SERTECPET®

Recognized for Excellence.

EFQM Management Document

2019

Key Information

FACTS & DATA

OUR ORGANIZATION

SERTECPET is an Ecuadorian multinational originally founded by the Lopez Robayo brothers who, in 1990, decided to serve the hydrocarbon and energy market by creating an organization based on knowledge, innovation, and proprietary technology. That company is known today as SERTECPET S.A. Now, with more than 29 years of experience, we design customized energy solutions in Ecuador and around the world by forming long-term, win-win relationships with private, public, and mixed-economy companies. The organization employs around 1,100 people in all areas, as shown in Annex 1: Corporate Organigram, who work in Quito at Av. Eloy Alfaro N37-25 and Jose Correa, and at the company´s Operations Base located in Coca at Km 6½ via Lago Agrio. SERTECPET® is an Ecuadorian company specialized in generating Integral Energy Solutions with the latest technology for the renewable and non-renewable energy sector with the mission of generating solutions for the energy sector using cutting-edge technology.

SERTECPET AROUND THE WORLD

Our strategic direction, based on developing energy and industrial solutions by leveraging our ability to innovate, our proprietary and patented technology, and our robust integrated management system consisting of international certifications and standards, such as API 18 LCM (Life Cycle Management), which we are currently the world´s first and only holder of, among others, coupled with our steadfast commitment to excellence and ethics, led SERTECPET to becoming internationally recognized as one of the world´s most ethical companies in 2020 by the Ethisphere Institute, a global leader in defining and promoting corporate ethics standards. Today, we have direct operations in Brazil, Colombia, Mexico, and Peru, and we have begun the incorporation process to enter the US market. We currently work with more than 25 public, private and mixed-economy companies worldwide, and are present in countries located in North and South America, Africa, and the Middle East; as it´s expressed in the Annex 2 Sertecpet Global Presence.

The gene of innovation was embraced in our organizational DNA from the beginning, allowing us to generate knowledge and proprietary technology, resulting in several patents, which have empowered our clients to be successful. We have become responsible global citizens, leading economic and social development in all of the locations where we have carried out operations. In this sense, we have shaped our creativity and inventiveness through our Research, Development and Innovation (IDI) Department, developing unique products, such as the Jet Claw Smart® Pump, whose versatility means it can be employed for a variety of purposes, including: well testing, production testing, water injection, acid and solvent recovery, sand formation and solvent residues, and instantaneous temperature and pressure restoration. The pump uses SYAL software, a tool developed by our engineers for simulation, petroleum engineering, and hydraulic engineering. We also have proprietary software called Jet, designed for hydraulic pumping that allows wells to be monitored in real time from anywhere in the world. Thanks to our infrastructure, capacity and experience, we have undertaken different types of complex Engineering, Procurement, Construction and Maintenance (EPCM) projects for civil, mechanical, electrical, and instrumentation and control infrastructure in the oil, energy and industrial sectors. We also provide customer support through EPCM Construction Management for civil, mechanical, and electrical infrastructure, and instrumentation and control, as well as electromechanical assembly of Industrial Plants. We have two production plants that employ latest generation technology: the Pressure Vessel and Production Facilities Construction Plant (ASME), specializing in Engineering, Design, and Production of processing equipment and pressure vessels, and the Mechanized Plant that specializes in designing and manufacturing parts, pieces and tools for the energy and industrial sector.

From the very beginning, we envisioned technology as fundamental to generating value for our clients. The significant investments made in Computer Numerical Control (CNC) equipment for our Mechanized Plant and ASME Plant, as well as the generous investments made in systems that allow us to integrate engineering with manufacturing, have allowed us to provide comprehensive solutions to our clients that are quick, flexible, and technologically advanced and unique in the national and international market. We see the 4th Industrial Revolution as an opportunity that allows us to not only continue developing our ability to innovate, but also as a tool to better listen to our clients and provide them with greater added value at a competitive market price. We have taken action by implementing some the macro technologies of this revolution: Cloud Computing, cybersecurity, simulation, and Big Data. Our next steps will be taken in the Internet of Things (IoT) and system integration. However, technology, while complex, requires another challenge that is no less critical: creating a digital culture in our employees. This means developing a series of competencies, such as rapid adaptability to change, thought, and virtual collaboration, creativity, interdisciplinary management, and teamwork, among others.

KEY HISTORIC LANDMARKS AND ACHIEVEMENTS

The organizational culture has significant influence on conducts, determination and values throughout its structure for the continuous improvement of productivity and competitiveness within the market. Successful management and performance from planning with different interrelated work teams have led SERTECPET to receiving important awards throughout its history, as shown in Annex 3: Recognitions.

ORGANIZATIONAL CHALLENGES AND STRATEGIES
STYLE OF MANAGEMENT

The future is both challenging and promising, inasmuch as private and public business leaders assume those challenges that allow us to maintain a competitive advantage for our companies and institutions. Based on the values that our organization was founded upon: ethics, respect, commitment and excellence, over the years we have decided to incorporate a general structure of Compliance that reinforces our management style of excellence, showing our responsibility as a profitable and reputable company that generates sustainability over time, summarized in the following formula: E^2=R^2+S^2. Annex 4: Formula for Company of Excellence. The Vision is Excellence in Energy Solutions around the world; using the Strategic Map, the following priorities were defined: “The Client is First,” “Innovate to Win,” and “Corporate Excellence” (Annex 5: Strategic Map), aligning the objectives determined under the management model with the 2025 and 2040 expectation, divided into Financial perspectives, Client perspectives, Internal Processes, and Learning and Growth. These represent the basis on which corporate objectives are implemented (Annex 6: Corporate Objectives), and indicators are developed to facilitate follow-up, measurement, analysis and evaluation.

