

SAQ results

Site and company details

Site and company name	Site address	Business type	SAQ completion
NIRSA S.A. ZC3346087 NIRSA SA (CANNED TUNA) ZS424531642	Malecón Carlos Baidal & Av. Carlos Julio Carvajal Posorja-Guayaquil ECUADOR 090513	Goods provider	100% Submitted Last updated 2024-05-21
Primary site activity	Other site activities	Management controls score	
Production of fishmeal for human consumption or animal feed	Not applicable	3.8	

Employees and other workers

	Men	Women	Other gender	Total
Gender	1886	1349	Not applicable	3235

Managerial, supervisory and administrative roles

	Men	Women	Other gender	Total
Employees in management positions	5	0	Not applicable	5
Administrative staff	22	10	Not applicable	32
Supervisors or team leaders	58	23	Not applicable	81
				118

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Contract types

	Men	Women	Other gender	Total
Agency or subcontracted workers	617	516	Not applicable	1133
Permanent workers (employees)	1269	833	Not applicable	2102
				3235

Workers used during high production periods or peak season

	Men	Women	Other gender	Total
Migrant workers	7	0	Not applicable	7
Age below 15 years old	0	0	Not applicable	0
Age 15-17 years old	0	0	Not applicable	0
Age 18-24 years old	483	280	Not applicable	763
				770

Workers used during normal production periods or low season

	Men	Women	Other gender	Total
Gender	30	0	Not applicable	30

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Profile: Profile - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Who should be contacted if your clients have any questions about your responses to this questionnaire?	Name: Melissa Job title: Aguirre Job category: Sustainability manager	No comment given
What level of mechanisation best describes the work carried out at this site?	High mechanisation / low manual labour	No comment given
What is your business ownership type?	Private or shareholder corporation	No comment given

Profile: Audit and certification - Last updated 2023-11-01 08:58 pm GMT

Question	Answer	Comment
When was a third-party ethical or social audit last carried out at this site?	Less than one year ago (please explain) Please explain: BSCI (Diciembre 2022)	No comment given
Does this site hold any third-party certifications that address labour standards, human rights, corruption or environmental impact?	MarinTrust	No comment given
Upload a copy or provide a link to the most recent certificate.	DE-MTRUST-CERT CERTIFICADO MARIN - TRUST (IFFO RS) 2022.pdf	No comment given

Workplace impact: Turnover and absenteeism - Last updated 2023-11-01 08:59 pm GMT

Question	Answer	Comment
Do you record the rate of absenteeism or rate of turnover for your workforce?	Absenteeism rate	No comment given
Based on your most recent records, what was the rate of absenteeism for workers during that year?	All workers: 6.55 Men: 6.55 Year end: 2022	No comment given

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Workplace impact: Improvement initiatives - Last updated 2023-11-01 08:59 pm GMT

Question	Answer	Comment
Would you like to describe the details of any actions you have taken to improve working conditions at your workplace?	Yes (please explain) Please explain: Se han automatizado los procesos.	No comment given

Management systems: Applicable laws - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Has your company received an official notice, fine, prosecution, or withhold release order (WRO) for any non-compliance with legislation, regulation, consent, or permits within the last three years?	No	No comment given

Management systems: Policies and procedures - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Does your company have a written commitment that demonstrates its respect for international human rights standards and fundamental rights at work?	Yes, it covers all international human rights	No comment given
Upload a copy or provide a link to the written statement.	SGRSE-POL-01 POLITICA RSE 112021-signed.pdf	No comment given
Do you employ someone who is a Human Resources (HR) professional?	Yes, at Head Office	No comment given
Does your company have written human resources (HR) policies that are communicated to all workers?	Yes, and we review our policies regularly	No comment given
Upload a copy or provide a link to the human resource (HR) policies and/or employee handbook.	CCN.RS.01 CÓDIGO DE CONDUCTA.pdf	No comment given
Is there a senior manager or business owner accountable for ensuring the standards detailed in these policies are applied?	Yes	No comment given

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Management systems: Policies and procedures - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Is there an executive or someone at board level accountable for ensuring the standards detailed in these policies are applied?	Yes	No comment given
How do you ensure supervisors and team managers understand and apply these policies?	Supervisors and managers receive refresher training on our policies and procedures on a regular basis	No comment given
Are supervisors and team managers trained in how to identify, handle and report instances of worker exploitation?	Yes	No comment given

Management systems: Human rights - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Has your company committed to a human rights due diligence approach in line with the UN Guiding Principles on Business and Human Rights (UNGPs)?	Yes	No comment given
If yes, have you assessed how your company could improve its approach to human rights due diligence?	Yes (please explain) Please explain: De los riesgos evaluados como críticos, se ha levantado un Plan de Acción que contemplan las etapas de prevención, mitigación y reparación	No comment given

Management systems: Local community - Last updated 2023-11-01 09:02 pm GMT

Question	Answer	Comment
Could anything that your company does at this site have a negative effect on the rights, lands, resources, territories, livelihoods or food security of indigenous peoples or the local community?	No	No comment given

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Management systems: Conflict minerals - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you import or sell any goods to your customers (buyers) that contain tin, tantalum, tungsten, gold or mercury?	Not applicable (primary producer)	No comment given

Management systems: Small scale producers - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you have small-scale producers in your supply chain?	Yes, we source from small-scale producers	No comment given
Are you involved in any initiatives aimed at improving the productivity and incomes of small-scale producers in your supply chain?	No	No comment given

Freely chosen employment: Policies and procedures - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you have a detailed policy on modern slavery, including forced labour and involuntary prison labour, that is communicated to all workers?	Yes	No comment given
Is it possible for a worker to leave your employment when their contract expires, or if they give notice within a period of time detailed in their contract?	Yes, without paying a fee	No comment given
What happens with the identity documents of workers?	Photocopies of identity documents are kept on file. Workers keep the originals in their possession Identity documents are viewed at the point of recruitment. Workers keep the originals in their possession Workers are provided with secure storage for their identity documents	No comment given

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Freely chosen employment: Modern slavery risk assessment - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Have you assessed if modern slavery is a risk within your workforce or the workforce of your suppliers, subcontractors or business partners?	We have carried out this assessment but have not identified any risks	No comment given

Freely chosen employment: Prison labour - Last updated 2023-11-01 09:03 pm GMT

Question	Answer	Comment
Do you use any workers who are prisoners?	No	No comment given

Freely chosen employment: Recruitment and hiring - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What training is available to staff whose job it is to recruit, hire and select workers?	Company policies and procedures on recruitment, selection, and hiring Competency-based hiring (use of objective job requirements) Interviewing skills Applicable legal requirements	No comment given
What is your company's approach to recruiting, selecting and hiring workers?	Workers are recruited, selected and hired directly by our company Workers are recruited by a labour provider or recruitment agent and selected and hired by us	No comment given

Freely chosen employment: Labour provider management - Last updated 2024-05-14 04:12 pm GMT

Question	Answer	Comment
How many labour providers do you use?	0	No comment given

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Freely chosen employment: Recruitment of migrant workers - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you or any labour providers recruit workers who will need to move from another country to work for you?	Yes	No comment given
If yes, which countries do workers move from?	Peru Colombia Mexico Venezuela Spain Chile	No comment given
Do you or your local labour providers use recruiters or agents based in another country?	No (please explain) Please explain: No	No comment given
Do you or any labour providers recruit workers who will need to migrate within your country to work for you?	Yes	No comment given
If yes, which states or provinces in your country do workers move from to work for you?	Azuay, Bolívar, Guayas, Santa Elena, Esmeraldas.	No comment given
Who do migrant workers sign an employment contract with?	Our company only	No comment given
How do you ensure that migrant workers understand the terms of their contract?	The contract uses simple, understandable language A written copy of the contract is handed out to candidates during the selection and orientation process Migrant workers receive a full explanation of the terms and conditions outlined in the contract Migrant workers are provided with an opportunity to ask questions before signing the contract Migrant workers receive their own signed copy of the contract	No comment given

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Freely chosen employment: Recruitment of migrant workers - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
When are the terms and conditions of the employment contract first explained to migrant workers?	In their home country or region, before signing an employment contract After arrival in our country or region, before signing an employment contract	No comment given

Freely chosen employment: Recruitment fees and costs - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
How much do you or any labour provider charge workers who start working for your company?	Workers are not required to pay fees or deposits of any kind	No comment given
What fees and expenses are migrant workers expected to pay during the recruitment and employment process?	Workers do not pay any fees or related expenses	No comment given

Freely chosen employment: Entitlement to work - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
How do you ensure that all workers have the legal right to work in your country?	Original documentation is reviewed by our company (employees only) Original documentation is reviewed by our company (all workers, including agency) Copies of documentation are reviewed by our company The documentation needed to demonstrate compliance with legal requirements is kept on file Our labour recruiter is responsible for obtaining and verifying the necessary documentation Management is familiar with immigration rules and regulations A mechanism notifies someone when right-to-work documents are due to expire	No comment given

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Freedom of association: Workplace dialogue - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Are all workers free to form and join a trade union of their choice?	Yes	No comment given
Do you recognise any trade unions in your workplace?	No, we have not received a request to recognise a union	No comment given
If there are no active unions, is there a worker committee or council set up to represent workers and address their issues?	Yes, with freely elected representatives	No comment given
How many workers are members of the worker committee?	Men: 17 Women: 5 Other gender: 0 Total: 22	No comment given

Freedom of association: Industrial action - Last updated 2023-11-01 09:28 pm GMT

Question	Answer	Comment
Has there been any industrial action, such as strikes, in the last two years?	No	No comment given

Health and safety: Health and safety management - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you have someone within your company who is responsible for health and safety?	Yes, qualified safety officer	No comment given
Do you have a valid, in-date ISO 45001 health and safety management system certificate?	No	No comment given

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Health and safety: Health and safety management - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to manage health and safety risks at this site?	<p>Compliance with the requirements of local and national laws related to health and safety standards</p> <p>A written health and safety policy document that is communicated to all workers</p> <p>A health and safety management system</p>	No comment given
Upload a copy or provide a link to the health and safety policy document.	POLITICA DE SEGURIDAD Y SALUD EN EL TRABAJO Ago.2022.pdf	No comment given
What measures do you have in place to protect the health and safety of workers at this site?	<p>A health and safety committee that includes both employee and management representatives</p> <p>Health and safety risk assessments</p> <p>Formal accident and injury investigations</p> <p>Accessible first aid boxes in all areas of the site that are checked regularly</p> <p>Following accidents, we put improvement plans in place to reduce the risk of them happening again</p> <p>A trained first aider on every shift</p> <p>Access to further medical facilities (on-site or off-site) in the case of an emergency</p> <p>Regular health and safety training for all workers</p> <p>Health and safety training for new or reassigned workers</p> <p>Health and safety training in languages to accommodate all workers</p> <p>Regular observation and feedback on worker health and safety performance</p> <p>A surveillance process (that is compliant with local and national laws) for monitoring workers' health</p>	No comment given
Did your health and safety risk assessment identify any workplace hazards that are a high risk?	Yes, and adequate controls have been put in place to mitigate the risks	No comment given

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Health and safety: Health and safety management - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to ensure workers are prepared for an emergency?	<p>Emergency evacuation procedure training for all workers (including new workers)</p> <p>A documented procedure for emergency evacuation at this site</p> <p>Evacuation maps are located throughout the site</p> <p>Regular emergency evacuation procedure drills (such as fire drills)</p> <p>Emergency alarms (such as fire) that can be heard in all internal areas of the site</p> <p>Regular testing of emergency alarms</p> <p>Properly designed, maintained, and marked emergency exits to enable a quickly and safely evacuation for all workers</p> <p>Emergency exits that are accessible at all times</p> <p>A valid fire inspection certificate issued by local fire service authority</p>	No comment given
What fire fighting equipment do you have in place?	<p>At least the minimum legal number of fire equipment (alarms, extinguishers, etc) on site</p> <p>Regular testing and maintenance of fire equipment (alarms, extinguishers, etc.)</p>	No comment given
What measures do you have in place to ensure workers use the personal protective equipment (PPE) that they need to do their job safely?	<p>PPE is provided for all workers</p> <p>PPE usage is enforced in the workplace</p> <p>PPE is available to workers of all sizes</p> <p>PPE is available free of charge or on deposit</p>	No comment given

Health and safety: Machinery and site vehicles - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do workers operate high risk or heavy machinery or vehicles as part of their jobs?	Yes	No comment given

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Health and safety: Machinery and site vehicles - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to reduce the risk of injury by machinery or vehicles?	A written procedure on how to use each machine, tool, and vehicle safely Regular maintenance and repairs as required for all machines, tools, and vehicles on site Adequate safety guards for all machines and tools on site Training for use of heavy and high risk machinery Machine guards to prevent access to dangerous machinery parts where possible Measures to prevent clothing, hair, or accessories becoming caught in moving parts	No comment given

Health and safety: Hazardous materials - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do workers handle or have access to hazardous materials, such as chemicals, pesticides, or fertilisers?	Yes	No comment given

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Health and safety: Hazardous materials - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to minimise the risk that hazardous materials pose to the health of workers?	<p>A complete list of all hazardous materials used on site (including pesticides, fertilizers and cleaning fluids)</p> <p>An easily accessible material safety data sheet (MSDS) for each chemical</p> <p>A written procedure for the safe storage, use, and disposal of hazardous materials (including chemicals and pesticides), in a language workers can understand</p> <p>Safe and secure storage for hazardous materials</p> <p>Shower/washing facilities in the immediate location of workers dealing with hazardous materials</p> <p>First aid facilities in the immediate location of workers dealing with hazardous materials</p> <p>Clearly labelled instructions for the storage, use and disposal of hazardous materials in a language workers can understand</p> <p>Written procedures in place to deal with accidents and spillages of chemicals, fertilizers, or fuels</p> <p>Air quality checks (e.g. for solvent and dust levels)</p> <p>Training on the safe use and storage of the chemicals and materials for all relevant workers</p> <p>Regular risk assessments</p>	No comment given

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Health and safety: Housekeeping and hygiene - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What workplace facilities do you provide and how are they maintained?	<p>Regular cleaning and tidying of the workplace to help minimise risk of accidents</p> <p>Unlimited access to clean drinking water during working hours</p> <p>Access to toilets at any time during working hours</p> <p>Adequate toilet facilities for all workers</p> <p>Separate toilets for men and women</p> <p>Adequate privacy is provided in the toilets, including floor to ceiling partitions and lockable doors</p> <p>Regular cleaning and maintenance of the toilets and surrounding area</p> <p>Adequate hand washing facilities in the toilet area (such as soap and running water)</p> <p>Clean facilities for the safe storage of food</p>	No comment given

Health and safety: Collective transport - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
If applicable, what measures do you have in place to ensure transport provided to workers is safe?	<p>Processes to ensure all vehicles meet legal requirements</p> <p>Supply of standardised, safe vehicles (please explain)</p> <p>Please explain: Los vehículos cuentan con matriculación, permisos de operación de la cooperativa que la avala, etc.</p> <p>Se solicita a las unidades que tengan activados los cinturones de seguridad.</p>	No comment given

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Living accommodation: Accommodation management and standards - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Who is responsible for organising accommodation for migrant workers?	Our company owns or operates worker accommodation (off-site)	No comment given
What measures do you have in place to ensure the accommodation you provide to workers meets local housing and safety standards?	Local housing and safety standards are clearly posted at the housing and in company offices Our company regularly inspects housing for compliance with standards and keeps records There is a mechanism in place for workers to complain about housing conditions without fear of retaliation There is a person with adequate background, competency and experience to manage the accommodations	No comment given
Do children also live in the accommodation you provide to workers?	No	No comment given
What measures do you have in place to ensure the accommodation you provide to workers is located in a safe place and properly constructed?	It is built in a safe location (not exposed to natural hazards such as flooding) It protects against extreme weather conditions It is not subject to air pollution It is not subject to surface runoff or sewage It is not affected by noise, emissions or dust from the worksite It has a dry floor, permanent walls and is in a good state of repair	No comment given

SAQ results

SAQ answers

Living accommodation: Accommodation management and standards - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What amenities and facilities are available in the accommodation you provide?	<p>A supply of free, safe, and potable water</p> <p>Access to internet facilities, free of charge or at public prices</p> <p>Adequate discharge of wastewater, sewage, food and any other waste materials</p> <p>Adequate facilities for cleaning, disinfecting, and storing cooking utensils and equipment</p> <p>Adequate heating, air conditioning, and ventilation where appropriate</p> <p>Adequate lighting (artificial and natural)</p> <p>Adequately furnished canteen (tables, benches, individual drinking cups, and plates)</p> <p>Appropriately situated and furnished laundry facilities</p> <p>Basic collective social/rest spaces and adequate recreational areas where not otherwise available in the community</p> <p>Dedicated places for religious observance</p> <p>Drying facilities for clothing</p> <p>Lockable doors and windows with mosquito screens when necessary</p> <p>Reasonably comfortable bedding materials (mattress, pillow, cover and clean bed linen) for each worker</p> <p>Specific containers for rubbish collection in adequate number and being regularly emptied</p>	No comment given

SAQ results

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Living accommodation: Accommodation management and standards - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to ensure space and privacy are available to workers in the rooms and dormitories you provide?	<p>Workers have adequate living space</p> <p>Adequate space for headroom and bed/mattress dimensions</p> <p>No more than 8 workers share the same room/dormitory</p> <p>Mobile partitions or curtains ensure privacy</p> <p>Accommodation is gender-segregated, except in family accommodation</p> <p>A separate bed is available to each worker</p> <p>Sleeping rooms are arranged so that workers on different shifts are separated</p> <p>A space of 1 metre is provided between beds</p> <p>Minimised or no use of double deck bunks</p> <p>No use of triple deck bunks</p>	No comment given
What measures do you have in place to ensure sanitary facilities meet the needs of workers?	<p>Regular cleaning and maintenance of the facilities and surrounding areas</p> <p>Located within the same buildings as dormitories, or at a safe distance from the buildings</p> <p>Constructed from easily cleanable materials</p> <p>Anti-slip hard washable flooring in all sanitary facilities</p> <p>Adequate privacy is provided, including partitions and lockable doors</p> <p>Adequate number of sanitary facilities</p> <p>Compliance with minimum standards of health and hygiene</p> <p>Separate sanitary facilities for men and women (excluding in family accommodation)</p> <p>Suitable light and good ventilation to open air</p> <p>Adequate stock of soap and hygienic paper</p>	No comment given

