifier the positive and negative aspects generated in the stakeholders. Is for this that the socio-environmental impact study is made by outsourcing</td>
<td>The socio-environmental impact study (EISA) is a line-base for rethink the strategic plan, answering to the request of stakeholders. This strategic is followed by indicators with the objective of make a control of benefits or improvements as an institutional relation result. The chapter 5 of EISA shows: • Health and education • Infrastructure and services • Cultural values • Subsistence sources • environmental</td>
<td>Yes</td>
</tr>
</tbody>
</table>

The company’s supply base does not include smallholders

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
Summary of the findings for 6.2:

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exist a reception procedure of complaints and claims from community, code PR-RSE-01. Media:</td>
<td>Human resources department is procedure responsible of communication and consult. The corporative direction assistant is records responsible of complains and request. The corporative director is communication responsible of result and resolution. It's evidence that Agrocaribe count to stakeholders list.</td>
<td>Yes</td>
</tr>
<tr>
<td>• Digital media: there is a text box (phone) at 30000426 telephone number, which is for request and complains reception and give answer to stakeholders.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Direct line: It’s a telephone line (2378188) that is administrate by an external service provide. The management received the complains or request and transfer the information to corporate manager.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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
Summary of the findings for 6.3:

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exist a reception procedure of complaints and claims from community PR-RSE-01 Agrocatibe count to internal communication system for a constant evaluation of working environmental, talk to complain direct line. This way is use for</td>
<td>No dispute proceedings against the company.</td>
<td>Yes</td>
</tr>
</tbody>
</table>
stakeholders too.

**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 stakeholders to express their views through their own representative institutions**

Summary of the findings for 6.4:

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Company count with a customary rights procedure with the finality of compromised to respect the divers’ customs, identity, different language and dialects, traditions, social organized, wearing. The workers has the liberty for express oneself and the company treats them to respect and dignity, the discrimination can’t exist. The Guatemala Law recognize and respect the customary right, therefore is comply the national law. Guatemala politic constitution recognize: Title II humans right, section 3: indigenous communities, art: 66.</td>
<td>In the chapter VII compensation just/of customary rights procedure: procedure of calculus and distribution of just compensation, must be established and evaluated periodically Agrocaribe hasn’t reclamations.</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**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.**

Summary of the findings for 6.5:

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>The pay and working conditions are reflected in the agreements signed between Company and workers. There is evidence that all employees are hired directly by the company through indefinite term contracts or employment cards available by the art 27 of work code to guarantee the continuity of employment linkages. Evidence of employees’ payment supports of their wages and benefits according to the requirement of law in Guatemala, through pay slips. Evidence of the amounts payable to employees, which has policies such as an internal promotion policy PO-05 are exposed in billboard in the official language and language or mother tongue. There is support for all legal payments stipulated by the regulations of the country. Evidence that employees live on company premises. These houses meet all the requirements to ensure the welfare of their workers. Also, the provision of moisturizing drinks and balanced diet for the workers in the plantations.</td>
<td>It was shown directly at the company’s facilities that there is a food supply adequate and sufficient to feed the plantation workers. The thousand workers 'dining room provides a balanced diet with the aim of preserving the nutritional status of workers and providing the necessary calories for a good development of workers’ activities.</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**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:
Evidence of the Labor Policy O-14 dated May 31, 2014, freedom of organization of any kind that employees want to integrate or associate. Also, in the internal work regulations (IWR) are said to "Limit or pressure in any way workers in the exercise of their right of association." The internal work regulations (IWR) is showed in various worksites. Is public and delivered in book with all company policies to all workers.