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Living accommodation: Accommodation management and standards - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to protect the health and safety of workers living in the accommodation you provide?	<p>Adequate health and safety management plans including electrical, mechanical, structural and food safety</p> <p>Emergency plans on health, fire safety, and other specific occurrences (earthquakes, floods, tornadoes, pandemics) are available</p> <p>Regular training in health safety and rules and procedures for all occupants</p> <p>Safety notices and operational instructions are available in visual form or the language migrant workers understand</p> <p>Pest control measures</p> <p>Well-lit and lockable facilities</p> <p>Workers (or their representatives) are consulted on the design of their housing where possible</p> <p>Mosquito nets (where relevant)</p> <p>Regular cleaning and maintenance of the facilities and surrounding areas</p> <p>Common dining rooms, canteens and kitchen space are located away from sleeping areas</p>	No comment given

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Living accommodation: Accommodation management and standards - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What fire safety measures do you have in place to protect workers in the living accommodation you provide?	<p>Specific and adequate fire safety plans and measures</p> <p>At least the minimum legal amount of fire safety equipment (alarms, extinguishers, etc.)</p> <p>Regular testing and maintenance of fire safety equipment (alarms, extinguishers, etc.)</p> <p>Fire procedure training and regular drills in a language workers understand</p> <p>Emergency alarms that can be heard in all areas of the living accommodation</p> <p>Properly designed, maintained, and marked fire exits to enable a quickly and safely evacuation for all occupants</p> <p>Fire-resistant materials on all surfaces adjacent to cooking areas</p>	No comment given
Is it possible for workers to leave the accommodation without any restriction?	Yes, at all times	No comment given
Do you have CCTV (closed-circuit TV) in operation at the accommodation provided to workers?	Yes, at entrances and exits	No comment given
Are there security guards at this accommodation?	No	No comment given

Children and young workers: Children and young workers - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Have you ever found workers at this site that were under the minimum legal working age?	No	No comment given
What have you included in your policy on child labour and young workers?	<p>Workers must be at least the minimum legal working age</p> <p>A remediation plan if child labour is found</p> <p>We have a policy not to hire under 18s</p>	No comment given

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Children and young workers: Children and young workers - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to verify the age of workers prior to hiring?	Identification documents are verified prior to hiring A copy of the identity documents that verify each worker's date of birth is kept on file	No comment given

Wages: Wages - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What is the basic wage you pay your workers?	The legal minimum wage	No comment given
How do you explain to your workers how their total pay is calculated?	Workers are provided with detailed pay slips in a language they understand Workers are free to ask Finance or HR if they have a question	No comment given
Do you use digital payment methods (i.e. money paid directly into a bank account) to pay workers?	Yes, we use only digital payments	No comment given
What percentage of their pay does a worker receive as 'payment-in-kind' benefits?	I don't know	No comment given

Wages: Benefits - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What benefits and insurances do workers receive?	Work accident insurance Government-required social insurance for disability, unemployment, health care, etc. Sickness / illness leave Annual leave / vacation Maternity leave Paternity leave	No comment given

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Wages: Deductions - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What deductions are made to worker's wages?	Social insurance	No comment given

Wages: Living wages - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Have you reviewed your workers total pay including benefits and compared it with a 'living wage' to calculate your 'living wage gap'?	Yes, and we have a wage improvement plan in place	No comment given
If yes, what living wage benchmark did you use to measure your living wage gap?	Other (please explain) Please explain: La metodología para el cálculo de salario digno en Ecuador se basa en diferentes factores, como el costo de la canasta básica familiar, el costo de vida, la inflación y otros indicadores económicos.	No comment given

Working hours: Working hours - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Excluding overtime, what are the regular working hours per week for workers at this site?	40 hours	No comment given
Including overtime, what is the average number of working hours per week for full-time workers at this site?	Between 49 - 59 hours	No comment given
In the past year, what was the maximum number of hours worked in a single week, including overtime, for any worker at this site?	60 hours	No comment given

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Working hours: Overtime - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do all your workers have the right to refuse to work overtime?	Yes, all overtime work is strictly voluntary	No comment given
As a percentage of regular pay, what premium rate are workers paid for overtime?	101 - 110%	María de los Ángeles Jaramillo: 100%

Working hours: Rest - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
How many rest days do you ensure your workers take?	At least one day (24 consecutive hours) off every 7 days	No comment given
Do workers take rest or meal breaks during a shift?	Workers can take informal breaks (to go to the toilet, drink water, pray etc.)	No comment given
How many hours of continuous rest do workers take in between shifts?	12 hours	No comment given

Working hours: Feedback - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you have any feedback on how customers can improve their purchasing practices and help you reduce overtime and/or pay a living wage?	Yes, we have already shared that information with our customers	No comment given

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Discrimination: Non-discrimination - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures have you taken to ensure the principles of non-discrimination are being adopted by your business?	Commitment from senior management to equal employment and workplace diversity Detailed policy on non-discrimination and equal opportunities that is communicated to all workers Assessment of whether discrimination is taking place within our business Review of hiring and employment practices Training of supervisors and managers to encourage action against discrimination Training of those involved in recruitment and selection On-going campaigns to combat stereotypes Measurable goals and specific time frames to achieve objectives Monitoring progress to identify exactly what improvements have been made Scheduling skills development opportunities to allow maximum participation Encouragement of efforts in the community (e.g. adult education programs)	No comment given
Do any workers receive less favourable treatment than others (for example, they receive lower pay) because of any particular characteristics?	No	No comment given
Do you or any labour providers organise health checks during recruitment to avoid hiring workers with certain health issues or medical conditions?	No	No comment given

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Discrimination: Gender equality - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What actions are taken to ensure gender equality and women's empowerment?	<p>A written statement is communicated to workers</p> <p>Company-wide goals and targets that measure progress through clear performance indicators</p> <p>A committee or individual is responsible for the implementation, monitoring, and evaluation of measures that promote gender equality and women's empowerment</p> <p>A gender equality plan that is available to workers</p> <p>Collection and analysis of gender-disaggregated data about your workforce</p> <p>A programme to support women's professional development</p> <p>Investment in community development programmes that contribute to gender equality and women's empowerment</p> <p>Collaboration with our supply chain and business partners to encourage and promote gender equality</p>	No comment given

Regular employment: Regular employment - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do all workers have a written contract or other binding agreement that specifies the terms and conditions of employment, in a language the worker can understand?	Yes	No comment given

Regular employment: Subcontracting - Last updated 2023-11-01 09:44 pm GMT

Question	Answer	Comment
Do you outsource ('subcontract') any part of a customer contract to another company?	No	No comment given

SAQ results

SAQ answers

Regular employment: Supply chain - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to ensure your suppliers or subcontractors meet required labour standards?	Regular third-party audits to validate their compliance with labour standards A Code of Conduct that is communicated to suppliers A Code of Conduct that is communicated to subcontractors	No comment given
Upload a copy or provide a link to your Code of Conduct.	CCN.RS.01 CÓDIGO DE CONDUCTA.pdf	No comment given

Discipline and grievance: Discipline - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you have a detailed disciplinary procedure and policy document that is communicated to all workers?	Yes	No comment given

Discipline and grievance: Grievance - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you have a formal process for workers to report concerns, complaints, or problems ('grievance mechanism')?	Yes, there is a formal grievance process The grievance process is available to all workers The grievance process is available to members of the local community	No comment given

SAQ results

SAQ answers

Discipline and grievance: Grievance - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
If yes, do any of the following statements apply to your company's grievance process?	Confidentiality for the person reporting the grievance Protection against intimidation and retaliation Formal procedure for grievance resolution A Grievance Committee handles the grievance Grievances and agreed follow up actions are documented and shared with the people involved within a reasonable timeframe Human and labour rights issues are remediated with the people involved within a reasonable timeframe Staff assigned to receive and handle worker grievances speak the language of the complainant Supervisors and managers are trained on how to handle and resolve worker grievances Practical information about the grievance mechanism is communicated to all workers in their language Workers do not have to report grievances to their supervisor or manager of their direct supervisor Suggestion boxes	No comment given

SAQ results

SAQ answers

Discipline and grievance: Violence and harassment - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures are in place to prevent violence and harassment, including sexual harassment?	Workers are trained on the topic of respectful behaviour, violence, and harassment Supervisors and managers are trained on the topic of respectful behaviour, violence, and harassment Regular, inclusive risk assessments Regular confidential surveys or consultations with groups vulnerable to violence and harassment Violence and harassment is included in our health and safety management system	No comment given

Environment: Applicable laws - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Has your company received an official notice, fine, or prosecution for any non-compliance with environmental legislation, regulation, consent, or permits within the last three years?	No	No comment given

Environment: Environmental management system - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you have someone within your company who is responsible for environmental compliance and management?	Yes, senior manager or business owner	No comment given

SAQ results

SAQ answers

Environment: Environmental management system - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to manage the environmental impact of your operations?	<p>Compliance with the requirements of local, national, and international laws related to environmental standards</p> <p>Policies relevant to our environmental impacts</p> <p>Another environmental management system (EMS) to help reduce our environmental impacts</p> <p>A recycling programme</p> <p>A waste management system</p>	No comment given
What processes and practices are outlined in your environmental management system (EMS)?	<p>Reviewing company environmental goals</p> <p>Analysing environmental impacts</p> <p>Analysing compliance obligations (or legal and other requirements)</p> <p>Setting environmental objectives and targets to reduce environmental impacts</p> <p>Establishing programs to meet these objectives and targets</p>	No comment given

Environment: Client requirements - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you know what the environmental requirements are for your end clients?	Yes, for all end clients	No comment given
What measures do you have in place to ensure you comply with your end clients' environmental requirements?	A third party reviews our performance against clients' requirements	No comment given

SAQ results

SAQ answers

Environment: Climate change - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you engage with your clients, suppliers or other partners on climate-related issues?	Yes, with our suppliers or other business partners	No comment given
Do you have targets to manage climate related risks and opportunities and measure your performance against targets?	Yes, to reduce scope 1 greenhouse gases (GHGs)	No comment given
Are any of these science-based targets?	No, but we anticipate setting one in the next two years	No comment given

Business ethics: Applicable laws - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Has your company received an official notice, fine, or prosecution for any non-compliance with business ethics legislation, regulation, consent, or permits (within the last three years)?	No	No comment given

Business ethics: Policies and procedures - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
Do you have someone within your company who is responsible for business ethics compliance and management?	Yes, senior manager or business owner	No comment given

SAQ results

SAQ answers

Business ethics: Policies and procedures - Last updated 2024-05-14 04:13 pm GMT

Question	Answer	Comment
What measures do you have in place to manage business ethics risks within your business?	<p>A transparent system for confidential reporting and managing the resolution of issues such as bribery, corruption, and unethical business practices</p> <p>Policies relevant to bribery, corruption, and other business ethics issues</p> <p>Compliance with the requirements of local, national, and international laws related to bribery, corruption, and other business ethics issues</p> <p>A system for investigating evidence of bribery, corruption, and unethical business practices</p> <p>Training for employees in higher-risk positions such as management, finance, purchasing, and logistics on our business ethics policy</p>	No comment given



Sedex Members Ethical Trade Audit Report

Version 6.1



Audit Details			
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC408180850	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS408419941
Business name (Company name):	PROCESADORA POSORJA PROPOSORJA SA		
Site name:	PROCESADORA POSORJA PROPOSORJA SA		
Site address:	Cooperativa 8 de Julio S/N Manzana: 70. Solar: 2 Guayaquil-Posorja 091101 EC	Country:	EC
Site contact and job title:	María de los Angeles Jaramillo Murillo / Management system manager		
Site phone:	593 4-206-7069	Site e-mail:	cparraga@proposorja.ec
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health and Safety (plus Environment 2-Pillar)	<input checked="" type="checkbox"/> Environment 4-pillar <input checked="" type="checkbox"/> Business Ethics
Date of Audit:	2023-11-06		

Audit Company Name:
Bureau Veritas Certification

Audit Conducted By					
Affiliate Audit Company	<input checked="" type="checkbox"/>	Purchaser	<input type="checkbox"/>	Retailer	<input type="checkbox"/>
Brand owner	<input type="checkbox"/>	NGO	<input type="checkbox"/>	Trade Union	<input type="checkbox"/>
Multi-stakeholder	<input type="checkbox"/>	Combined Audit (select all that apply)			

Audit Content:

(1) A SMETA audit was conducted which included some or all of Labour Standards, Health & Safety, Environment and Business Ethics. The SMETA Best Practice Version 6.1 (March 2019) was applied. The scope of workers included all types at the site e.g. direct employees, agency workers, workers employed by service providers and workers provided by other contractors. Any deviations from the SMETA Methodology are stated (with reasons for deviation) in the SMETA Declaration.

(2) The audit scope was against the following reference documents

2-Pillar SMETA Audit

- ETI Base Code
- SMETA Additions
 - Universal rights covering UNGP
 - Management systems and code implementation,
 - Responsible Recruitment
 - Entitlement to Work & Immigration,
 - Sub-Contracting and Home working,

4-Pillar SMETA

- 2-Pillar requirements plus
- Additional Pillar assessment of Environment
- Additional Pillar assessment of Business Ethics
- The Customer's Supplier Code (Appendix 1)

(3) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.

(4) Any Non-Compliance against customer code shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

SMETA Declaration

I declare that the audit underpinning the following report was conducted in accordance with SMETA Best Practice Guidance and SMETA Measurement Criteria.

- (1) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.
- (2) Any Non-Compliance against customer code alone shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

Auditor Team			
Lead Auditor:	Eduardo Serrano	APSCA Number:	21703085
Additional Auditors:			
Date of declaration:	2023-11-09		

Note: The focus of this ethical audit is on the ETI Base Code and local law. The additional elements will not be audited in such depth or scope, but the audit process will still highlight any specific issues.

Site Representation	
Full Name:	María de los Angeles Jaramillo Murillo
Title:	Management system manager
Date of declaration:	2023-11-09
Comments: <i>Any exceptions to this must be recorded here (e.g. different sample size): Sampled wage records from the past 5 months were provided for review (5 months only since the operation for digital thermometer just started last Sep 2020). The audit took 2.0 man-days (9AM-6PM per day). Audit time was extended until 8PM due to the extent of documentation; this was agreed upon with the factory representatives</i>	
None.	

Summary of Findings

Issue <small>(please click on the issue title to go direct to the appropriate audit results by clause)</small>	Area of Non-Conformity		Number of issues			Findings
	ETI	Local Law	NC	Obs	GE	
<u>0A - Universal rights covering UNGP</u>			0	0	0	
<u>0B - Management systems and code implementation</u>			0	0	1	GE - ZAF600255070
<u>1 - Freely chosen employment</u>			0	0	0	
<u>2 - Freedom of association and right to collective bargaining are respected</u>			0	0	0	
<u>3 - Working conditions are safe and hygienic</u>			0	0	0	
<u>4 - Child labour shall not be used</u>			0	0	0	
<u>5 - Living wages are paid</u>			0	0	1	GE - ZAF600255071
<u>6 - Working hours are not excessive</u>			0	0	0	
<u>7 - No discrimination is practiced</u>			0	0	0	
<u>8 - Regular employment is provided</u>			0	0	0	
<u>8A - Subcontracting and homeworking</u>			0	0	0	
<u>9 - No harsh or inhumane treatment is allowed</u>			0	0	0	
<u>10A - Entitlement to work and immigration</u>			0	0	0	
<u>10B2 - Environment 2-pillar</u>			0	0	0	
<u>10B4 - Environment 4-pillar</u>			0	0	0	
<u>10C - Business ethics 4-pillar</u>			0	0	0	

Site Details

Site Details			
Company Name		PROCESADORA POSORJA PROPOSORJA SA	
Site Name		PROCESADORA POSORJA PROPOSORJA SA	
GPS location (if available)	GPS Address:	GUAYAS / GUAYAQUIL / POSORJA / COOP 8 DE JULIO, SOLAR 2 - MZ 70.	
	Coordinates:	-2,720149; -80,244514	
Applicable business and other legally required licence numbers and documents, for example, business license number, liability insurance, any other required government inspections		Operating Permit: #1152275 valid until December 31, 2023. Operating permit for being an ARCSA food company: # ARCSA-2023-14.1.2.1-0000051 valid until 05-10-2024. Single taxpayer registry (RUC): #0992483725001 establishment 2. Address: GUAYAS / GUAYAQUIL / POSORJA / COOP 8 DE JULIO, SOLAR 2 - MZ 70. Environmental License: DMA-LA-IV-2016-003 for project. Official letter from the last environmental compliance audit, approved in January 2023, with official letter DAPAV-SUB-2023-0148. IESS: Certificate of compliance dated 11-6-2023. Certificate of compliance with the Super de Companies: Date 11-6-2023. Certificate of compliance with the Internal Revenue Service SRI: date 11-6-2023. Payment of patents, property: paid for property in May 2023 and for patent and 1.5x 1000 except from 20219 according to the resolution of the municipality of Posorja. Internal work regulations: MDT-DRTSP5-2017-5361-R2-LU dated 06-9-2017, still valid. Health and safety regulation: MDT-RHS2022213939 dated 06-09-2022. Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023.	
Products/Activities at site, for example, garment manufacture, electricals, toys, grower, cutting, sewing, packing etc		It is a shrimp packing machine that has three subprocesses: reception, separation, and freezing. And it shares activities with an area of breaded or added value and another of Pelagians.	
Site description: (Include size, location, and age of site. Also, include structure and number of buildings)		It is a remodeled plant approximately 6 years old. Located in GUAYAS / GUAYAQUIL / POSORJA / COOP 8 DE JULIO, SOLAR 2 - MZ 70. It is a coastal area, which is directly dedicated to fishing and shrimp production. It has a frozen shrimp production area of 1780 m2 and administrative areas of 300 m2. With three production lines with equipment or machines per line such as elevator, classifier, packer, freezing tunnels 723 m2 and freezers (2378 m3).	
Structure and number of buildings		Building Name: Proposorja	
		Floor	Description Remark
		1	It has a frozen shrimp production area of 1780 m2 and administrative areas of 300 m2. With three production lines with equipment or machines per line such as elevator, classifier, packer, freezing tunnels 723 m2 and freezers (2378 m3). N/A

Visible structural integrity issues (large cracks) observed?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: A tour of the facilities is made, the structure is mixed, it does not present cracks anywhere. It has the permission of firefighters year 2023 that inspect the structure every year.
Does the site have a structural engineer evaluation?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: It has the permission of firefighters year 2023 that inspect the structure every year. FIREFIGHTER OPERATION PERMIT valid until December 31, 2023
Site function	<input type="checkbox"/> Agent <input checked="" type="checkbox"/> Factory Processing/Manufacturer <input type="checkbox"/> Finished Product Supplier <input type="checkbox"/> Grower <input type="checkbox"/> Homeworker <input type="checkbox"/> Labour Provider <input type="checkbox"/> Pack house <input type="checkbox"/> Primary Producer <input type="checkbox"/> Service Provider <input type="checkbox"/> Sub-contractor
Months of peak season	March to October
Process overview	shrimp packing machine that has three subprocesses: reception, separation, and freezing. It has a frozen shrimp production area of 1780 m2 and administrative areas of 300 m2. With three production lines with equipment or machines per line such as elevator, classifier, packer, freezing tunnels 723 m2 and freezers (2378 m3).
What form of worker representation is there on site?	<input type="checkbox"/> Union <input type="checkbox"/> Worker Committee <input checked="" type="checkbox"/> Other <input type="checkbox"/> None
Please give details:	There are two committees: Improvement Committee and health and security Committee. Joint health and safety committee: organized and approved by the authority OP-2022-105112 with 12-29-2022. It is evident that the election held in December 2022 was free and voluntary. The number of votes is evident. It is evident that the staff knows the committee members. The committee is represented by 50% of workers and 50% of employers. The meeting minutes for the months of 08-18-2023 and 09-18-2023 are reviewed. Improvement committee is a committee of workers to ensure the improvements of workers in their jobs. They meet monthly and have a representative, who was interviewed. Their choices are evidently free and voluntary. It is evident that it also has a suggestion box to receive improvements to the job. The formation and elections of the improvement committee on 08-9-2022 are reviewed and the meetings of August, September and October 2023 are reviewed, such as the improvements to the suggestion box.
Is there any night production work at the site?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are there any on site provided worker accommodation buildings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:

<p>Are there any off site provided worker accommodation buildings</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>They are located outside the production area in the city of Posorja, five minutes from the farica, they are transported by their own transportation. They are villas for 70 people divided into rooms for 4 people with a bed for each, showers, emergency system, they are cleaned daily, their bathrooms have accreditations for cleanliness and the number of workers, it is free for the workers, they decide if they they remain. Some provincial workers stay from Monday to Friday. Saturdays and Sundays they go out on their days of rest.</p>
<p>Were all site provided accommodation buildings included in this audit</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p>

Audit Parameters						
Time in and time out	Day 1		Day 2		Day 3	
	In	08:00	In	08:00	In	08:00
	Out	17:00	Out	17:00	Out	17:00
	Day 4					
	In	08:00				
	Out	12:00				
Audit type:	FULL_INITIAL					
Was the audit announced?	SEMI_ANNOUNCED					
Was the Sedex SAQ available for review?	Yes					
Any conflicting information SAQ/Pre-Audit Info to Audit findings?	No					
Who signed and agreed CAPR	María de los Angeles Jaramillo Murillo / Management system manager					
Is further information available	No					

Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?	Yes	Yes	No
B: Present at the audit?	Yes	Yes	No
C: Present at the closing meeting?	Yes	Yes	No
<i>Reason for absence at the opening meeting</i>	There is no union of workers. it is not required by law to have it. In interviews, workers are not required to have it		
<i>Reason for absence during the audit</i>	There is no union of workers. it is not required by law to have it. In interviews, workers are not required to have it		
<i>Reason for absence at the closing meeting</i>	There is no union of workers. it is not required by law to have it. In interviews, workers are not required to have it		

Worker Analysis

The term "migrant worker" refers to a person who is engaged or has been engaged in a remunerated activity in a country of which they are not a national or permanent resident or has purposely migrated on a temporary basis to another in-country region to seek and engage in a remunerated activity.

Worker Analysis								
	Local			Migrant*			Home workers	Total
	Permanent	Temporary	Agency	Permanent	Temporary	Agency		
Worker numbers – male	433	0	0	0	0	0	0	433
Worker numbers – female	546	0	0	0	0	0	0	546
Total	979	0	0	0	0	0	0	979
Number of Workers interviewed – male	22	0	0	0	0	0	0	22
Number of Workers interviewed – female	20	0	0	0	0	0	0	20
Total – interviewed sample size	42	0	0	0	0	0	0	42

Nationalities Structure		
Nationality of Management	Ecuadorean	
Please list the nationalities of all workers, with the three most common nationalities listed first.	Nationality 1: ECUADOREAN approx %: 100%	
Was this list completed during peak season?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:	
Worker remuneration	Workers on piece rate:	0%
	Paid hourly:	0%
	Salaried:	100%
Payment cycle	Paid daily:	0%
	Paid weekly:	0%
	Paid monthly:	100%
	Other:	0%
	Details for other:	N/A

Worker Interview Summary	
Were workers aware of the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were workers aware of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Number of group interviews:	6 groups of 5
Number of individual interviews:	Male: 6 Female: 6
All groups of workers are included in the scope of this audit such as; Direct employees, Casual and agency workers, Workers employed by service providers such as security and catering staff as well as workers supplied by other contractors.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Interviews were done in private and the confidentiality of the interview process was communicated to the workers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
In general, what was the attitude of the workers towards their workplace?	<input type="checkbox"/> Favorable <input type="checkbox"/> Non-favourable <input checked="" type="checkbox"/> Indifferent
What was the most common worker complaint?	the food or that the work is hard.
What did the workers like the most about working at this site?	Benefits such as transportation and food total free.
Any additional comment(s) regarding interviews:	None
Attitude of workers to hours worked:	They are always voluntary and they are paid in accordance with what is established by law.
Is there any worker survey information available?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:

Attitude of workers:
The workers have a positive attitude, they answer the questions in the best way, they answer everything that is asked of them.
Attitude of worker's committee/union reps:
The representative of the workers committees have a positive attitude, answers the questions in the best way, answers everything that is asked.
Attitude of managers:
The managements have a positive attitude, answer the questions in the best way, answer everything that is asked, they are always pending the audit, to collaborate with the auditor, they accompany me on the tour.

0A - Universal Rights covering UNGP
[Summary of Findings]

0A: Compliance Requirements

0.A.1 Businesses should have a policy, endorsed at the highest level, covering human rights impacts and issues, and ensure it is communicated to all appropriate parties, including its own suppliers.

0.A.2 Businesses should have a designated person responsible for implementing standards concerning Human rights

0.A.3 Businesses shall identify their stakeholders and salient issues.

0.A.4 Businesses shall measure their direct, indirect, and potential impacts on stakeholders (rights holders) human rights.

0.A.5 Where businesses have an adverse impact on human rights within any of their stakeholders, they shall address these issues and enable effective remediation.

0.A.6 Businesses shall have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter. Note for auditors and readers. This is not a full Human Rights Assessment, but instead a check on the business's implementation of processes to meet their Universal rights covering UNGP responsibilities.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

0.A.1 There is a code of conduct for Proposorja and a POL-04 policy dated 08-03-2023, which is continually reviewed. Last review August 2023. The code contemplates the following topics: Respect and your rights; integrity; Business ethics; suppliers; respect for the environment; no child labor; no to discrimination; no forced labor; safety and well-being; proper management of information; bribes; accounting records and responsibility; Human rights.

Training is evident for all workers, through talks and inductions for new workers. Sample: New on 10-3-2023 and all staff on 10-4-2023.

To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.

0.A.2 Liana Baño- Administrative head is responsible for implementing standards concerning Human rights.

0.A.3 There is a matrix of interested parties called ". interested parties. " dated August 2023, review #1. Where the following interested parties have been defined:

Interested Party: Supplier

Need: equitable payments and conditions.

Control: Financial accounting system, supplier sheet and supplier evaluation.

Interested Party: Client

Need: Requirements and compliance with regulations.

Control: Invoice, customer satisfaction, review guide.

Interested Party: Workers

Need: good work environment, profits.

Controls: payment roles, internal regulations, work environment surveys.

0.A.4 There is a matrix of interested parties called ". interested parties. " dated August 2023, review #1.

Sample:

Risk: not meeting the needs and expectations of raw material suppliers

Rated: Low

Action plan: Credit has been established to pay them. This lowers the risk.

Risk: Not meeting customer requirements.

Rated: Low.

Action plan: Develop a delivery schedule, which ensures that clients have certifications.

0.A.5 Its policy as well as the interna regulations establish the remediation criteria in case any case occurs. There is a instructive of how to investigate the possible cases and the possible measures to take for their remediation. To date there have been no cases.

0.A.6 Its mechanism is a mailbox, all interested parties can enter these mechanisms. It is evident that they can fill out the information anonymously, It is evident that the information is confidential, transparent, everyone can access it. which reaches the person in charge (head of organizational development). She has competence to review and treat any case. Workers are interviewed, everyone understands the mechanism and shows how it works on the physical mailbox is checked, there are no reported cases, the interviews confirm it. Efficient process and communication.

Communication channel for complaints and complaints:

There is a contract with the company EthicsGlobal, which receives complaints by email or letter and a committee reviews them, thereby establishing the investigators and recommendations to be addressed.

Channels: Via website <https://nirsa.com/linea-etica/> or cell phone number 1800 001 135.

The transparency of the channel is evident:

The company EthicsGlobal has a contract signed on 12-29-2022 that includes confidentiality regarding the information received and the method used to treat cases.

The workers who belong to the ethics committee have signed confidentiality agreements and have been trained in treatment and confidentiality 08-22-2023.

Report of the month November 1, 2023

Case: 217

Case date: 10-17-2023

Case for abuse of authority.

Case closed 10-19-2023.

The analysis of the case, its recommendations and actions taken are evident, such as: training and training for line supervisors, dated 10-23-2023. The case has not been repeated.

Evidence examined:

Interviews
internal regulations.
Integrated policy.
Mailbox-Channels: Via website <https://nirsa.com/linea-etica/> or cell phone number 1800 001 135.

Any other comments:

Nothing to report.

Policy statement that expresses
commitment to respect human rights?

☒ Yes ☐ No

Please give details:

They have an integrated policy with a revision date of January 2023 which is signed by the general management and motivates compliance and reduces risks related to human rights issues. In addition, there is a code of ethics that details how these possible risks are controlled. Last revision of the code August 2023.

Are the policies included in workers'
manuals?

☒ Yes ☐ No

Please give details:

In addition, there is a internal regulations that details how these possible risks are controlled. Last revision january 2023. There is a matrix of "interested parties and human rights" in which the risks associated with its interested parties are identified.

Does the business have a designated
person responsible for implementing
standards concerning Human Rights?

☒ Yes ☐ No

Please give details:

Liana Baño- Administrative head.

<p>Does the business have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Its mechanism is a mailbox, all interested parties can enter these mechanisms. It is evident that they can fill out the information anonymously, It is evident that the information is confidential, transparent, everyone can access it. which reaches the person in charge (head of organizational development). She has competence to review and treat any case. Workers are interviewed, everyone understands the mechanism and shows how it works on the physical mailbox is checked, there are no reported cases, the interviews confirm it. Efficient process and communication.</p> <p>Communication channel for complaints and complaints: There is a contract with the company EthicsGlobal, which receives complaints by email or letter and a committee reviews them, thereby establishing the investigators and recommendations to be addressed.</p> <p>Channels: Via website https://nirsa.com/linea-etica/ or cell phone number 1800 001 135.</p> <p>The transparency of the channel is evident:</p> <p>The company EthicsGlobal has a contract signed on 12-29-2022 that includes confidentiality regarding the information received and the method used to treat cases.</p> <p>The workers who belong to the ethics committee have signed confidentiality agreements and have been trained in treatment and confidentiality 08-22-2023.</p> <p>Report of the month November 1, 2023</p> <p>Case: 217</p> <p>Case date: 10-17-2023</p> <p>Case for abuse of authority.</p> <p>Case closed 10-19-2023.</p> <p>The analysis of the case, its recommendations and actions taken are evident, such as: training and training for line supervisors, dated 10-23-2023. The case has not been repeated.</p>				
<p>Does the grievance mechanism meet UNGP expectations? (Legitimate, Accessible, Predictable, Equitable, Transparent, Rights-compatible, a source of continuous learning and based on stakeholder engagement)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>				
<p>Does the business demonstrate effective data privacy procedures for workers' information, which is implemented?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>It is evident that the human talent department contains the documents (only copies) of the workers. each worker has a folder. that are in gates that only human talent has access to. It is evident in the contracts of each worker confidentiality policies of the information and its compliance.</p>				
<p>Measuring Workplace Impact</p>					
<p>Annual worker turnover(Number of workers leaving in last 12 months as a % of average total number of workers on site over the year (annual worker turnover))</p>	<table> <tr> <td>Last year</td><td>46.0%</td></tr> <tr> <td>This year</td><td>29.0%</td></tr> </table>	Last year	46.0%	This year	29.0%
Last year	46.0%				
This year	29.0%				

Current % quarterly (90 days) turnover(Number of workers leaving from the first of the 90 day period through to the last day of the 90 day period / [(number of employees on the 1st day of 90 day period + number of employees on the last day of the 90 day period) / 2])	3.89%
Annual % absenteeism(Number of days lost through job absence in the year / [(number of employees on 1st day of the year + number employees on the last day of the year) / 2] * number available workdays in the year)	<div>Last year 12.0%</div> <div>This year 9.0%</div>
Quarterly (90 days) % absenteeism(Number of days lost through job absence in the period / [(Number of employees on 1st of the period + Number of employees on the last day of the period / 2] * Number of available workdays in the month)	8.0%
Are accidents recorded?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Last accident: File I230-09-2023-AT-100116, Accident date: 10-22-2023. Communiqué to the authority: 01-11-2023. An analysis of the cause, an additional report, actions are evident, and the case is closed. Evidenced actions: 5-minute talks every day. And a specific report of the accident to the area personnel on 11-2-2023.
Annual Number of work related accidents and injuries per 100 workers((Number of work related accidents and injuries * 100) / Number of total workers)	<div>Last year 3.0%</div> <div>This year 4.0%</div>
Quarterly (90 days) number of work related accidents and injuries per 100 workers((Number of work related accidents and injuries * 100) / Number of total workers)	2.0%
Lost day work cases per 100 workers([(Number of lost days due to work accidents and work related injuries * 100) / Number of total workers)	<div>Last year 58.0%</div> <div>This year 57.0%</div>
% of workers that work on average more than 48 standard hours / week in the last 6 / 12 months	<div>6 month 0.0%</div> <div>12 month 0.0%</div>
% of workers that work on average more than 60 total hours / week in the last 6 / 12 months	<div>6 month 0.0%</div> <div>12 month 0.0%</div>

0B - Management Systems and code Implementation
[Summary of Findings]

0B: Compliance Requirements

- 0.B.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.
- 0.B.2 Suppliers shall appoint a senior member of management who shall be responsible for compliance with the Code.
- 0.B.3 Suppliers are expected to communicate this Code to all employees.
- 0.B.4 Suppliers are expected to be operating legally in premises with the correct business licenses and permissions and to have systems to ensure that all relevant land rights have been complied with.
- 0.B.5 Suppliers should communicate this code to their own suppliers and, where reasonably practicable, extend the principles of this Ethical Code through their supply chain.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

0.B.1 There is a code of conduct for Proposorja and a POL-04 policy dated 08-03-2023, which is continually reviewed. Last review August 2023. The code contemplates the following topics: Respect and your rights; integrity; Business ethics; suppliers; respect for the environment; no child labor; no to discrimination; no forced labor; safety and well-being; proper management of information; bribes; accounting records and responsibility; Human rights.

Training is evident for all workers, through talks and inductions for new workers. Sample: New on 10-3-2023 and all staff on 10-4-2023.

To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.

Communication channel for complaints and complaints:

There is a contract with the company EthicsGlobal, which receives complaints by email or letter and a committee reviews them, thereby establishing the investigators and recommendations to be addressed. Channels: Via website <https://nirsa.com/linea-etica/> or cell phone number 1800 001 135.

The transparency of the channel is evident:

The company EthicsGlobal has a contract signed on 12-29-2022 that includes confidentiality regarding the information received and the method used to treat cases.

The workers who belong to the ethics committee have signed confidentiality agreements and have been trained in treatment and confidentiality 08-22-2023.

Report of the month November 1, 2023

Case: 217

Case date: 10-17-2023

Case for abuse of authority.

Case closed 10-19-2023.

The analysis of the case, its recommendations and actions taken are evident, such as: training and training for line supervisors, dated 10-23-2023. The case has not been repeated.

0.B.2 Liana Baño- Administrative head is responsible for compliance with the Code.

0.B. 3

Training is evident for all workers, through talks and inductions for new workers. Sample: New on 10-3-2023 and all staff on 10-4-2023.

0.B.4

Operating Permit: #1152275 valid until December 31, 2023. Operating permit for being an ARCSA food company: # ARCSA-2023-14.1.2.1-0000051 valid until 05-10-2024. Single taxpayer registry (RUC): #0992483725001 establishment 2. Address: GUAYAS / GUAYAQUIL / POSORJA / COOP 8 DE JULIO, SOLAR 2 - MZ 70. Environmental License: DMA-LA-IV-2016-003 for project. Official letter from the last environmental compliance audit, approved in January 2023, with official letter DAPAV-SUB-2023-0148. IESS: Certificate of compliance dated 11-6-2023. Certificate of compliance with the Super de Companies: Date 11-6-2023. Certificate of compliance with the Internal Revenue Service SRI: date 11-6-2023. Payment of patents, property: paid for property in May 2023 and for patent and 1.5x 1000 except from 20219 according to the resolution of the municipality of Posorja. Internal work regulations: MDT-DRTSP5-2017-5361-R2-LU dated 06-9-2017, still valid. Health and safety regulation: MDT-RHS2022213939 dated 06-09-2022. Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023.

Good Example:

Certificación en responsabilidad social: Certificado CERES del 7-09-2023 como empresa socialmente responsable, vigente un año. Certificación de producto: MPCEIP-SCI-DCDS-HACCP-2023-0338 vigente hasta 13-12-2023. BAP: # AM310100 vigente hasta 15-01-2024. Certificación de productos, camaróneras: ASC- MSC certificado C875548-MSC-01-2023 vigente hasta el 11-12-2026. Certification in social responsibility: CERES Certificate of 09-07-2023 as a socially responsible company, valid one year. Product certification: HACCP: # MPCEIP-SCI-DCDS-HACCP-2023-0338 valid until 12-13-2023. BAP: # AM310100 effective until 01-15-2024. Product certification, shrimp farms: ASC-MSC certificate C875548-MSC-01-2023 valid until 12-11-2026.

0.B.5

o suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.

Evidence examined:

Interviews
Code of ethics.
Legal documents
Physical mailbox and web page.