<table>
<thead>
<tr>
<th>There are two organizations of mutual help where the Agrocaribe workers can associate. These are Copepalma R.L. and Asoservicios (unions) Also, regular meetings are held between the workers and their bosses where they can submit requests that would be revised and where their questions are answered. The workers can also submit these through their unions.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
</tbody>
</table>

**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:**

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is no evidence of minors hired by the company and the interviews conducted sustained this. It is assessed in the Hiring Policy PO03 within the regulations of paragraph C that the candidate’s file is available at the moment of the hiring, this integrated by: Identification Document (ID) as prove that they are over 18.</td>
<td>Field visits and interviews evidenced that minors below 18 years of age are not hired.</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**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:**

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
</table>
| Agrocaribe count with:  
- Social responsibility policy, published and socialized, the right of opportunities equality and no-discrimination are explained  
- Equity and no discrimination policy No 12. Which seek the equity and no discrimination in the work place. It’s constituted by workers right.  

The policies described are socialized to workers through conferences and videos, and others. | The big majority of workers in mills and farms are native of near communities.  
In interview, the workers manifested the no discrimination at work place  
Agrocaribe, For the selection of staff is taken into account: staff competencies, the job description and any written procedure: "Recruitment and Induction procedure" with date of issue of May 2016. | Yes |

**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:**

<table>
<thead>
<tr>
<th>Findings:</th>
<th>Comments:</th>
<th>Compliance</th>
</tr>
</thead>
</table>
| Agrocaribe has a labor policy of reproductive right No 9, date: September 2015.  
Agrocaribe is compromised to "respect the inherent rights of humans persons” and in the exercise thereof as required the humans nature, research the individual improvement Is respect the individual right to decide the children number, promoting a responsible patterning. | Exist a request and complains reception procedure code PR RSE 01. The purpose is follow up on complaints and request made (made by stakeholders or interest groups, workers, clients, suppliers, communities, government agency, society and others).  
Likewise, the purpose is guaranteed the open ports culture to complains and request from stakeholders. | No |
6.9.1 The company Agrocaribe has a policy of harassment at work and inappropriate behavior, but it was evidenced that there is no Gender Committee that addresses the problems and needs of women, as established by the standard.

<table>
<thead>
<tr>
<th><strong>Criterion 6.10</strong>: Growers and mills deal fairly and transparently with smallholders and other local businesses.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Summary of the findings for 6.10:</strong></td>
</tr>
<tr>
<td><strong>Findings:</strong></td>
</tr>
<tr>
<td>It’s evidence the actualized list of stakeholders: communities’ manager, suppliers, academy, ONG’s, media, government agency. The actualization has a periodicity yearly, to year beginning is request to government agency the list of communities’ manager. The company verified the legitimate COCODES register through the Department (the company send email, call to government agencies). The stakeholders are informed by text message, Agrocaribe Facebook. The social communicate of Carmen Gadala Corporativo has register of stakeholders and publish the information in the Agrocaribe website: <a href="http://www.agrocaribe.com/">http://www.agrocaribe.com/</a></td>
</tr>
<tr>
<td>Website with the next sections: About us (mission, vision, and history), products, process (text description of process step and picture), mills (Extractora Atlantico y Extractora La Francia), CDM.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Criterion 6.11</strong>: Growers and mills contribute to local sustainable development wherever appropriate.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Summary of the findings for 6.11:</strong></td>
</tr>
<tr>
<td><strong>Findings:</strong></td>
</tr>
<tr>
<td>In the EIA social impact study shows the interest groups were identified, and their action plan with these communities. In community interviews the different contributions of Agrocaribe to the community were verified.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Criterion 6.12</strong>: No forms of forced or trafficked labour are used.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Summary of the findings for 6.12:</strong></td>
</tr>
<tr>
<td><strong>Findings:</strong></td>
</tr>
<tr>
<td>Agrocaribe has the policy of Equity and non Discrimination No 12, which seeks equality and non discrimination in the workplace is constituted by the rights of employees that guarantee equal opportunities for work, growth and treatment regardless of personal conditions. Confirmed information during interviews with different workers and stakeholders.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Criterion 6.13</strong>: Growers and millers respect human rights.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Summary of the findings for 6.13:</strong></td>
</tr>
<tr>
<td><strong>Findings:</strong></td>
</tr>
</tbody>
</table>
Agrocaribe, has a human rights policy No 08 with a date of issue September 2015, with the objective of defining and establishing at all levels, the political commitment, duly assumed and approved by senior managers. Agrocaribe will protect and respect the human rights inherent to everyone, especially those contained in the declaration of the International Labor Organization (OIT) concerning fundamental human rights and principles at work.