Any other comments:





Nothing to report

Management Systems	
In the last 12 months, has the site been subject to any fines/prosecutions for non-compliance to any regulations?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A
Do policies and/or procedures exist that reduce the risk of forced labour, child labour, discrimination, harassment & abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: There is a code of conduct for Proposorja and a POL-04 policy dated 08-03-2023, which is continually reviewed. Last review August 2023. The code contemplates the following topics: Respect and your rights; integrity; Business ethics; suppliers; respect for the environment; no child labor; no to discrimination; no forced labor; safety and well-being; proper management of information; bribes; accounting records and responsibility; Human rights. Training is evident for all workers, through talks and inductions for new workers. Sample: New on 10-3-2023 and all staff on 10-4-2023. To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.
If Yes, is there evidence (an indication) of effective implementation? Please give details.	Communication channel for complaints and complaints: There is a contract with the company EthicsGlobal, which receives complaints by email or letter and a committee reviews them, thereby establishing the investigators and recommendations to be addressed. Channels: Via website https://nirsa.com/linea-etica/ or cell phone number 1800 001 135. The transparency of the channel is evident: The company EthicsGlobal has a contract signed on 12-29-2022 that includes confidentiality regarding the information received and the method used to treat cases. The workers who belong to the ethics committee have signed confidentiality agreements and have been trained in treatment and confidentiality 08-22-2023. Report of the month November 1, 2023 Case: 217 Case date: 10-17-2023 Case for abuse of authority. Case closed 10-19-2023. The analysis of the case, its recommendations and actions taken are evident, such as: training and training for line supervisors, dated 10-23-2023. The case has not been repeated

Have managers and workers received training in the standards for forced labour, child labour, discrimination, harassment & abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The workers who belong to the ethics committee have signed confidentiality agreements and have been trained in treatment and confidentiality 08-22-2023.
If Yes, is there evidence (an indication) that training has been effective e.g. training records etc.? Please give details	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The human talent and ethics committee personnel are interviewed, their competence and knowledge according to the requirements are evident in order to review and analyze cases.
Does the site have any internationally recognised system certifications e.g. ISO 9000, 14000, OHSAS 18000, SA8000 (or other social audits)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Certification in social responsibility: CERES Certificate of 09-07-2023 as a socially responsible company, valid until September 2024. Product certification: HACCP: #MPCEIP-SCI-DCDS-HACCP-2022-0340 valid until 08-08-2027. BAP: # NSF-SF-23048 effective until 01-15-2024. Product certification, shrimp farms: ASC-MSD certificate CUP-C-875548-MSD-01-2020 valid until 12-11-2023.
Is there a Human Resources manager/department?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No There is a department made up of a group manager, then for each company, for example Proposorja, there is an administrative head and a person in charge of payroll.
Is there a senior person /manager responsible for implementation of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Liana Baño- Administrative head.
Is there a policy to ensure all worker information is confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: There is a code of conduct for Proposorja and a POL-04 policy dated 08-03-2023, which is continually reviewed. Last review August 2023. The code contemplates the following topics: proper management of information; bribes; Human rights. Training is evident for all workers, through talks and inductions for new workers. Sample: New on 10-3-2023 and all staff on 10-4-2023. To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.
Is there an effective procedure to ensure confidential information is kept confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: It is reviewed that the folders of each worker are kept in the human talent offices. Human talent personnel have the only access to these folders. The information is kept confidential.

<p>Are risk assessments conducted to evaluate policy and procedure effectiveness?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Policy: there is a code of ethics, CSR (based on the 7 principles of responsibility), zero tolerance for violence, anti-discrimination, anti-corruption with review dates of 08-21-2023.</p> <p>Interested Parties: First version carried out in 2023.</p> <p>Risk identification: According to the matrix and its evaluation, the risk is shown: Increase in accidents with workers and suppliers due to working conditions.</p> <p>Evaluated as moderate.</p> <p>Taking actions: Training, inductions, inspections, industrial safety system.</p> <p>It is evident that accidents in 2023 in relation to 2022 have decreased.</p>
<p>Does the facility have a process to address issues found when conducting risk assessments, including implementation of controls to reduce identified risks?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Policy: there is a code of ethics, CSR (based on the 7 principles of responsibility), zero tolerance for violence, anti-discrimination, anti-corruption with review dates of 08-21-2023.</p> <p>Interested Parties: First version carried out in 2023.</p> <p>Risk identification: According to the matrix and its evaluation, the risk is shown: Increase in accidents with workers and suppliers due to working conditions.</p> <p>Evaluated as moderate.</p> <p>Taking actions: Training, inductions, inspections, industrial safety system.</p> <p>It is evident that accidents in 2023 in relation to 2022 have decreased.</p>
<p>Does the facility have a policy/code which require labour standards of its own suppliers?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.</p>
<p>Land Rights</p>	
<p>Does the site have all required land rights licenses and permissions (see SMETA Measurement Criteria)?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Operating Permit: #1152275 valid until December 31, 2023.</p> <p>Operating permit for being an ARCSA food company: # ARCSA-2023-14.1.2.1-0000051 valid until 05-10-2024. Single taxpayer registry (RUC): #0992483725001 establishment 2. Address: GUAYAS / GUAYAQUIL / POSORJA / COOP 8 DE JULIO, SOLAR 2 - MZ 70. Environmental License: DMA-LA-IV-2016-003 for project. Official letter from the last environmental compliance audit, approved in January 2023, with official letter DAPAV-SUB-2023-0148. IEES: Certificate of compliance dated 11-6-2023.</p> <p>Certificate of compliance with the Super de Companies: Date 11-6-2023. Certificate of compliance with the Internal Revenue Service SRI: date 11-6-2023. Payment of patents, property: paid for property in May 2023 and for patent and 1.5x 1000 except from 20219 according to the resolution of the municipality of Posorja.</p>

Does the site have systems in place to conduct legal due diligence to recognize and apply national laws and practices relating to land title?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: They manage a matrix where they are notified of the expiration dates such as the land permit, the operating license and their upcoming environmental audits. They also have a legal department that continually reviews the laws and their changes.
Does the site have a written policy and procedures specific to land rights?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: a code of ethics that details how these possible risks are controlled; It covers all issues such as discrimination, confidentiality of information, no child labor, respect, force labour, anti-bribery, no abuse, land rights, etc.. Last revision of the code August 2023.
Is there evidence that facility/site compensated the owner/lessor for the land prior to the facility being built or expanded?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: It has all the permits to date. There are no demands or complaints for the plant property.
Does the facility demonstrate that alternatives to a specific land acquisition were considered to avoid or minimize adverse impacts?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Before, the Nirsa group (proposroja) was in the city of Guayaquil and they moved to Posorja to their own area, exclusive for fishing. Its land use permit is industrial and allows the type of industrial. The land where the factory is located is non-productive or agricultural land.
Is there any evidence of illegal appropriation of land for facility building or expansion of footprint?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Its environmental license, property security and current operating permits are evidenced. There are no constructions or properties without valid authorizations 2023.

Good Example		Evidence																			
[Back to findings summary]																					
<table><tr><th colspan="2">Good Example</th></tr><tr><td>Status</td><td>OPEN</td></tr><tr><td>Reference</td><td>ZAF600255070</td></tr><tr><td>Clause</td><td>0B - Management Systems and code Implementation</td></tr><tr><td>Issue Title</td><td>35 - Presence of relevant certifications certification that address labour rights / human rights, environmental impact or corruption (OHSAS 18001, ISO 14001, ISO 50001, ISO 37001, SA8000 etc.)</td></tr><tr><td>Subcategory</td><td>Site's licenses & Certifications</td></tr><tr><td>New or carried over?</td><td><input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over</td></tr><tr><td>Explanation to the good example</td><td>Certificación en responsabilidad social: Certificado CERES del 7-09-2023 como empresa socialmente responsable, vigente un año. Certificación de producto: MPCEIP-SCI-DCDS-HACCP-2023-0338 vigente hasta 13-12-2023. BAP: # AM310100 vigente hasta 15-01-2024. Certificación de productos, camarónicas: ASC- MSC certificado C875548-MSC-01-2023 vigente hasta el 11-12-2026. Certification in social responsibility: CERES Certificate of 09-07-2023 as a socially responsible company, valid one year. Product certification: HACCP: # MPCEIP-SCI-DCDS-HACCP-2023-0338 valid until 12-13-2023. BAP: # AM310100 effective until 01-15-2024. Product certification, shrimp farms: ASC-MSC certificate C875548-MSC-01-2023 valid until 12-11-2026.</td></tr><tr><td>Evidence</td><td>They are audited on a continuous basis. On the day of the audit, another organization was also auditing good aquaculture practices.</td></tr></table>			Good Example		Status	OPEN	Reference	ZAF600255070	Clause	0B - Management Systems and code Implementation	Issue Title	35 - Presence of relevant certifications certification that address labour rights / human rights, environmental impact or corruption (OHSAS 18001, ISO 14001, ISO 50001, ISO 37001, SA8000 etc.)	Subcategory	Site's licenses & Certifications	New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	Explanation to the good example	Certificación en responsabilidad social: Certificado CERES del 7-09-2023 como empresa socialmente responsable, vigente un año. Certificación de producto: MPCEIP-SCI-DCDS-HACCP-2023-0338 vigente hasta 13-12-2023. BAP: # AM310100 vigente hasta 15-01-2024. Certificación de productos, camarónicas: ASC- MSC certificado C875548-MSC-01-2023 vigente hasta el 11-12-2026. Certification in social responsibility: CERES Certificate of 09-07-2023 as a socially responsible company, valid one year. Product certification: HACCP: # MPCEIP-SCI-DCDS-HACCP-2023-0338 valid until 12-13-2023. BAP: # AM310100 effective until 01-15-2024. Product certification, shrimp farms: ASC-MSC certificate C875548-MSC-01-2023 valid until 12-11-2026.	Evidence	They are audited on a continuous basis. On the day of the audit, another organization was also auditing good aquaculture practices.	<div> MSC.pdf</div> <div> HACCP.pdf</div> <div> BAP.pdf</div> <div> CERES un año.pdf</div>
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Evidence	They are audited on a continuous basis. On the day of the audit, another organization was also auditing good aquaculture practices.																				

1 - Freely chosen Employment [Summary of Findings]

1: Compliance Requirements

1.1 There is no forced, bonded or involuntary prison labour.

1.2 Workers are not required to lodge "deposits" or their identity papers with their employer and are free to leave their employer after reasonable notice.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

There is no forced, bonded or involuntary prison labour.

The documents of the workers are reviewed, it is evident that there are only copies of documents for information from the human talent department. A quit work of october 2023 is evidenced in which the worker presents the quit work letter and all the required values were paid and within the terms defined by law.

1.2 Workers are not required to lodge "deposits" or their identity papers with their employer and are free to leave their employer after reasonable notice.

The workers are interviewed and they confirm that they are free to quit, to work overtime and they do not withhold documents.

The cases of loans are reviewed and it is evident that they do not charge interest and the value is an advance to a percentage of their salary. It does not create slavery.

Evidence examined:

Worker folders.
interviews.
contracts.
Last resignation.

Any other comments:

Nothing to report

Is there any evidence of retention of original documents, e.g. passports/ID' (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Is there any evidence of a loan scheme in operation (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Is there any evidence of retention of wages / deposits (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Are there any restrictions on workers' freedom to terminate employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: A quit work of october 2023 is evidenced in which the worker presents the quit work letter and all the required values were paid and within the terms defined by law.

<p>If any part of the business is UK based or registered there & has a turnover over £36m, is there a published a 'modern day slavery statement?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable</p> <p>Please give details: N/A</p>
<p>Is there evidence of any restrictions on workers' freedoms to leave the site at the end of the work day?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details: The workers are interviewed and they confirm that they are free to quit, to work overtime and leave the site at end of the work day.</p>
<p>Does the site understand the risks of forced / trafficked / bonded labour in its supply chain</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable</p> <p>Please give details: N/A</p>
<p>Is the site taking any steps taking to reduce the risk of forced / trafficked labour?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details: Also there is a policy dated august 2023; communicated in septemebr 2023 on billboards in the locker room to all interested parties. that details how these possible risks are controlled; It covers all issues such as discrimination, confidentiality of information, no child labor, respect, force labour, anti-bribery, no abuse, etc. There is a matrix of "interested parties " which the risks associated with its interested parties and risk as forced or trafficked labour are identified. August 2023.</p>

2 - Freedom of Association and Right to Collective Bargaining are Respected

[Summary of Findings]

2: Compliance Requirements

2.1 Workers, without distinction, have the right to join or form trade unions of their own choosing and to bargain collectively.

2.2 The employer adopts an open attitude towards the activities of trade unions and their organisational activities.

2.3 Workers' representatives are not discriminated against and have access to carry out their representative functions in the workplace.

2.4 Where the right to freedom of association and collective bargaining is restricted under law, the employer facilitates, and does not hinder, the development of parallel means for independent and free association and bargaining.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

2.1 Internal regulations with approval date 09-06-2017, that details how these possible risks are controlled; It covers all issues such as the right to join. Last revision of the January 2023.

2.2 In the interview with management, there is no problem to have the workers' committee, if they so decide. It is evident that they are aware of the right that workers have and their internal regulation expresses it.

2.3/ 2.4 There is no workers' union or any kind of workers' committee on the site. In interviews, the workers comment that they do not see it as necessary.

What is required by law is the Health and Safety Committee, which is made up of 50% of the employers and 50% of the workers. It is evident that it meets monthly in the training room, they have all the facilities and the last meetings in July, August and September 2023 have discussed issues such as accidents, occupational exams, improvements in increase in fire extinguishers in the dining room and installation of hand dryers in the men's bathroom. It is evident that the election of the workers' representatives was by simple, free and transparent election. It was carried out on December 2022 # , OP-2022-105112 and they last for two years.

Improvement committee: is a committee of workers to ensure the improvements of workers in their jobs. They meet monthly and have a representative, who was interviewed. Their choices are evidently free and voluntary. It is evident that it also has a suggestion box to receive improvements to the job. The formation and elections of the improvement committee on September 2022 are reviewed and the meetings of August, September and October 2023 are reviewed, such as the improvements to the suggestion box. Inspections of bathrooms and accommodation are carried out. There is an improvement with the drawer cars, it is evident that they now have the cars as mechanical aids.

Evidence examined:

Interviews with management and workers.
Interview with the workers' representatives.
Internal regulations.

Any other comments:

Nothing to report

What form of worker representation/union is there on site? (Please add the name of the union or committee in the textbox)

☐ Union
☒ Other

☐ Worker Committee
☐ None

Other details:	<p>What is required by law is the Health and Safety Committee, which is made up of 50% of the employers and 50% of the workers. It is evident that it meets monthly in the training room, they have all the facilities and the last meetings in July, August and september 2023 have discussed issues such as accidents, occupational exams, improvements in increase in fire extinguishers in the dining room and installation of hand dryers in the men's bathroom. It is evident that the election of the workers' representatives was by simple, free and transparent election. It was carried out on 12-29-2022 # , OP-2022-105112 and they last for two years. Improvement committee: is a committee of workers to ensure the improvements of workers in their jobs. They meet monthly and have a representative, who was interviewed. Their choices are evidently free and voluntary. It is evident that it also has a suggestion box to receive improvements to the job. The formation and elections of the improvement committee on 08-9-2022 are reviewed and the meetings of August, September and October 2023 are reviewed, such as the improvements to the suggestion box. Inspections of bathrooms and accommodation are carried out. There is an improvement with the drawer cars, it is evident that they now have the cars as mechanical aids.</p>
Is it a legal requirement to have a union?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is it a legal requirement to have a worker's committee?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any other form of effective worker/management communication channel? (Other than union/worker committee e.g. H&S, sexual harassment)	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>What is required by law is the Health and Safety Committee, which is made up of 50% of the employers and 50% of the workers. It is evident that it meets monthly in the training room, they have all the facilities and the last meetings in July, August and september 2023 have discussed issues such as accidents, occupational exams, improvements in increase in fire extinguishers in the dining room and installation of hand dryers in the men's bathroom.</p> <p>Improvement committee: is a committee of workers to ensure the improvements of workers in their jobs. They meet monthly and have a representative, who was interviewed. Their choices are evidently free and voluntary. It is evident that it also has a suggestion box to receive improvements to the job. There is an improvement with the drawer cars, it is evident that they now have the cars as mechanical aids.</p>
Is there evidence of free elections?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Does the supplier provide adequate facilities to allow the Union or committee to conduct related business?	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>There is a training room with chairs, tables, water and a screen, which is provided every month for the committees to meet. The representative of the workers of these committees are interviewed and validate the information and shows us the place of their meetings. Confirm that they are done during business hours. They confirm that the attitude of the managers is very good towards them and that they provide them with all the physical and documentary facilities.</p>

Name of union and union representative, if applicable:	N/A
Is there evidence of free elections?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
If there is no union, is there a parallel means of consultation with workers e.g. worker committees?	<p>What is required by law is the Health and Safety Committee, which is made up of 50% of the employers and 50% of the workers. It is evident that the election of the workers' representatives was by simple, free and transparent election. It was carried out on December 2022 # , OP-2022-105112 and they last for two years.</p> <p>Improvement committee: is a committee of workers to ensure the improvements of workers in their jobs. It is evident that it also has a suggestion box to receive improvements to the job. The formation and elections of the improvement committee on September 2022 are reviewed.</p>
Is there evidence of free elections?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable
Are all workers aware of who their representatives are?	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>The workers are interviewed and they validate the elections and who their representatives are. The representative of the workers for these committees are interviewed and the mechanisms are clear.</p>
Were worker representatives freely elected?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Date of last election:	2022-12-08
Do workers know what topics can be raised with their representatives?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were worker representatives/union representatives interviewed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, please state how many:	2.0
Please describe any evidence that union/worker's committee is effective? Specify date of last meeting; topics covered; how minutes were communicated etc.	<p>What is required by law is the Health and Safety Committee, which is made up of 50% of the employers and 50% of the workers. It is evident that it meets monthly in the training room, they have all the facilities and the last meetings in July, August and september 2023 have discussed issues such as accidents, occupational exams, improvements in increase in fire extinguishers in the dining room and installation of hand dryers in the men's bathroom.</p> <p>Improvement committee: is a committee of workers to ensure the improvements of workers in their jobs. They meet monthly and have a representative, who was interviewed. Their choices are evidently free and voluntary. It is evident that it also has a suggestion box to receive improvements to the job. There is an improvement with the drawer cars, it is evident that they now have the cars as mechanical aids.</p> <p>It is evident that the results of the committee meetings are communicated every month on the bulletin boards in the bathrooms, dining room and entrances to the locker rooms.</p> <p>During the tour, the improvements were evident. Committees are effective.</p>

Are any workers covered by Collective Bargaining Agreement (CBA)?

☐ Yes ☒ No

3 - Working Conditions are Safe and Hygienic [Summary of Findings]

3: Compliance Requirements

3.1 A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.

3.2 Workers shall receive regular and recorded Health & Safety training, and such training shall be repeated for new or reassigned workers.

3.3 Access to clean toilet facilities and to potable water, and, if appropriate, sanitary facilities for food storage shall be provided.

3.4 Accommodation, where provided, shall be clean, safe, and meet the basic needs of the workers.

3.5 The company observing the code shall assign responsibility for Health & Safety to a senior management representative.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

3.1

legal

Occupational doctor: Registered to Yolismar Mendez on 09-21-2021.
Safety, health and environment technician: Abel Davalos registered on 11-29-2021.
Alcohol and drug program: Dated 4-01-2023 PRODROGAS-2022-71.107
Psychosocial risk programs: Dated 01-05-2023 PROPRS-2023-63,806.
Annual report of the joint committee: year 2022 uploaded in accordance.
Internal work regulations: MDT-DRTSP5-2017-5361-R2-LU dated 06-9-2017, still valid.
Health and safety regulation: MDT-RHS2022213939 dated 06-09-2022.
Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023.

Parity Committee:

What is required by law is the Health and Safety Committee, which is made up of 50% of the employers and 50% of the workers. It is evident that it meets monthly in the training room, they have all the facilities and the last meetings in July, August and september 2023 have discussed issues such as accidents, occupational exams, improvements in increase in fire extinguishers in the dining room and installation of hand dryers in the men's bathroom. It is evident that the election of the workers' representatives was by simple, free and transparent election. It was carried out on December 2022 # , OP-2022-105112 and they last for two years.

Indicators:

Record of reactive indexes in Occupational Hazards: Date: 02/02/2023
Severity Index: 57.16
Frequency Index: 2.17
Risk Rate: 25.65

Accidents:

File I230-09-2023-AT-100116,
Accident date: 10-22-2023.
Communiqué to the authority: 01-11-2023.
An analysis of the cause, an additional report, actions are evident, and the case is closed.
Evidenced actions: 5-minute talks every day. And a specific report of the accident to the area personnel on 11-2-2023.

Emergencies:

Emergency and Contingency Plan MATRIX. Date: 08/2022 Emergency Situations: earthquake, fire and evacuation.
Brigade Formation List: First Aid, evacuation and rescue and Fire Fighting.
Training Records:
Training for brigade members: Registration of Participation / Training. Date: 10/10/2023. Theme: First Aid. Participation of brigade members is evident.
Registration of Participation / Training. Date: 12/19/2022. Topic: Meeting with emergency brigade members.
The maintenance of lights, cabinets, fire system is evident on 10-02-2023
Resource and risk map of the entire Organization is evident.
Maintenance of the fire system: October 09, 2023 in compliance. The use of fire fighting systems is evident.
• Inspection of fire extinguishers and fire fighting elements: October 09, 2023 and June 27, 2023.
• Electrical maintenance of the facilities: September 13, 2023 and may 11, 2023 with its compliant inspection.
Brigade list with signatures of letters of commitment. Training March 2023.
Maintenance of emergency resources, date: October 10, 2023 and April 10, 2023.
• Emergency exits and evacuation routes are not blocked, sufficient in numbers, well signaled and according to the evacuation map. Workers can safely and quickly exit the premises. In interviews, they know how to get out
and always check that their emergency exits are enabled.
Drill:
Ammonia leak: December 15, 2022, both shifts participate.
Fire: 05-21-2023 one at night and 10-12-2023 one during the day.
First aid: June 2023, the certificate of exercise and brigadier is evident 06-23-2023.

Hazard identification and occupational risk assessment matrix, with 2022 review.
GT45 method.

Position: Industrial safety supervisor.
Hazard: Falls at the same level, slips, trips.
Risk: Damage to limbs.
Evaluation: Tolerable.
Control: Review of structures, use of PPE.
Evidence: The inspections by areas are evident, 10-19-2023 observations are evident, they have been reviewed. Delivery of PPE on 09-28-2023.

Position: Dresser
Hazard: Work in continuous position, forced.
Risk: Ergonomic damage
Evaluation: Tolerable.
Control: Rest feet and active pauses.
Evidence: Date of the 2020 ergonomic monitoring which shows the result as low.
There are videos of taking active breaks continuously each week.

Position: Cold room warehouse manager
Hazard: Exposure to low temperatures, falling objects.
Risk: Respiratory damage
Evaluation: Low.
Control: Provision of PPE, order and cleanliness on site.
Evidence: The inspection at the site on 10-27-2023 is evident, with no news.
Control of entry and exit times of the cameras, photo evidence
Vitamins to strengthen the immune system August 2023.

Position: Forklift Operator.
Hazard: Shocks, blows with mobile equipment.
Risk: Damage to the spine.
Evaluation: Low.
Control: Signage, administrative, preventive controls.
Evidence: The training as a forklift operator and its risks are evident on 09-22-2023.
Forklift driving licenses: one case is evident from each one on 10-14-2026 and the other case is valid until 12-10-2026. And the training of the forklift operators on the risks and accident that occurred in the month of October on 10-31-2023 was recorded.

Inspections:
Inspection of Personal Protective Equipment. Date: 10/12/2023
Inspection of Fire Extinguishers and Cabinets: Date: 10/18/2023
Inspection of Safety Signs, Emergency Lamps and Evacuation Routes. Date: 10/02/2023
Inspections of medicine cabinets, first aid and bathrooms:
First aid kits: 08-14-2023.
Bathrooms and dining room: 08-14-2023.

Equipment Maintenance:
Maintain equipment in accordance with its maintenance plan.
Sample:
A 2023 equipment maintenance schedule is managed for each machine.
Machine maintenance: January, February, March, April, May, June, July 2023.
Maintenance of cables and electrical panels: 10-23-2023 with their own technician.

Chemicals:
The use of chemicals such as ,water based paints, stored in ventilated areas, with their MSDS and inside buckets is evidenced. According to the safety regulations, you do not require an emergency shower or eyewash.
There is evidence of training in the handling of chemicals on September 22 , 2023.
It is evident that there is containment container, an anti-spill kit also safety signage for the fuel tank. See photos.

Occupational Medical:
Doctor's Record date: June 04 2021, it doesn't have expiration date. They have first aid kits in administrative and production area, they are available and are sufficient in number according with law.
It is verified in contracts and income records, that there is a doctor and nurses per work shift.
Medical Dispensary Permit valid September 06, 2024.
Health monitoring plan, version 05, 2023
Organization performs occupational examinations according to the risks of pre-employment, annual

periodic and retirement. Sample: all workers in September 2023 and August 2023. The medical area complies with the ministerial agreement 1404, where all the characteristics and equipment are detailed as required instruments.

Monitoring of particulate matter: Date April 2023.

Noise, light and ergonomic monitoring carried out in April 2023.

Actions such as delivery of PPE, limitation of exposure times to noise, change of lighting in administrative offices, desks and ergonomic equipment are evident.

Facilities Tour:

It is evidenced: Layout of the plant, map of resources and risks. signal evacuation, preventive and informative sign is evidenced in all areas of the organization. The evacuation Sign is visible to all workers and is available at all sites. There are fire extinguishers, emergency lights, alarm buttons, smoke detectors, the same ones that are not obstructed.

It is evident that the staff uses PPE: work clothes, ear muffs, dielectric shoes, gloves.

There is evidence of emergency exits according to your evacuation map and their fire permit, they are sufficient, they are all working, they are not blocked.

3.2 Training

- Training in handling chemicals and MSDS: held on July 20, 2023, and January 10, 2023.

- Training in first aid and emergency drill with injured person on March 29, 2023. 12 trained first aiders participate and according to the number of workers, Two shift, and their evacuation plan, these are sufficient.

- Training on risks in the workplace February 12, 2023, and May 24, 2023.

- Policy training, objectives, internal regulations November 2, 2023, and May 19, 2023.

- Training in use of PPE June 10, 2023.

Others:

HIV AIDS: 09-13-2023.

Psychosocial: 10-26-2023.

Alcohol and drugs: 08-22-2023.

3.3

Bathrooms

The bathrooms are distributed through the company, in office there are ten bathrooms and in production, for each area there are 35 bathrooms for men and women. are more than 4 areas. They comply with the minimum

number of bathrooms for the number of workers; they are cleaning, and constantly disinfected. The workers during the interviews they confirm their free access and good hygienic conditions. Daily maintenance is carried out

several times and they have toilet paper, soap, hand dryer, alcohol gel and garbage can with a lid.

Potable Water

All people have access to potable water, it has water dispensers in Dining Room, administrative and production areas, each employee has their own glass, potable water has certifications. Last microbiological analysis carried out on October 09, 2023 and comply with INEN 2200.

Sanitary facilities for food storage

The kitchen is checked, and it is evident that they are clean and tidy. Each worker has their cutlery and plates to eat. (See photos)

Inspections are made every month, the doctor verifies his status on May, June, July, August and September 2023.

Microbiological monitoring of food carried out on September 25, 2023. The samples meet the parameters.

There is evidence of hand washing in each area of the factory. with soap and water. Disinfectants are evident. (See photos)

On the walk around, there is the access to clean toilet facilities and to potable water, and sanitary facilities for food storage were evidence about (view photos).

Employees have access to clean toilet facilities, potable water. There is a bathroom in each floor according to law for the number of workers.

Potable water was freely available in all areas.

3.4 Accommodation,

They are houses for workers from other provinces, for administrative positions. It is a benefit for those who wish to use them. There are outside the company and have bus routes to come and go to the company. It is evident that the houses have individual rooms, bathrooms for each room, have a fire-fighting system, and a safe infrastructure.

3.5 Safety, health and environment technician: Abel Davalos registered on 11-29-2021. What is required by law is the Health and Safety Committee, which is made up of 50% of the employers and 50% of the workers. It is evident that it meets monthly in the training room, they have all the facilities and the last meetings in July, August and september 2023 have discussed issues such as accidents, occupational exams, improvements in increase in fire extinguishers in the dining room and installation of hand dryers in the men's bathroom. It is evident that the election of the workers' representatives was by simple, free and transparent election. It was carried out on December 2022 # , OP-2022-105112 and they last for two years.

Evidence examined:

Interview
Walk around the plant.
Legal record.
Training records.
Emergency plan.
Exams records

Any other comments:

Nothing to report

Does the facility have general and occupational Health & Safety policies and procedures that are fit for purpose and are these communicated to workers?

☒ Yes ☐ No

Please give details:

H&S policy dated 05-23-2023. The policy establishes the principle of reducing hazards and improving controls to protect the workers.
Communicated to its workers in August, September and October 2023. It is placed in the changing rooms, bathrooms and at the entrances to the factory.
Communicated to suppliers every time they enter the factory.
Example:
Contractor: Byron Cruz.
• Wall plastering work date: 04-01-2023.
Contractor: CLG
• Metalworking work dated 7-11-2023.

Are the policies included in workers' manuals?

☒ Yes ☐ No

Please give details:

Internal work regulations: MDT-DRTSP5-2017-5361-R2-LU dated 06-9-2017, still valid.
Health and safety regulation: MDT-RHS2022213939 dated 06-09-2022.
Hazards and Risks Matrix: Methodology: GTC 45. The risk matrix is applicable to all positions in the Organization, including vulnerable workers.
The use of chemicals such as ,water based paints, stored in ventilated areas, with their MSDS and inside buckets is evidenced. According to the safety regulations, you do not require an emergency shower or eyewash.
There is evidence of training in the handling of chemicals on September 22 , 2023.

Are there any structural additions without required permits/inspections (e.g. floors added)?

☐ Yes ☒ No

Please give details:

The Organization has not carried out any restructuring of the facilities.

Are visitors to the site informed on H&S and provided with personal protective equipment?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Visitors are inducted, dealing with topics: emergency plan, evacuation routes, meeting points, use of personal protective equipment. Evidence: Training records from August 2023.
Is a medical room or medical facility provided for workers?(This section is to list evidence to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate))	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Doctor's Record date: June 04 2021, it doesn't have expiration date. They have first aid kits in administrative and production area, they are available and are sufficient in number according with law. It is verified in contracts and income records, that there is a doctor and nurses per work shift. Medical Dispensary Permit valid September 06, 2024. Health monitoring plan, version 05, 2023 Organization performs occupational examinations according to the risks of pre-employment, annual periodic and retirement. Sample: all workers in September 2023 and august 2023. The medical area complies with the ministerial agreement 1404, where all the characteristics and equipment are detailed as required instruments.
Is there a doctor or nurse on site or there is easy access to first aider/ trained medical aid?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Doctor's Record date: June 04 2021, it doesn't have expiration date. They have first aid kits in administrative and production area, they are available and are sufficient in number according with law. It is verified in contracts and income records, that there is a doctor and nurses per work shift. Training in first aid and emergency drill with injured person on March 29, 2023. 12 trained first aiders participate and according to the number of workers, Two shift, and their evacuation plan, these are sufficient. The tour shows that they can access all first aid, and they are in every worker area.
Where the facility provides worker transport – is it fit for purpose, safe, maintained and operated by competent persons e.g. buses and other vehicles?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The transport are buses with permits according to the law and regulations, the respective maintenance of the six buses is evidenced. Free transportation by sectors is provided to workers. In interviews, workers see it as a great advantage. The vehicles have been reviewed monthly, Sample Bus GBR 1189 dated June 1, 2023, without remarks.
Is secure personal storage space provided for workers in their living space and is fit for purpose?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: There are houses for workers who want to live there. but it is not mandatory, it is an aid for the workers of the provinces. The houses are outside the factory. remote and no problems with storage of hazardous materials.

<p>Are H&S Risk assessments are conducted (including evaluating the arrangements for workers doing overtime e.g. driving after a long shift) and are there controls to reduce identified risk?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Hazards and Risks Matrix: Methodology: GTC 45 The risk matrix is applicable to all positions in the Organization, including vulnerable workers. Position: Industrial safety supervisor. Hazard: Falls at the same level, slips, trips. Risk: Damage to limbs. Evaluation: Tolerable. Control: Review of structures, use of PPE. Evidence: The inspections by areas are evident, 10-19-2023 observations are evident, they have been reviewed. Delivery of PPE on 09-28-2023.</p> <p>Position: Dresser Hazard: Work in continuous position, forced. Risk: Ergonomic damage Evaluation: Tolerable. Control: Rest feet and active pauses. Evidence: Date of the 2020 ergonomic monitoring which shows the result as low. There are videos of taking active breaks continuously each week.</p> <p>Position: Cold room warehouse manager Hazard: Exposure to low temperatures, falling objects. Risk: Respiratory damage Evaluation: Low. Control: Provision of PPE, order and cleanliness on site. Evidence: The inspection at the site on 10-27-2023 is evident, with no news. Control of entry and exit times of the cameras, photo evidence Vitamins to strengthen the immune system August 2023.</p> <p>Position: Forklift Operator. Hazard: Shocks, blows with mobile equipment. Risk: Damage to the spine. Evaluation: Low. Control: Signage, administrative, preventive controls. Evidence: The training as a forklift operator and its risks are evident on 09-22-2023. Forklift driving licenses: one case is evident from each one on 10-14-2026 and the other case is valid until 12-10-2026. And the training of the forklift operators on the risks and accident that occurred in the month of October on 10-31-2023 was recorded.</p>
<p>Is the site meeting its legal obligations on environmental requirements including required permits for use and disposal of natural resources?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Environmental License: DMA-LA-IV-2016-003 for project. Official letter from the last environmental compliance audit, approved in January 2023, with official letter DAPAV-SUB-2023-0148. Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023. Before, the Nirsa group (proposroja) was in the city of Guayaquil and they moved to Posorja to their own area, exclusive for fishing. Its land use permit is industrial and allows the type of industrial. The land where the factory is located is non-productive or agricultural land.</p>

Is the site meeting its customer requirements on environmental standards, including the use of banned chemicals?

☒ Yes ☐ No

Please give details:

Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023. In warehouses of raw materials, there are food grade products and in some contractions they are irritating, shows The MSDS and the physical marking and storage status of the products are reviewed. The records of use of each product are evidenced, the protection measures in case of emergency such as PPE, anti-spill kit and emergency shower are evidenced.

4 - Child Labour Shall Not Be Used [Summary of Findings]

4: Compliance Requirements

4.1 There shall be no new recruitment of child labour.

4.2 Companies shall develop or participate in and contribute to policies and programmes which provide for the transition of any child found to be performing child labour to enable her or him to attend and remain in quality education until no longer a child.

4.3 Children and young persons under 18 shall not be employed at night or in hazardous conditions.

4.4 These policies and procedures shall conform to the provisions of the relevant ILO Standards.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

The company has a necessary policy and procedures that include a remediation plan regarding child labor:

Internal regulations #MDT-DRTSP5-2017-5361-R2-LU with approval date 06-09-20217 , that details how these possible risks are controlled; It

covers all issues such as child labour not be used. Last revision of the January 2023.

There is a policy that child labor is committed and prohibited on August 2023. It establishes that if someone is identified, the steps to follow and their remediation process are evident.

During the tour, there is no evidence of work by child.

42 samples are reviewed in which it is validated that they are over 18 years of age. It is verified that all workers are over 18 years of age and it is validated in an interview and in a document review of their ID, their driver's licenses and human talent documents. The youngest worker is 20 years old.

It is evidenced that the human talent staff was trained on August 2023 on child labor issues, how to identify it and what requirements to request from workers so that it does not happen.

Evidence examined:

Interviews

Tour of the facilities.

Identifications, folders, work and education certificates.

Any other comments:

Nothing to report.

Legal age of employment:	18
Age of youngest worker found:	20
Are there children present on the work floor but not working at the time of audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Percentage of under 18's at this site (of total workers)	0.0%
Are workers under 18 subject to hazardous work assignments?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: During the tour, there is no evidence of work by child. 42 samples are reviewed in which it is validated that they are over 18 years of age. It is verified that all workers are over 18 years of age and it is validated in an interview and in a document review of their ID, their driver's licenses and human talent documents. The youngest worker is 20 years old.

5 - Living Wages are Paid
[Summary of Findings]

5: Compliance Requirements

5.1 Wages and benefits paid for a standard working week meet, at a minimum, national legal standards or industry benchmark standards, whichever is higher. In any event wages should always be enough to meet basic needs and to provide some discretionary income.

5.2 All workers shall be provided with written and understandable information about their employment conditions in respect to wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid.

5.3 Deductions from wages as a disciplinary measure shall not be permitted nor shall any deductions from wages not provided for by national law be permitted without the expressed permission of the worker concerned. All disciplinary measures should be recorded.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

5.1

Direct employees and those from vigilance contractor have written labour contracts established with respective companies, which indicate corresponding agreed salaries; employees are paid, at least, legal minimum wage (legal minimum wage on 2022 is 425 dollars per month and legal minimum wage on 2023 is 450 dollars per month); direct employees are paid per month.

Legal maximum: Art. 47: 8 hours per day. No more than 40 hours per week.

Legal maximum: Art. 55: 4 hours per day and 12 per week.

Legal minimum: Compensation 25% additional per hour during night shifts

50% additional with per extra hour after working schedule (supplementary

hours) Saturday, Sunday, and holidays (+ 100% recharge from diary wage).

Production peak from March to October 2023.

The 42 documents are reviewed, including the worker from production, maintenance, administrative and cleaning.

42 sampled employees from July 2023 (peak)

42 sampled employees from January 2023 (lowest)

42 employees sampled from October 2023. (most recent paid period)

It is evident that the wages are established in the contracts, as well as the normal working day of 40 hours.