Interviews with workers at the mill and farms evidenced that workers feel that their human rights are fully respected

<table>
<thead>
<tr>
<th>Principle 7: Responsible development of new plantings. N/A. No new plantations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criterion 7.1:</strong> 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</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>N/A. No new plantations</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
</tbody>
</table>

| **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 |

<table>
<thead>
<tr>
<th>N/A. No new plantations</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
</tbody>
</table>

| **Criterion 7.3:** New plantings since November 2005 have not replaced primary forest or any area containing one or more high Conservation Values |

<table>
<thead>
<tr>
<th>N/A. No new plantations</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
</tbody>
</table>

| **Criterion 7.4:** Extensive plantings on steep terrain, and/or on marginal and fragile soils, are avoided. |

<table>
<thead>
<tr>
<th>N/A. No new plantations</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
</tbody>
</table>

| **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 |

<table>
<thead>
<tr>
<th>N/A. No new plantations</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
</tbody>
</table>

| **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. |

<table>
<thead>
<tr>
<th>N/A. No new plantations</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
</tbody>
</table>

| **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 |

<table>
<thead>
<tr>
<th>N/A. No new plantations</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
</tbody>
</table>

| **Criterion 7.8:** New plantation developments are designed to minimise net greenhouse gas emissions. |

<table>
<thead>
<tr>
<th>N/A. No new plantations</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong></td>
<td><strong>Comments:</strong></td>
</tr>
</tbody>
</table>

1. 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).
2. Starting 1st January 2016, the RSPO GHG Assessment Procedure for New Planting Version 3 is used.
3. All information and data of the assessment as per Chapter 6, reporting framework of RSPO GHG Assessment Procedure Version 3 is correct.
4. The new Development GHG Calculator is used for the projection of GHG emissions associated with the new development plan.
5. 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).
**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:

<table>
<thead>
<tr>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It could be verified that the different units of Agrocaribe implement specific Plans and measures of monitoring, registration and improvement in the most significant activities of its operation.</td>
<td>The company installed in all its vehicles the Fuel Check Device that includes a GPS that records: fuel consumption (diesel), speed (speed allowed in open road 80 km / h and 40 km / h in terraced), performance, physical location, geocerca (delimitation or perimeter of security, if the car leaves from there is activated alarm), immobile time, after 5 minutes sends alert. Physical fuel measurement. Acceptable consumption behavior, record if you took out fuel. It is known which driver the vehicle brings.</td>
<td>Yes</td>
</tr>
<tr>
<td>Agrocaribe has an Energy Efficiency Plan (PEE, February 2017 issue date), based on a policy of rational use of energy and the replacement of fossil energy sources and conventional electricity by renewable energy.</td>
<td>The company has managed to reduce the consumption of the herbicide Roundup by changing to an ultra low volume backpack of 12 liters that requires less water and allows to spray more plants per day / worker. This change meant that from 600 to 1200 plants per day / worker, equivalent to a 37% reduction from 2015 to 2016 in the use of agrochemicals.</td>
<td></td>
</tr>
<tr>
<td>It was verified the existence of an Environmental Management Plan with the following programs:</td>
<td>The company is using the ERP (Enterprise Resource Planning) program that has a materials module and a labor module (date, property, person, etc.) that allows you to monitor these concepts on a daily basis and improve their efficiency operational.</td>
<td></td>
</tr>
<tr>
<td>• Efficient use of energy</td>
<td>• Efficient use and water saving program</td>
<td></td>
</tr>
<tr>
<td>• Integrated Program for Solid Waste Management</td>
<td>• Particle Reduction</td>
<td></td>
</tr>
<tr>
<td>• Biodiversity Conservation Project in the areas of palm oil crops.</td>
<td>• Efficient use of energy</td>
<td></td>
</tr>
</tbody>
</table>

**RSPO Supply Chain Certification**

**Supply Chain Module**

<table>
<thead>
<tr>
<th>D – Identity Preserved</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Description</th>
<th>Findings</th>
<th>Comments</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>It was found that the FFBs that are processed in the benefit plant come exclusively from its own supply base.</td>
<td>During this process the weighing system generates a receipt of the fruit of the consignment, which contains the farm and block of origin of the fruit, clusters, pepa in pounds, average weight, wages and total in metric tons</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>
The security agent, according to the shipment slip, checks the origin of the fruit and verifies in the list of Certified Farms RSPO. If the one indicated in the consignment belongs to the same, it will authorize its entry.