It is evident that all cases of the sample taken, that the salary payments are in accordance with the leagal minimum law, in accordance with the contracts.

All pay rolls of the sample taken reflect the contracts in the month of January, july and October 2023.

Administrative schedule from 8:00 a.m. to 16:30 with 30 minuts to eat.

Production schedule from 6:30 a.m. to 15:00 and 15:00 to 23:30 with 30 minuts to eat. Two work shift.

5.2

All employees are provided with respective payrolls per each pay period; statements of internal regulations are communicated to new employees, and to all employees through refresher sessions; this document indicates commitment of the company for compliance of labour practices principles and establishes that employees must be provided with a worthy salary, also, Internal Work Regulation, posted into facility, indicates working schedules to be performed by operative and administrative employees; written labour contracts stablishes agreed wages.

Payrolls are provided to employees with a detail of their salary and any bonus or discounts if applied as Social security loans.

Sample:

42 sampled employees from July 2023 (peak)

42 sampled employees from January 2023 (lowest)

42 employees sampled from October 2023. (most recent paid period)

5.3

There is no evidence that deductions are applied as disciplinary measure. However they are established in the Internal Regulations and is in accordance with local law.

The deductions that are made are in accordance with the law: social security, unsecured loans and social security mortgages.

The payment list contains information:

Income:

- Salary
- Overtime Pay

Expenses:

- Social security discount
- Unsecured and Mortgage Loans
- Organization loans - no interest

Good example:

Transportation, food and houses for accommodation are free and their use is voluntary. Payment roles are reviewed, workers are interviewed and the transport unit and route are verified.

Evidence examined:

Internal Work Regulation.

Payrolls and attendance records.

Training records

Interviews with workers

Legal documents of the Organization

42 sampled employees from January, July and October 2023.

Any other comments:

nothing to report.

Summary Information

Criteria	Local Law	Actual at the Site	Is this part of a Collective Bargaining Agreement?
Standard/Contracted work hours: (Maximum legal and actual required working hours excluding overtime, please state if possible per day, week, and month)	Legal Maximum Per Day: 8.0 Per Week: 40.0 Per Month: 160.0	Actual Per Day: 8.0 Per Week: 40.0 Per Month: 160.0	NO
Overtime hours: (Maximum legal and actual overtime hours, please state if possible per day, week, and month)	Legal Maximum Per Day: 4.0 Per Week: 12.0 Per Month: 48.0	Actual Per Day: 4.0 Per Week: 12.0 Per Month: 46.0	NO
Wage for standard/contracted hours: (Minimum legal and actual minimum wage at site, please state if possible per hr, day, week, and month)	Legal Maximum Per Day: null Per Week: null Per Month: 450.0	Actual Per Day: 0.0 Per Week: 0.0 Per Month: 455.0	NO
Overtime wage: (Minimum legal and actual minimum overtime wage at site, please state if possible per hr, day, week, and month)	Legal Maximum Per Day: 22.5 Per Week: 112.5 Per Month: null	Actual Per Day: 22.5 Per Week: 112.5 Per Month: 0.0	NO

Wages Analysis:

Were accurate records shown at the first request?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Sample Size Checked (State number of worker records checked and from which weeks/months – should be current, peak, and random/low. Please see SMETA Best Practice Guidance and Measurement Criteria)	<p>All employees are provided with respective payrolls per each pay period; statements of internal regulations are communicated to new employees, and to all employees through refresher sessions; this document indicates commitment of the company for compliance of labour practices principles and establishes that employees must be provided with a worthy salary, also, Internal Work Regulation, posted into facility, indicates working schedules to be performed by operative and administrative employees; written labour contracts establishes agreed wages.</p> <p>Payrolls are provided to employees with a detail of their salary and any bonus or discounts if applied as Social security loans. It is evident that the wages are established in the contracts, as well as the normal working day of 40 hours.</p> <p>It is evident that all cases of the sample taken, that the salary payments are in accordance with the legal minimum law, in accordance with the contracts.</p> <p>All pay rolls of the sample taken reflect the contracts in the sample month</p> <p>Sample: 42 sampled employees from July 2023 (peak) 42 sampled employees from January 2023 (lowest) 42 employees sampled from October 2023. (most recent paid period)</p>
Are there different legal minimum wage grades? If Yes, please specify all.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

If there are different legal minimum grades, are all workers graded and paid correctly?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable Please give details:
For the lowest paid production workers, are wages paid for standard/contracted hours (excluding overtime) below or above the legal minimum?	<input type="checkbox"/> Below legal min <input type="checkbox"/> Meet <input checked="" type="checkbox"/> Above
Lowest actual wages found: Note: full time employees and please state hour / week / month etc.	All workers receive salaries above, \$455.
Please indicate the breakdown of workforce per earnings	0.0% of workforce earning under minimum wage 0.0% of workforce earning minimum wage 100.0% of workforce earning above minimum wage
Bonus Scheme found: Please specify details:	Bonus Scheme found: Bonus Scheme found: There are totally free benefits such as food subsidy, accommodation and transportation. See good example. Note: type of employee (e.g. full time, temp, etc.) and please state which units e.g. /hour /week /month etc.
What deductions are required by law e.g. social insurance? Please state all types:	- Social security discount - Unsecured and Mortgage Loans - Rent tax - Reserve fund.
Have these deductions been made?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Please list all deductions that have been made.	- Social security discount - Unsecured and Mortgage Loans - Rent tax - Reserve fund. These discounts are allowed by law. Deductions are reviewed in sample pay roles and when interviewing workers
Please list all deductions that have not been made.	None
Were appropriate records available to verify hours of work and wages?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were any inconsistencies found? (if yes describe nature)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Do records reflect all time worked? (For instance, are workers asked to attend meetings before or after work but not paid for their time)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Payrolls are provided to employees with a detail of their salary and any bonus or discounts if applied as Social security loans. It is evident that the wages are established in the contracts, as well as the normal working day of 40 hours. It is evident that all cases of the sample taken, that the salary payments are in accordance with the legal minimum law, in accordance with the contracts. All pay rolls of the sample taken reflect the contracts in the sample month Sample: 42 sampled employees from July 2023 (peak) 42 sampled employees from January 2023 (lowest) 42 employees sampled from October 2023. (most recent paid period)

Is there a defined living wage: This is not normally minimum legal wage. If answered yes, please state amount and source of info: Please see SMETA Best Practice Guidance and Measurement Criteria.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
If yes, what was the calculation method used.	<input type="checkbox"/> ISEAL/Anker Benchmarks <input type="checkbox"/> Asia Floor Wage <input type="checkbox"/> Figures provided by Unions <input type="checkbox"/> Living Wage Foundation UK <input type="checkbox"/> Fair Wear Wage Ladder <input type="checkbox"/> Fairtrade Foundation <input type="checkbox"/> Other – please give details:
Are there periodic reviews of wages? If Yes give details (include whether there is consideration to basic needs of workers plus discretionary income).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Annually by law the government presents the new minimum every December. You must raise a value according to the conditions of the country, that percentage is calculated by the government. Sample: legal minimum wage on 2022 was 420 dollars per month legal minimum wage on 2023 is 450 dollars per month.
Are workers paid in a timely manner in line with local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Is there evidence that equal rates are being paid for equal work:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Cases of operators with the same activities and positions are considered. The employment contracts are reviewed, the three months of payment roles taken. It is evident that they receive the highest salary. An administrative case is taken, it is evident that each receives the same base salary, their contracts and the three months of pay roles taken are reviewed. The amount that everyone wins. It is transparent and clear the amount that each one earn.
How are workers paid:	<input type="checkbox"/> Cash <input type="checkbox"/> Cheque <input checked="" type="checkbox"/> Bank Transfer <input type="checkbox"/> Other

Good Example		Evidence																		
[Back to findings summary]																				
<table><tr><th colspan="2">Good Example</th></tr><tr><td>Status</td><td>OPEN</td></tr><tr><td>Reference</td><td>ZAF600255071</td></tr><tr><td>Clause</td><td>5 - Living Wages are Paid</td></tr><tr><td>Issue Title</td><td>429 - Company provides a range of additional benefits, including: free medical care on-site, holiday and other bonuses, free library, food subsidy, free transport</td></tr><tr><td>Subcategory</td><td>Benefits & Insurance</td></tr><tr><td>New or carried over?</td><td><input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over</td></tr><tr><td>Explanation to the good example</td><td>El transporte, la comida y las casas para acomodación son gratuitas y voluntarias su uso. Transportation, food and houses for accommodation are free and their use is voluntary.</td></tr><tr><td>Evidence</td><td>Se revisa y se verifica por entrevistas y roles de pago que los beneficios de transporte, comida y acomodación son gratuitos y libres de uso. It is reviewed and verified through interviews and payment roles that transportation, food and accommodation benefits are free and free to use.</td></tr></table>		Good Example		Status	OPEN	Reference	ZAF600255071	Clause	5 - Living Wages are Paid	Issue Title	429 - Company provides a range of additional benefits, including: free medical care on-site, holiday and other bonuses, free library, food subsidy, free transport	Subcategory	Benefits & Insurance	New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	Explanation to the good example	El transporte, la comida y las casas para acomodación son gratuitas y voluntarias su uso. Transportation, food and houses for accommodation are free and their use is voluntary.	Evidence	Se revisa y se verifica por entrevistas y roles de pago que los beneficios de transporte, comida y acomodación son gratuitos y libres de uso. It is reviewed and verified through interviews and payment roles that transportation, food and accommodation benefits are free and free to use.	
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6 - Working Hours are not Excessive [Summary of Findings]

6: Compliance Requirements

6.1 Working hours must comply with national laws, collective agreements, and the provisions of 6.2 to 6.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.

6.2 Working hours, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week.

6.3 All overtime shall be voluntary. Overtime shall be used responsibly, taking into account all the following: the extent, frequency and hours worked by individual workers and the workforce as a whole. It shall not be used to replace regular employment. Overtime shall always be compensated at a premium rate, which is recommended to be not less than 125% of the regular rate of pay.

6.4 The total hours worked in any 7-day period shall not exceed 60 hours, except where covered by clause 6.5 below.

6.5 Working hours may exceed 60 hours in any 7-day period only in exceptional circumstances where all of the following are met:

6.6 Workers shall be provided with at least one day off in every 7-day period or, where allowed by national law, 2 days off in every 14-day period.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

6.1

The 42 documents are reviewed, including the worker from production, maintenance, administrative and cleaning.

42 sampled employees from July 2023 (peak)

42 sampled employees from January 2023 (lowest)

42 employees sampled from October 2023. (most recent paid period)

It is evident that the wages are established in the contracts, as well as the normal working day of 40 hours.

It is evident that all cases of the sample taken, that the salary payments are in accordance with the legal minimum law, in accordance with the contracts.

All pay rolls of the sample taken reflect the contracts in the month of January, July and October 2023.

Administrative schedule from 8:00 a.m. to 16:30 with 30 minutes to eat.

Production schedule from 6:30 a.m. to 15:00 and 15:00 to 23:30 with 30 minutes to eat. Two work shift.

6.2

The working hours are 40 hours per week, according to Ecuadorian legislation. Hours of work are defined in employment contracts.

42 work contracts are reviewed, where it is evidenced that it is established that the work day is 40 hours a week.

6.3 Overtime is voluntary, it is confirmed in interviews with workers.

The payment of overtime established by Ecuadorian legislation is given as follows: Legal minimum:

Compensation 25% additional per hour during night shifts 50% additional with per extra hour after working schedule (supplementary hours) Saturday, Sunday and holidays (+ 100% recharge from diary wage). Legal

maximum - Supplementary Overtime: Art. 55: 4 hours per day, 12 per week. It is evident that 100%

Biometric System in operation is evidenced.

Work hours records for January, July and October 2023 are evidenced.

Interviews were carried out with 42 workers, where the use of the biometric system and issues related to Hours of work were confirmed, the hours of work complied with what was established by Ecuadorian legislation.

6.4; 6.5

It is evident that the staff does not work more than 60 hours a week.

Payment roles are reviewed.

Most relevant sample of overtime per week:

Case: 1

Month of January 2023:

- Overtime (50%) registered: 9 hours/ week.

4 hours/ day.

- Saturday an Sunday (100%) registered:

4 hours/ week.

4 hours/ day.

Highest overtime per month is 43 hours.

Month of July 2023:

- Overtime (50%) registered: 12 hours/ week.

4 hours/ day.

- Saturday an Sunday (100%) registered:

4 hours/ week.

4 hours/ day.

Highest overtime per month is 46 hours.

Month of October 2023:

- Overtime (50%) registered: 10 hours/ week.

4 hours/ day.

- Saturday an Sunday (100%) registered:

4 hours/ week.

4 hours/ day.

Highest overtime per month is 44 hours.

Total hours worked per week.

Case: 1

Month of January 2023:

- There is no excess of 60 hours, total hours worked are recorded: 53 hours per week. (40 standard hours + 9 overtime hours+ 4 hours of saturday) comply.
Month of July 2023:
- There is no excess of 60 hours, total hours worked are recorded: 56 hours per week. (40 standard hours + 12 overtime hours+ 4 hours of saturday) comply.
Month of October 2023:
- There is no excess of 60 hours, total hours worked are recorded: 54 hours per week. (40 standard hours + 10 overtime hours+ 4 hours of saturday) comply.

6.6

The organization has 1 day off in the week.

Evidence examined:

Contracts

- Payrolls

The 42 documents are reviewed, including the worker from production, maintenance, administrative and cleaning.

42 sampled employees from July 2023 (peak)

42 sampled employees from January 2023 (lowest)

42 employees sampled from October 2023. (most recent paid period)

Any other comments:

Nothing to report.

Working hours' analysis

Systems & Processes

What timekeeping systems are used?

Biometric System: system that validates and approves overtime.

Is sample size same as in wages section?

☒ Yes ☐ No

Please give details:

Are standard/contracted working hours defined in all contracts/employment agreements? (If no, please give details including % and which type of workers do NOT have standard hours defined in contracts/employment agreements.)

☒ Yes ☐ No

Are there any other types of contracts/employment agreements used?

☐ Yes ☒ No

Do any standard/contracted working hours defined in contracts/employment agreements exceed 48 hours per week? (If yes, please detail hours, %, types of workers affected and frequency.)

☐ Yes ☒ No

Are workers provided with at least 1 day off in every 7-day-period, or 2 in 14-day-period?

☒ 1 in 7 days ☐ 2 in 14 days ☐ No (please explain)

Is this allowed by local law?

☒ Yes ☐ No

Maximum number of days worked without a day off (in sample):

6

Standard/Contracted Hours worked

Were standard working hours over 48 hours per week found? (If yes, % of workers & frequency)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No % of workers: null% Frequency:
Any local waivers/local law or permissions which allow averaging/annualised hours for this site? (If yes, please give details.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Overtime Hours worked	
Actual overtime hours worked in sample (State per day/week/month)	Most relevant sample of overtime per week: Case: 1 Month of January 2023: • Overtime (50%) registered: 9 hours/ week. 4 hours/ day. • Saturday an Sunday (100%) registered: 4 hours/ week. 4 hours/ day. Highest overtime per month is 43 hours. Month of July 2023: • Overtime (50%) registered: 12 hours/ week. 4 hours/ day. • Saturday an Sunday (100%) registered: 4 hours/ week. 4 hours/ day. Highest overtime per month is 46 hours. Month of October 2023: • Overtime (50%) registered: 10 hours/ week. 4 hours/ day. • Saturday an Sunday (100%) registered: 4 hours/ week. 4 hours/ day. Highest overtime per month is 44 hours.
Combined hours (standard or contracted + overtime hours = total) over 60 found?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Total hours worked per week. Case: 1 Month of January 2023: • There is no excess of 60 hours, total hours worked are recorded: 53 hours per week. (40 standard hours + 9 overtime hours+ 4 hours of saturday) comply. Month of July 2023: •There is no excess of 60 hours, total hours worked are recorded: 56 hours per week. (40 standard hours + 12 overtime hours+ 4 hours of saturday) comply. Month of October 2023: •There is no excess of 60 hours, total hours worked are recorded: 54 hours per week. (40 standard hours + 10 overtime hours+ 4 hours of saturday) comply.
Approximate percentage of total workers on highest overtime hours:	10.0%
Is overtime voluntary? (Please detail evidence e.g. Wording of contract / employment agreement / handbook / worker interviews / refusal arrangements)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Conflicting Information Please give details: In the interview, the workers confirm that they always volunteer to do overtime.
Overtime premium	

Are the correct legal overtime premiums paid? (Please give details of normal day overtime premium as a % of standard wages)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A – there is no legal requirement to OT premium Please give details: The payrolls for the three months of the sample are reviewed and the correct payment is confirmed. It is correct legal overtime premiums paid in all cases. 150% additional with per overime after working schedule (supplementary hours) Saturday, Sunday and holidays (+ 200% recharge from diary wage). Workers confirms this in interviews.
Is overtime paid at a premium?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Overtime is paid monthly to all workers on their payroll. In Ecuador Company pays 150% for overtime at a premium, which is more than the minimum required by SEDEX of 125%. Workers confirms this in interviews.
If the site pays less than 125% OT premium and this is allowed under local law, are there other considerations? Please complete the boxes where relevant.	<input checked="" type="checkbox"/> No <input type="checkbox"/> Consolidated pay <input type="checkbox"/> Collective Bargaining agreements <input type="checkbox"/> Other
Please give details	N/A - Site pays above 125% OT premium
If more than 60 total hours per week and this is legally allowed, are there other considerations? Please complete the boxes where relevant. (Please explain any checked boxes above e.g. detail of consolidated pay / CBA or Other)	<input checked="" type="checkbox"/> Overtime is voluntary <input type="checkbox"/> Onsite Collective bargaining allows 60+ hours/week is voluntary <input type="checkbox"/> Safeguards are in place to protect worker's health and safety <input type="checkbox"/> Site can demonstrate exceptional circumstances <input type="checkbox"/> Other reasons (please specify)
Please explain any checked boxes above e.g. detail of consolidated pay / CBA or other	N/A The Organization does not work more than 60 hours a week.
Is there evidence that overtime hours are being used for extended periods to make up for labour shortages or increased order volumes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If sufficient workers cannot be hired, are new working time arrangements explored to ensure that overtime is the exception rather than the rule?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

7 - No Discrimination is Practiced [Summary of Findings]

7: Compliance Requirements

7.1 There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.
The last contracting process is reviewed:
Job position: Operator.
Date: October 2023.
Method: by internet in networks.
Some kind of discriminatory word is not described. Only basic study competence is requested, such as knowing how to read and write.
The pay roles of two operators with the same position and activities are reviewed, it is evident that they earn the same regardless of gender or age.
It is evident that they have an anti-discrimination policy in their code of ethics and internal regulations, revised in August 2023. Training was provided to all workers and suppliers Sample: New on 10-3-2023 and all staff on 10-4-2023. To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.

The interviews confirm that there are no cases of discrimination.

Evidence examined:

Rules of Procedure.
Interviews.
Hiring of workers.
Recruitment announcements.
Employee pay roles.

Any other comments:

Nothing to report.

Gender breakdown of Management + Supervisors (Include as one combined group)	Male: 75.0% Female: 25.0%		
Number of women who are in skilled or technical roles (e.g. where specific qualifications are needed i.e. machine engineer / laboratory analyst)	There are more than 100 women in positions such as line supervisors, quality control, laboratory technicians, managers and even assistant managers.		
Is there any evidence of discrimination based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation?	<input type="checkbox"/> Hiring <input type="checkbox"/> Promotion	<input type="checkbox"/> Compensation <input type="checkbox"/> Termination or retirement	<input type="checkbox"/> Access to training <input checked="" type="checkbox"/> No evidence of discrimination found

Please give details	<p>There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.</p> <p>The last contracting process is reviewed: Job position: Operator. Date: October 2023. Method: by internet in networks. Some kind of discriminatory word is not described. Only basic study competence is requested, such as knowing how to read and write. The pay roles of two operators with the same position and activities are reviewed, it is evident that they earn the same regardless of gender or age. It is evident that they have an anti-discrimination policy in their code of ethics and internal regulations, revised in August 2023. Training was provided to all workers and suppliers Sample: New on 10-3-2023 and all staff on 10-4-2023. To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.</p> <p>The interviews confirm that there are no cases of discrimination.</p>
Professional Development	
What type of training and development are available for workers?	New on 10-3-2023 and all staff on 10-4-2023. To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.
Are HR decisions e.g. promotion, training, compensation based on objective, transparent criteria? (If no, please provide details)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

8 - Regular Employment Is Provided [Summary of Findings]

8: Compliance Requirements

8.1 To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.

8.2 Obligations to employees under labour or social security laws and regulations arising from the regular employment relationship shall not be avoided through the use of labour-only contracting, sub-contracting, or home-working arrangements, or through apprenticeship schemes where there is no real intent to impart skills or provide regular employment, nor shall any such obligations be avoided through the excessive use of fixed-term contracts of employment.

Additional Elements: Responsible Recruitment

8.3 Suppliers have full understanding of the entire recruitment process and assess all labour recruiters and intermediaries against legal and/or ethical requirements.

8.4 There are effective management systems in place to identify and monitor the hiring and management of all migrant workers, contract workers, agency workers, temporary or casual labour. The supplier shall implement processes to enable adequate control over agencies with regards the above points and related legislation.

8.5 Employment agencies must only supply workers registered with them.

8.6 Workers pay no recruitment fee at any stage of the recruitment process.

8.7 Worker contracts accurately reflect the agreed payment and terms in the recruitment process and are understood and signed by workers.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

8.1/8.2

42 own worker contracts are reviewed. All clearly establish working conditions, work hours, obligations, bonuses, overtime, working time, all are indefinite.

All workers are affiliated to social security. Payments and certificates from the control authority are reviewed.

On the audit days there were no contractors.

8.3

The human talent staff clearly understands the selection, evaluation and hiring process. They know Ecuadorian law. contracting times, for example the trial time that is limited. Two workers from the human talent department are interviewed and validated.

8.4

There are no migrants, 100% are Ecuadorians by birth or already have their nationality. Does not apply. All workers are directly hired. validated in roles and interviews.

8.5

Does not apply. all workers are directly hired. validated in roles and interviews.

8.6

Workers pay no recruitment fee. Interviews confirms.

8.7

Worker contracts accurately reflect the agreed payment and terms in the recruitment process and are understood and signed by workers. 42 own worker contracts are reviewed. Interviews confirms.

Evidence examined:

42 own worker contracts are reviewed.
Interviews.
internal regulations.
Walk around.
Production orders.

Any other comments:

Nothing to report.

Responsible Recruitment	
All Workers	
Were all workers presented with terms of employment at the time of recruitment, did they understand them and are they same as current conditions?	<input checked="" type="checkbox"/> Terms & Conditions presented <input checked="" type="checkbox"/> Understood by workers <input checked="" type="checkbox"/> Same as actual conditions
Did workers pay any fees, taxes, deposits or bonds for the purpose of recruitment/placement? (If yes, please describe details and specific category(ies) of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Migrant Workers	
Type of work undertaken by migrant workers:	There are no migrants, 100% are Ecuadorians by birth or already have their nationality
Please give details about recruitment agencies for migrant workers:	Number of (in country) recruitment agencies used: 0 Number of (outside of local country) recruitment agencies used: 0
Are migrant workers' voluntary deductions (such as for remittances) confirmed in writing by the worker and is evidence of the transaction supplied by the facility to the worker?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: There are no migrants, 100% are Ecuadorians by birth or already have their nationality
Is there any observation on this finding?	There are no migrants, 100% are Ecuadorians by birth or already have their nationality
Are any migrant workers in skilled, technical or management roles? (This should include all migrant workers including permanent workers, temporary and/or seasonal workers)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Non-employee workers	
Recruitment Fees	
Are there any fees?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Agency Workers (if applicable) (Workers sourced from a local agent who are not directly paid by the site, but paid by the agency. Usually the agencies are paid by the site and the wages of the individual workers are paid by the agency.)	
Number of agencies used (average):	0
Please provide the names of agencies if applicable	Does not apply. all workers are directly hired. validated in pay rolls and interviews.
Were agency workers' age / pay / hours included within the scope of this audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Were sufficient documents for agency workers available for review?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there a legal contract agreement with all agencies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Agencies do not apply, they hire directly.
Does the site have a system for checking labour standards of agencies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Agencies do not apply, they hire directly.
Contractors (Contractors in this context are generally individuals who supply several workers to a site. Usually the contractors are paid by the site and the wages of the workers are paid by the contractor. Common terms include, gang bosses, labor provider.)	
Any contractors on site?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: On the day of the audit there were no contractors.
Do all contractor workers understand their terms of employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: On the day of the audit there were no contractors.

8A - Sub-Contracting and Homeworking
[Summary of Findings]**8A: Compliance Requirements**

8.A.1 There should be no sub-contracting unless previously agreed with the main client.

8.A.2 Systems and processes should be in place to manage sub-contracting, homeworking and external processing.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

Subcontracting does not apply, all productive activities are carried out by the company itself. An inspection is made in the facilities, production orders are reviewed, inputs and finished products stored in warehouses are verified.

There is no work at home, it is validated in contracts, interviews and by physically reviewing the jobs.

Evidence examined:

Productive activities.
Interviews
Production orders
Contracts,

Any other comments:

Nothing to report

Summary of sub-contracting – if applicable

Is there any sub-contracting at this site? ☐ Yes ☒ No

Summary of homeworking – if applicable

Is homeworking used at this site? ☐ Yes ☒ No

9 - No Harsh or Inhumane Treatment is Allowed

[Summary of Findings]

9: Compliance Requirements

9.1 Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited.

9.2 companies should provide access to a confidential grievance mechanism for all workers

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

9.1 There is not physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation to the workers.

They have an integrated policy with a revision date of August 2023 which is signed by the general management and motivates compliance and reduces risks related to human rights issues.

In addition, there is an internal regulation that details how these possible risks are controlled. Last revision January 2023.

Training was provided to all workers and suppliers Sample: New on 10-3-2023 and all staff on 10-4-2023. To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.

There is a matrix of "interested parties" in which the risks associated with its interested parties are identified.

Control: mailbox for complaints and training.

In the internal labor regulations establishes the prohibition of physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation.

9.2 Its mechanism is a mailbox, all interested parties can enter these mechanisms. It is evident that they can fill out the information anonymously, It is evident that the information is confidential, transparent, everyone can access it. which reaches the person in charge (head of organizational development). She has competence to review and treat any case. Workers are interviewed, everyone understands the mechanism and shows how it works on the physical mailbox is checked, there are no reported cases, the interviews confirm it. Efficient process and communication.

Communication channel for complaints and complaints:

There is a contract with the company EthicsGlobal, which receives complaints by email or letter and a committee reviews them, thereby establishing the investigators and recommendations to be addressed. Channels: Via website <https://nirsa.com/linea-etica/> or cell phone number 1800 001 135.

The transparency of the channel is evident:

The company EthicsGlobal has a contract signed on 12-29-2022 that includes confidentiality regarding the information received and the method used to treat cases.

The workers who belong to the ethics committee have signed confidentiality agreements and have been trained in treatment and confidentiality 08-22-2023.

Report of the month November 1, 2023: There are no reported cases, the interviews confirm it. Efficient process and communication.

Evidence examined:

Mailbox Via website <https://nirsa.com/linea-etica/> or cell phone number 1800 001 135.

Interviews.

Authorities demand platforms.

Any other comments:

Nothing to report

<p>Are there published, anonymous and/or open channels available for reporting any violations of Labour standards and H&S or any other grievances to a 3rd party?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Its mechanism is a mailbox, all interested parties can enter these mechanisms. It is evident that they can fill out the information anonymously, It is evident that the information is confidential, transparent, everyone can access it. which reaches the person in charge (head of organizational development). She has competence to review and treat any case. Workers are interviewed, everyone understands the mechanism and shows how it works on the physical mailbox is checked, there are no reported cases, the interviews confirm it. Efficient process and communication.</p> <p>Communication channel for complaints and complaints: There is a contract with the company EthicsGlobal, which receives complaints by email or letter and a committee reviews them, thereby establishing the investigators and recommendations to be addressed.</p> <p>Channels: Via website https://nirsa.com/linea-etica/ or cell phone number 1800 001 135.</p> <p>The transparency of the channel is evident: The company EthicsGlobal has a contract signed on 12-29-2022 that includes confidentiality regarding the information received and the method used to treat cases.</p> <p>The workers who belong to the ethics committee have signed confidentiality agreements and have been trained in treatment and confidentiality 08-22-2023.</p> <p>Report of the month November 1, 2023: There are no reported cases, the interviews confirm it. Efficient process and communication.</p>
<p>If yes, are workers aware of these channels and have access? Please give details.</p>	<p>Workers are interviewed, everyone understands the mechanism and shows how it works. It is evident that the information is confidential, transparent, everyone can access it. When interviewing the workers, they take entrance tests and it works.</p>
<p>If yes, what type of mechanism is used e.g. hotline, whistle blowing mechanism, comment box etc. Please give details.</p>	<p>Its mechanism is a physical and web mailbox, all interested parties can enter these mechanisms.</p> <p>There is a contract with the company EthicsGlobal, which receives complaints by email or letter and a committee reviews them, thereby establishing the investigators and recommendations to be addressed.</p> <p>Channels: Via website https://nirsa.com/linea-etica/ or cell phone number 1800 001 135.</p> <p>And physical is located in the workers' locker rooms, a place where management has not watch.</p>
<p>Which of the following groups is there a grievance mechanism in place for?</p>	<p><input checked="" type="checkbox"/> Worker <input checked="" type="checkbox"/> Communities</p> <p><input checked="" type="checkbox"/> Suppliers <input checked="" type="checkbox"/> Other</p>
<p>Please provide grievance mechanism details</p>	<p>All interested parties can enter these mechanisms, it is evident that they can fill out the information anonymously, It is evident that the information is confidential, transparent, everyone can access it.</p>
<p>Are there any open disputes?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details:</p>

Does the site encourage its business partners (e.g. suppliers) to provide individuals and communities with access to effective grievance mechanisms (e.g. helplines or whistle blowing mechanism)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Is there a published and transparent disciplinary procedure?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
If yes, are workers aware of these the disciplinary procedure?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Does the disciplinary procedure allow for deductions from wages (fines) for disciplinary purposes (see wages section)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:

10A - Entitlement to Work and Immigration
[Summary of Findings]

10A: Compliance Requirements

10.A.1 Only workers with a legal right to work shall be employed or used by the supplier.

10.A.2 All workers, including employment agency staff, must be validated by the supplier for their legal right to work by reviewing original documentation.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

There are no migrants, 100% are Ecuadorians by birth or already have their nationality. Does not apply. all workers are directly hired. validated in roles and interviews.

Evidence examined:

Interviews.
Walk around
Roles.
IDs, nationalities.

Any other comments:

Nothing to report

10B4 - Environment 4-Pillar [Summary of Findings]

10B4: Compliance Requirements

10.B4.1 Businesses as a minimum must meet the requirements of local and national laws related to environmental standards.

10.B4.2 Where it is a legal requirement, businesses must be able to demonstrate that they have the relevant valid permits including for use and disposal of resources e.g. water, waste etc.

10.B4.3 Businesses shall be aware of their end client's environmental standards/code requirements

10.B4.4 Suppliers should have an environmental policy, covering their environmental impact, which is communicated to all appropriate parties, including its own suppliers.

10.B4.5 Suppliers shall be aware of the significant environmental impact of their site and its processes.

10.B4.6 The site should measure its impacts, including continuous recording and regular reviews of use and discharge of natural resources e.g. energy use, water use (see 4-pillar audit report and audit checks for details).

10.B4.7 Businesses shall make continuous improvements in their environmental performance.

10.B4.8 Businesses shall have available for review any environmental certifications or any environmental management systems documentation

10.B4.9 Businesses should have a nominated individual responsible for co-ordinating the site's efforts to improve environmental performance.

10B4: Guidance for Observations

10.B4.10 Suppliers should have completed the appropriate section of the SAQ and made it available to the auditor.

10.B4.11 Has the site recently been subject to (or pending) any fines/prosecutions for noncompliance to environmental regulations.

Note for auditors and readers. This environment section is intended to take not more than 0.25 auditor days. It is an assessment only and the main requirement is to establish whether a site is meeting applicable environmental laws and/or has any certifications or environmental management systems in place. Following this assessment the client/supplier may decide a full environmental audit is required (see also best practice guidance/environment and guidance for auditor)

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

10B.4.1/4.3

Operating Permit: #1152275 valid until December 31, 2023. Operating permit for being an ARCSA food company: # ARCSA-2023-14.1.2.1-0000051 valid until 05-10-2024. Single taxpayer registry (RUC): #0992483725001 establishment 2. Address: GUAYAS / GUAYAQUIL / POSORJA / COOP 8 DE JULIO, SOLAR 2 - MZ 70. Environmental License: DMA-LA-IV-2016-003 for project. Official letter from the last environmental compliance audit, approved in January 2023, with official letter DAPAV-SUB-2023-0148. IESS: Certificate of compliance dated 11-6-2023. Certificate of compliance with the Super de Companies: Date 11-6-2023. Certificate of compliance with the Internal Revenue Service SRI: date 11-6-2023. Payment of patents, property: paid for property in May 2023 and for patent and 1.5x 1000 except from 20219 according to the resolution of the municipality of Posorja. Internal work regulations: MDT-DRTSP5-2017-5361-R2-LU dated 06-9-2017, still valid. Health and safety regulation: MDT-RHS202213939 dated 06-09-2022. Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023.

10B.4.2

Environmental License: DMA-LA-IV-2016-003 for project. Official letter from the last environmental compliance audit, approved in January 2023, with official letter DAPAV-SUB-2023-0148. Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023.

Before, the Nirsa group (proposroja) was in the city of Guayaquil and they moved to Posorja to their own area, exclusive for fishing. Its land use permit is industrial and allows the type of industrial. The land where the factory is located is non-productive or agricultural land.

10B.4.4

Environmental policy dated 05-23-2023. The policy establishes the principle of reducing impacts and improving controls to protect the environment and biodiversity. Communicated to its workers in August, September and October 2023. It is placed in the changing rooms, bathrooms and at the entrances to the factory.

Communicated to suppliers every time they enter the factory. Example:

Contractor: Byron Cruz.

- Wall plastering work date: 04-01-2023.

Contractor: CLG

- Metalworking work dated 7-11-2023.

10B.4.5

Identification of environmental aspects and their impact evaluation: there is a procedure for 08-03-2023 Vicente Conesa methodology.

Sample:

Aspect: Consumption of natural resources, water and energy

Impact: Decrease in source.

Evaluation: Normal situation

Control: Monitoring and measurement of consumption.

Energy consumption:

- Energy consumption 2022: 4402661, 49 KW/h

- Energy consumption 2023: 17366537.41 kw/h

Water consumption:

- Water consumption 2022: 156020 m3

- Water consumption 2023: 175170 m3

Aspect: Waste generation.

Impact: Soil contamination.

Evaluation: significant.

Control: Environmental management plan such as delivery to manager and separation at source.

Evidence of controls:

- Common waste: 3,540 kg of common garbage is delivered on 11-8-2023.

- Recyclable Waste: 3540 kg recycling cardboard is delivered dated 11-8-2023

Environmental manager: "albamerica" with management license Resolution No. 019-2019

Hazardous Waste: Manifest # B0044911 dated 03-07-2023.

Biohazardous delivery 67.7 kg; Research 42.5 kg; luminaires 48.5 kg; tonner 6 kg; expired chemicals 80.5 kg; and specials 2492.2 kg.

Environmental manager: Incinerox with management license # 002-2021-UOJ-DZ2E-OTQU.

10.B.4.6/ 4.7

Consumption reduction program.

Aspect: Consumption of natural resources, water and energy

Impact: Decrease in source.
Evaluation: Normal situation
Control: Monitoring and measurement of consumption.
Energy consumption:
• Energy consumption 2022: 4402661, 49 KW/h
• Energy consumption 2023: 17366537.41 kw/h
Water consumption:
• Water consumption 2022: 156020 m3
• Water consumption 2023: 175170 m3
An improvement project is carried out in the defrosting process of the BINEs, the methodology is changed and the leaks are corrected.
The most efficient evaporators are the CXV-D model, the new compressors with environmentally friendly refrigerants such as R717 and R1270 and reduce energy consumption by 12%.

Control: Environmental management plan such as monitoring.
Liquid discharge monitoring: With dates 09-08-2023, supplier: Deproinsa, in compliance with no news.
Environmental noise monitoring: On 03-21-2023, supplier Deproinsa, day and night, in compliance with the limits.
Air Quality Monitoring: Dated 03-21-2023, supplier: Deproinsa, two points taken. With satisfactory results.

10B4.8 N/A

10B 4.9

Safety, health and environment technician: Abel Davalos registered on 11-29-2021.

B4. Guidance for Observations

10B4.10

SAQ made in October 27, 2023.

10B4.11

They do not have complaints, lawsuits, or environmental complaints. Web pages of environmental authorities are reviewed.

Evidence examined:

Environment and biodiversity policy 2023.
Communication and training records.
Legal documents such as license, land use, municipal payments, waste delivery.
tour of the facilities.

Any other comments:

Nothing to report.

Environmental Analysis

Is there a manager responsible for Environmental issues (Name and Position):

Safety, health and environment technician: Abel Davalos registered on 11-29-2021.