The scale operator verifies again the list of Certified RSPO Areas authorized to process in the extractor. The scale has software programmed to record information only from the certified farms previously registered in the database. When you make sure you are an RSPO certified farm, enter a new weighing system ticket: the truck’s nameplate, the code of the farm where the fruit comes from, the name of the driver, the amount of clusters and loose fruit that comes.

The scale operator records the ballot in the weighing system with the entered data and the gross input weight recorded by the automatic electronic scale connected to the scale operator’s computer database, where the system by the code that is entered detects the fruit receipt slip that must be generated.

The scale operator instructs the driver to continue to the discharge area.

The driver of the truck unloads the fruit on the dump ramp and returns to go through the scale again and thus by the automatic system of difference of weights the software of the scale calculates the weight in ton that it carried.

### Documented Procedures

The company has the Manual of Supply Chain Extractor Atlantic and Servintegrales, its most recent version issued in February 2016.

The person who has full responsibility and authority over the implementation and fulfillment of the requirements of the supply chain is the Certification Manager, person who has a wide and proven qualification and experience in everything concerning standards RSPO and other standards.

It is a very complete document and it has clear indications for all involved in the supply chain to guarantee the preserved identity of its fruit and oils obtained from it.

The mill only processes its own fruit, certified IP.

<table>
<thead>
<tr>
<th>Purchasing and goods in</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>It was evidenced that the company properly documents and certifies the origin and tonnage of the IP fruit of its own farms. See Description section.</td>
<td>The company is aware and fully willing to communicate to IBD any overproduction of certified tonnage.</td>
</tr>
<tr>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>
### Record keeping

| It was found that Agrocaribe registers and reconciles all deliveries received from RFF RSPO certificates and from ACP and PK certified RSPO, on monthly and quarterly basis. | Yes |

### Processing

| The company has the Manual of Supply Chain Extractor Atlantic and Servintegrales, its most recent version issued in February 2016. | Evidence: Shipment No. 8470 of ACPC IP, with ballot No. 359177, dated August 7, 2017, which has all the registration requirements established by the standard. | Yes |

| It is a very complete document and it has clear indications for all those involved in the supply chain to guarantee the preserved identity of its fruit and the oils obtained from it, including its storage and transport. | It was verified that the company fulfills the objective that 100% of the fruit, almond and CPO are IP. |

### RSPO Rules on Market Communications and Claims

#### Claims & Trademark use

| The site knows that shall only make claims regarding the use of or support of RSPO certified oil palm products that are in compliance with the RSPO rules on communications and claims. | Observation: It was observed on a wall of the kitchen of the Madrid farm a poster with the corporate logo of RSPO and also in other facilities (food store, tortilla processing area, dining room) similar posters but with the logo covered with marker ink. The Certification Manager of the company showed the auditors an email of 07/07/17 instructing the personnel responsible for the extractor and agricultural operations to remove logos from the standards with which the company is certified and also to remove posters and deteriorated or badly used RSPO logo (where the 4-letter corporate logo of the RSPO Board of Directors appears). Evidence was provided to the auditors that improperly used logos have already been withdrawn and will proceed in accordance with the Disciplinary Guide of the company. | Yes |

### 4.2 Non-conformity registers.

This section gives an overview 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