Has the site conducted a risk assessment on the environmental impact of the site, including implementation of controls to reduce identified risks?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Identification of environmental aspects and their impact evaluation: there is a procedure for 08-03-2023 Vicente Conesa methodology. Sample: Aspect: Consumption of natural resources, water and energy Impact: Decrease in source. Evaluation: Normal situation Control: Monitoring and measurement of consumption. Energy consumption: • Energy consumption 2022: 4402661, 49 KW/h • Energy consumption 2023: 17366537.41 kw/h Water consumption: • Water consumption 2022: 156020 m3 • Water consumption 2023: 175170 m3
Does the site have a recognised environmental system certification such as ISO 14000 or equivalent?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: None
Does the site have an Environmental policy?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If yes, is it publicly available?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If yes, does it address the key impacts from their operations and their commitment to improvement?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Environmental policy dated 05-23-2023. The policy establishes the principle of reducing impacts and improving controls to protect the environment and biodiversity. Communicated to its workers in August, September and October 2023. It is placed in the changing rooms, bathrooms and at the entrances to the factory. Communicated to suppliers every time they enter the factory. Example: Contractor: Byron Cruz. • Wall plastering work date: 04-01-2023. Contractor: CLG • Metalworking work dated 7-11-2023.
Does the site have a Biodiversity policy?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Is there any other sustainability systems present such as Chain of Custody, Forest Stewardship Council (FSC), Marine Stewardship Council (MSC) etc.?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Certification in social responsibility: CERES Certificate of 09-07-2023 as a socially responsible company, valid until September 2024. Product certification: HACCP: #MPCEIP-SCI-DCDS-HACCP-2022-0340 valid until 08-08-2027. BAP: # NSF-SF-23048 effective until 01-15-2024. Product certification, shrimp farms: ASC-MSC certificate CUP-C-875548-MSC-01-2020 valid until 12-11-2023.

<p>Have all legally required permits been shown?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Environmental License: DMA-LA-IV-2016-003 for project. Official letter from the last environmental compliance audit, approved in January 2023, with official letter DAPAV-SUB-2023-0148. Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023.</p>
<p>Is there a documentation process to record hazardous chemicals used in the manufacturing process?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable</p> <p>Please give details:</p> <p>Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023. In warehouses of raw materials, there are food grade products and in some contractions they are irritating, shows The MSDS and the physical marking and storage status of the products are reviewed. The records of use of each product are evidenced, the protection measures in case of emergency such as PPE, anti-spill kit and emergency shower are evidenced.</p>
<p>Is there a system for managing client's requirements and legislation in the destination countries regarding environmental and chemical issues?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023.</p>
<p>Facility has reduction targets in place for environmental aspects e.g. water consumption and discharge, waste, energy and green-house gas emissions:</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Consumption reduction program. Aspect: Consumption of natural resources, water and energy Impact: Decrease in source. Evaluation: Normal situation Control: Monitoring and measurement of consumption. Energy consumption: • Energy consumption 2022: 4402661, 49 KW/h • Energy consumption 2023: 17366537.41 kw/h Water consumption: • Water consumption 2022: 156020 m3 • Water consumption 2023: 175170 m3 An improvement project is carried out in the defrosting process of the BINEs, the methodology is changed and the leaks are corrected. The most efficient evaporators are the CXV-D model, the new compressors with environmentally friendly refrigerants such as R717 and R1270 and reduce energy consumption by 12%.</p>

<p>Facility has evidence of waste recycling and is monitoring volume of waste that is recycled.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Control: Environmental management plan such as delivery to manager and separation at source. Evidence of controls: • Common waste: 3,540 kg of common garbage is delivered on 11-8-2023. • Recyclable Waste: 3540 kg recycling cardboard is delivered dated 11-8-2023 Environmental manager: "albamerica" with management license Resolution No. 019-2019 Total waste 2022: Recycling: 378218 kg. Total waste 2023: Recycling: 246120 kg.</p>
<p>Does the facility have a system in place for accurately measuring and monitoring consumption of key utilities of water, energy and natural resources that follows recognised protocols or standards?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Control: Environmental management plan such as monitoring. Liquid discharge monitoring: With dates 09-08-2023, supplier: Deproinsa, in compliance with no news. Environmental noise monitoring: On 03-21-2023, supplier Deproinsa, day and night, in compliance with the limits. Air Quality Monitoring: Dated 03-21-2023, supplier: Deproinsa, two points taken. With satisfactory results.</p> <p>Control: Monitoring and measurement of consumption. Energy consumption: • Energy consumption 2022: 4402661, 49 KW/h • Energy consumption 2023: 17366537.41 kw/h Water consumption: • Water consumption 2022: 156020 m3 • Water consumption 2023: 175170 m3 An improvement project is carried out in the defrosting process of the BINES, the methodology is changed and the leaks are corrected. The most efficient evaporators are the CXV-D model, the new compressors with environmentally friendly refrigerants such as R717 and R1270 and reduce energy consumption by 12%.</p>
<p>Has the facility checked that any Sub-Contracting agencies or business partners operating on the premises have the appropriate permits and licences and are conducting business in line with environmental expectations of the facility?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>Environmental manager: "albamerica" with management license Resolution No. 019-2019. Environmental manager: Incinerox with management license # 002-2021-UOJ-DZ2E-OTQU.</p>
<p>Usage/Discharge analysis</p>	
<p>Criteria</p>	<p>Previous year: 2022 Current year: 2023</p>
<p>Electricity Usage: Kw/hrs</p>	<p>4402661 17366537</p>
<p>Renewable Energy Usage: Kw/hrs</p>	<p>0 0</p>
<p>Gas Energy Usage: Kw/hrs</p>	<p>0 0</p>
<p>Has site completed any carbon Footprint Analysis?</p>	<p>No No</p>
<p>If Yes, please state result</p>	

Water Sources	water authority	water authority
Water Volume Used	156020	175170
Water Discharged	estuary	estuary
Water Volume Discharged	156020	175170
Water Volume Recycled	0	0
Total waste produced	1410207,7 kg	994609 kg
Total hazardous waste produced	8271.7 kg	3125 kg
Waste to recycling	378218 kg	246120 kg
Waste to landfill	880120kg	735364 kg
Waste to other	143598	10000
Total Product Produced	35 000 000 libras	68 000 000 libras

10C - Business Ethics – 4-Pillar Audit
[Summary of Findings]

10C: Compliance Requirements

10.C.1 Businesses shall conduct their business ethically without bribery, corruption, or any type of fraudulent Business Practice.

10.C.2 Businesses as a minimum must meet the requirements of local and national laws related to bribery, corruption, or any type of fraudulent Business Practices.

10.C.3 Where it is a legal requirement, businesses must be able to demonstrate that they comply with all fiscal legislative requirements.

10.C.4 Businesses shall have access to a transparent system in place for confidentially reporting, and dealing with unethical Business Ethics without fear of reprisals towards the reporter.

10.C.5 Businesses should have a Business Ethics policy, covering bribery, corruption, or any type of fraudulent Business Practice,

10.C.6 Businesses should have a designated person responsible for implementing standards concerning Business Ethics

10.C.7 Suppliers should ensure that the staff whose job roles carry a higher level of risk in the area of ethical Business Practice e.g. sales, purchasing, logistics are trained on what action to take in the event of an issue arising in their area.

10C: Guidance for Observations

10.C.8 Businesses should communicate their Business Ethics policy, covering bribery, corruption, or any type of fraudulent Business Practice to all appropriate parties, including its own suppliers.

10.C.9 Has the site recently been subject to (or pending) any fines/prosecutions for non-compliance to Business Ethics regulations. If so is there evidence that sustainable corrective actions have been implemented

Note for auditors and readers. This Business Ethics section is intended to take not more than 0.25 auditor days. It is an assessment not an audit.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

10.C1

There is a code of conduct for Proposorja and a POL-04 policy dated 08-03-2023, which is continually reviewed. Last review August 2023. The code contemplates the following topics: Respect and your rights; integrity; Business ethics; suppliers; respect for the environment; no child labor; no to discrimination; no forced labor; safety and well-being; proper management of information; bribes; accounting records and responsibility; Human rights.

Training is evident for all workers, through talks and inductions for new workers. Sample: New on 10-3-2023 and all staff on 10-4-2023.

To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.

10.C.2 / C.3

Operating Permit: #1152275 valid until December 31, 2023. Operating permit for being an ARCSA food company: # ARCSA-2023-14.1.2.1-0000051 valid until 05-10-2024. Single taxpayer registry (RUC): #0992483725001 establishment 2. Address: GUAYAS / GUAYAQUIL / POSORJA / COOP 8 DE JULIO, SOLAR 2 - MZ 70. Environmental License: DMA-LA-IV-2016-003 for project. Official letter from the last environmental compliance audit, approved in January 2023, with official letter DAPAV-SUB-2023-0148. IEES: Certificate of compliance dated 11-6-2023. Certificate of compliance with the Super de Companies: Date 11-6-2023. Certificate of compliance with the Internal Revenue Service SRI: date 11-6-2023. Payment of patents, property: paid for property in May 2023 and for patent and 1.5x 1000 except from 20219 according to the resolution of the municipality of Posorja. Internal work regulations: MDT-DRTSP5-2017-5361-R2-LU dated 06-9-2017, still valid. Health and safety regulation: MDT-RHS2022213939 dated 06-09-2022. Permit for the purchase and consumption of controlled or controlled chemicals: 09-5840N-L valid until December 2023.

10.C.4

Its mechanism is a mailbox, all interested parties can enter these mechanisms. It is evident that they can fill out the information anonymously, It is evident that the information is confidential, transparent, everyone can access it. which reaches the person in charge (head of organizational development). She has competence to review and treat any case. Workers are interviewed, everyone understands the mechanism and shows how it works on the physical mailbox is checked, there are no reported cases, the interviews confirm it. Efficient process and communication.

Communication channel for complaints and complaints:

There is a contract with the company EthicsGlobal, which receives complaints by email or letter and a committee reviews them, thereby establishing the investigators and recommendations to be addressed. Channels: Via website <https://nirsa.com/linea-etica/> or cell phone number 1800 001 135.

The transparency of the channel is evident:

The company EthicsGlobal has a contract signed on 12-29-2022 that includes confidentiality regarding the information received and the method used to treat cases.

The workers who belong to the ethics committee have signed confidentiality agreements and have been trained in treatment and confidentiality 08-22-2023.

Report of the month November 1, 2023: There are no reported cases, the interviews confirm it. Efficient process and communication.

10.C.5 / 10.C.8

They have an integrated policy with a revision date of August 2023 which is signed by the general management and motivates compliance and reduces risks related to human rights issues. In addition, there is a code of ethics that details how these possible risks are controlled. Last revision of the code August 2023.

Sample: New workers on 10-3-2023 and all staff on 10-4-2023.

To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.

10.C.6

Liana Baño- Administrative head is responsible for implementing standards concerning Business Ethics.

10.C.7

There is a matrix of interested parties called ". interested parties. " dated August 2023, review #1

It is evidenced that the control is training and use of a digital purchasing system.

Training is evident in the area of ethical Business Practice e.g. sales, purchasing, logistics are trained on 08-22-2023.

There are instructions for the selection, evaluation and re-evaluation of suppliers, version 01 of 09-15-

2022. Where the following criteria are established: Price, Compliance and Services offered by the supplier. Additionally, specific requirements are divided and established by type of product or service: Wood, transportation service, materials and supplies.

10.C.9

They are reviewed on the platforms of authorities. there are no cases of complaints. The information is validated in the interview.

Evidence examined:

Worker Interviews
Code of ethics.
Legal documents
Physical mailbox and web page.

Any other comments:

Nothing to report.

Does the facility have a Business Ethics Policy and is the policy communicated and applied internally, externally or both, as appropriate?	<input checked="" type="checkbox"/> Internal Policy <input checked="" type="checkbox"/> Policy for third parties including suppliers <p>Please give details:</p> <p>They have an integrated policy with a revision date of August 2023 which is signed by the general management and motivates compliance and reduces risks related to human rights issues. In addition, there is a code of ethics that details how these possible risks are controlled. Last revision of the code August 2023. Sample: New on 10-3-2023 and all staff on 10-4-2023. To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.</p>
Does the site give training to relevant personnel (e.g. sales and logistics) on business ethics issues?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Please give details:</p> <p>Training is evident in the area of ethical Business Practice e.g.sales, purchasing, logistics are trained on 08-28-2023.</p>
Is the policy updated on a regular (as needed) basis?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Please give details:</p> <p>Last revision of the code August 2023.</p>
Does the site require third parties including suppliers to complete their own business ethics training	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Please give details:</p> <p>Training to workers on 08-28-2023. The plant shows its placement in dining rooms, bathrooms and in production areas. To suppliers, through their selection and evaluation of suppliers, an evaluation is carried out every year and the policies are sent to them. Once they read them, they sign the receipt and understanding of them. Sample: Santa Priscila shrimp supplier, dated 08-9-2023.</p>

Attachments



Biometric.JPG



chemical signal.JPG



anti spill kit.JPG



Breastfeeding room.JPG



chemical storage.JPG



chemical storage 2.JPG



chemical storage 3.JPG



bathroom.JPG



emergency system.JPG



emergency lamps.JPG



dinning.JPG



Cooling system in good condition.JPG



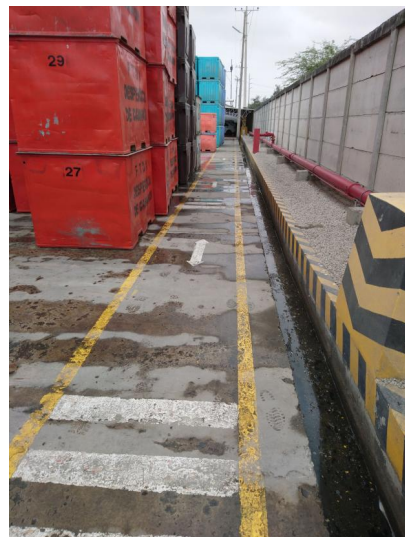
emergency shower.JPG



emergency button.JPG



emergency door in production.JPG



clear pedestrian crossings.JPG



hazardous waste storage.JPG



fuel storage.JPG



entry to production. Sanitization.JPG



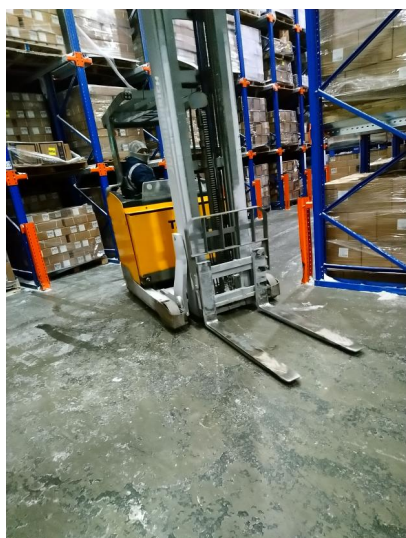
first aid kits.JPG



Emergency system2.JPG



improvements mailbox.JPG



freezers.JPG



entry to the company and name.JPG



medical room2.JPG



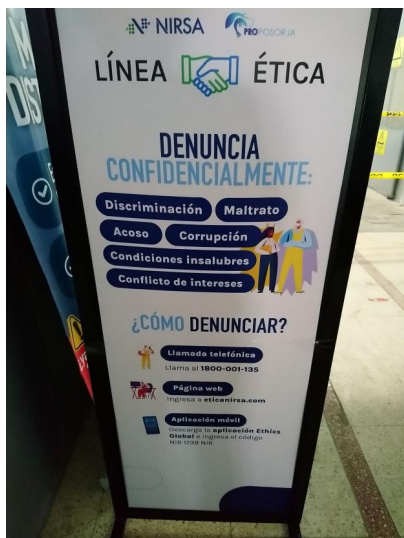
map and signal evacuation.JPG



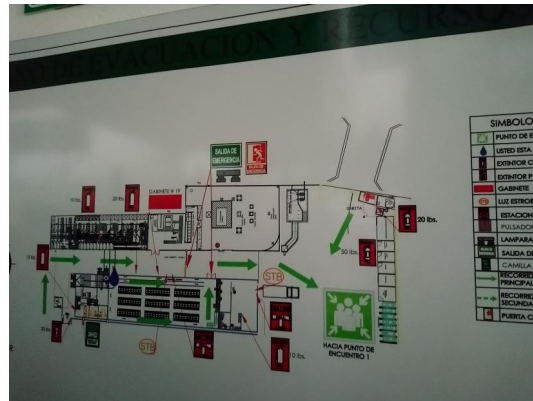
medical room.JPG



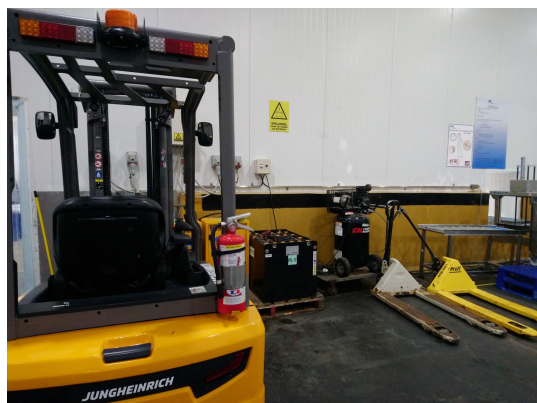
mechanical aids.JPG



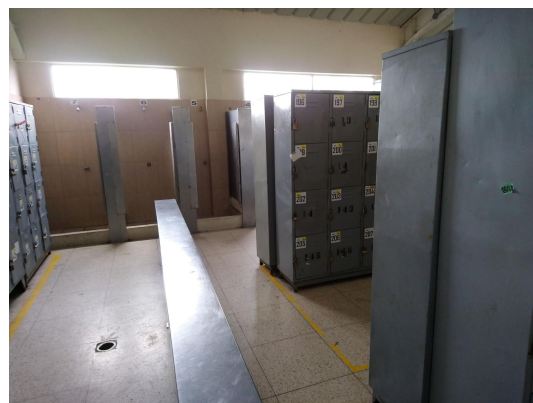
Information about the complaints channel and the ethics line.JPG



map.JPG



maintenance and electrical system.JPG



locker 2.JPG



production machine with stop button.JPG



production and PPE.JPG



water.JPG



meeting point.JPG



policies.JPG



accommodation NIRSÁ-Proposoja.pdf



CAPR_ZAA600030913 v1 signed.pdf



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Your feedback on your experience of the SMETA audit you have observed is extremely valuable. It will help to make improvements to future versions.

You can leave feedback by following the appropriate link to our questionnaire:

[Click here for Buyer \(A\) & Buyer/Supplier \(A/B\) members:](https://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d)

[http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d](https://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d)

[Click here for Supplier \(B\) members:](https://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRglY_2brg_3d_3d)

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