<p>| Non-compliance | Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics was not evidenced. |
| Date raised | 22/07/2016 |
| Major or Minor | Minor |</p>
<table>
<thead>
<tr>
<th>Reference of standard</th>
<th>4.7.7. Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Correction at this audit</td>
<td>Full  The company presented the Accident Unproductive Time Procedure (TIA) with emission date 10/07/2017. He also presented a tab in Excel with the data and statistics of the Unproductive Time for Accidents for the period 2016 and 2017, considered monthly and by District. With these evidences the corrective measure of the NC is considered fulfilled.</td>
</tr>
<tr>
<td></td>
<td>Partial Not Corrected</td>
</tr>
</tbody>
</table>

### 4.2.2 New non-compliances raised at this audit

<table>
<thead>
<tr>
<th>NC number</th>
<th>03-2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date raised</td>
<td>08/08/2017</td>
</tr>
<tr>
<td>Major or Minor</td>
<td>Major</td>
</tr>
<tr>
<td>Reference of standard</td>
<td>4.7.1</td>
</tr>
<tr>
<td>Standard requirement</td>
<td>A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.</td>
</tr>
<tr>
<td>Evidence of non-compliance</td>
<td>During the visit to Florencia farm, electrical installations were observed in the dining room in bad condition and without protection inside anti-flame pipes representing a risk for workers or for the infrastructure itself.</td>
</tr>
<tr>
<td>Date of closing:</td>
<td>09/08/2017</td>
</tr>
<tr>
<td>Date of closing:</td>
<td>09/08/2017</td>
</tr>
<tr>
<td>Date of closing:</td>
<td>The electrical installations were repaired and considered okay.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NC number</th>
<th>04-2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date raised</td>
<td>10/08/2017</td>
</tr>
<tr>
<td>Major or Minor</td>
<td>Major</td>
</tr>
<tr>
<td>Reference of standard</td>
<td>6.9</td>
</tr>
<tr>
<td>Standard requirement</td>
<td>There is no harassment or abuse in the work place, and reproductive rights are protected.</td>
</tr>
<tr>
<td>Evidence of non-compliance</td>
<td>The company Agrocaribe has a policy of harassment at work and inappropriate behavior, but it was evidenced that there is no Gender Committee that addresses the issues and needs of women, as established by the standard.</td>
</tr>
<tr>
<td>Date of closing:</td>
<td>14/08/2017</td>
</tr>
<tr>
<td>Date of closing:</td>
<td>A procedure was created, approved and signed by the general manager and corporative manager.</td>
</tr>
</tbody>
</table>

### 4.2.3 Observations

<table>
<thead>
<tr>
<th>Date raised</th>
<th>08/08/2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Madrid farm, Lot 140, the roundup applicators Abelino Sabana and Mainor Elias Tul were observed, carrying the appropriate PPE and carrying out their work correctly. However, it was evidenced that the application batch lacked adequate signaling indicating the product applied and the time of not accessing it.</td>
<td></td>
</tr>
</tbody>
</table>

### 4.2.3 Observations
The company has a Public Documents procedure and a Policy of requests, complaints, claims or suggestions from our stakeholders, as part of its commitment to Transparency. It was evidenced that the stakeholders were not informed of their existence and the mechanisms for consultation, if they so request.

**4.2.3 Observations**

Date raised: 08/08/2017

On the Mariana farm, it was evident that although the agrochemicals warehouse was tidy and clean, it did not have adequate ventilation and had an eyewash source that was inappropriate to ensure good water application in case of emergency.

**4.3 Lead Auditor Recommendations for the RSPO Principles & Criteria certification.**

<table>
<thead>
<tr>
<th>Grant/ Renewal/ Extension*</th>
<th>☐</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintenance*</td>
<td>☒</td>
</tr>
<tr>
<td>Suspension</td>
<td>☐</td>
</tr>
<tr>
<td>Refuse / Withdrawal</td>
<td>☐</td>
</tr>
<tr>
<td>Certificate</td>
<td>☐</td>
</tr>
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Justification for the Recommendation: Agrocaribe is a company with a high performance in the fulfillment of its commitments with the RSPO standard.

* Grant / Renewal / Extension / Maintenance, in the case of open Minor nonconformities, assumes that the nonconformities will be cleared as agreed.

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.

**4.4 Comments for next audit.**

None
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.