QUALITY AND EXCELLENCE IN SERTECPET

As shown in Annex 7: Integrated Management System (IMS), the Company has a Solid IMS that positions it well within the demanding international market. The IMS is certified under the highest quality and security standards, and is subject to annual internal and external audits as set forth in the auditing program defined in the document called “CR.GI.RD.RE.004: AUDITING PROGRAM FOR INTEGRATED MANAGEMENT SYSTEM, under ISO 9001. Constant evolution and continuous improvement are seen in our achievements over the course of our history. The IMS of SERTECPET is certified to ISO 9001, ISO 14001, and OHSAS 18001 standards, and cover the pillars of quality, occupational health, safety, and the environment.

In terms of quality, our API Q1 certification guarantees product delivery and compliance, and API Q2 guarantees service delivery and compliance. This latter standard is based on risk management following the fatal events on the Deep-Water Offshore Platform – BP, in the Golf of Mexico. There are no more than 80 companies worldwide (no more than 3 in the Americas) that have this certification. SERTECPET is one of them. Additionally, we also have an ASME certification with “U” and “R” stamps, as well as API 14L, 5CT, 5L and 7-1 certifications, which are specific to the oil industry. Our organization is firmly committed to Corporate Social Responsibility (CSR), a philosophy that covers our

entire corporate strategy. For this purpose, we have the S2M certification (Sustainability, Mediation, and Measurement) that validates our alignment with the seven CSR pillars.

SERTECPET® is a company in the energy sector that has a solid Integrated Management System of Quality, Occupational Health, Safety and the Environment which accredits it under the following standards: ISO 9001, ISO 14001; OHSAS 18001; 18LCM, 19AC and 37001 (Anti-Bribery Management). The API Q1 and Q2 standards of the American Petroleum Institute and the ASME stamp. We follow best Corporate Social Responsibility practices – Annex 8: Management Model (Atom and Kaizen Philosophy).

The organization uses a KAIZEN methodology in managing processes as a quality system focusing on continuous improvement by making progressive efforts in order to change the status quo. Internally, applying this methodology means measuring and evaluating indicators that generate value on an organizational level. Improvement proposals are made to focus on strategic planning and more frequently in terms of key process indicators. This means that, on an organizational level, the current status of the organization is understood, and improvements in times shown are promoted. Identifying failures is subject to the methodology, which has the objectives determined in Annex 9: Changes in the Kaizen Methodology.

MARKETS, SERVICES OFFERED AND CLIENTS BUSINESS MODEL

Gas and Oil Production

With a highly skilled team of professionals and the latest technology, SERTECPET ensures quality in all of its activities, operating under the strictest international standards and norms. Our integration capacity allows us to participate in all hydrocarbon exploration and production phases: Upstream, Midstream, Downstream.

Services:

- Optimized Solutions.
- Integrated well testing.
- Early production facilities.
- Jet Claw® hydraulic pumping systems.
- Well Services.
- Production Optimization.
- Pressure and Temperature Memory Sensors.
- Real Time Monitoring System.
- Tubing Seal Tool.
- Tool Repair.
- Hydraulic Pumping Workshop.

EPC / EPCM Projects

We undertake projects in an orderly fashion, with a clear outlook on the schedules, budgets, resources and restrictions. We implement project management systems from all areas, which allow for effective management of all phases, reducing errors and, most importantly, achieving project goals.

Services:

- Integral EPC / EPCM projects and industrial plant setup.
- Civil infrastructure projects.
- Ducts, pipelines and flowlines.
- Construction and repair of API 650 and API 653 tanks.
- Conceptual, basic and detailed engineering projects, and specialized studies.

Industrial Area

We have two plants to manufacture downhole and surface equipment with the latest technology for the oil industry. The Pressure Vessels Construction Plant and Production Facilities (ASME), specializing in engineering, design and supply of process equipment and pressure vessels, and the CNC Machining Technology Plant, specializing in the design and manufacture of parts and tools for the energy and industrial sectors.

Manufacturing and Technological Design Center

- Manufacturing of equipment for the oil industry.
- Threading for the oil industry.
- Manufacturing and technological development center.
- Quality Assurance

Facilities Plant

- Design and construction of welded tanks for fluid processing.
- Design and construction of ASME pressure vessels.
- Design and construction of skids and packaged equipment.
- Design and construction of metallic structures and ducts.

Energy

Our subsidiary: SERTECPET BUSINESS DEVELOPMENT Corporation in Houston – Texas, is focused on promoting investments and providing specialized services in the Hydrocarbons and Energy sectors, in addition to technology development and fostering innovation in the energy sector in North America, the Middle East, Asia and Africa, and technological and investment partnerships in the Hydrocarbons and Energy sectors.

OPERATIONS, ALLIES, AND PROVIDERS

Innovation in SERTECPET

We are certain that innovation is the motor of economic growth. We know that generating and implementing good ideas increase the performance of any productive activity. We did exactly that 28 years about by developing the Jet Claw® pump, which introduced significant improvements to hydraulic oil production.

Since then, we have continuously invested in innovation as a long-term growth strategy. Our Research, Development and Innovation Department was created in 2014. This business unit is responsible for implementing an applied research program, and has the objective of developing new tools and value-added services for the oil industry.

SERTECPET® seeks to position itself as the regional technological legal. We design, build, and test our tools to industry-required standards.

We implement rapid development processes by running an optimal number of learning cycles, including: analyses, experimental tests, and computer simulations. Our development and innovation activities are not limited to the search for new products; we also work on continuously improving existing tools to perfect their performance. Tailored solutions. The permanent availability of a team of development engineers and the strategic location of our production plant allow us to undertake projects that require rapid response times. We can adjust the design of our tools to satisfy the unprecedented, functional needs requested by our clients.

Alliances with the best technological centers – Memberships

SERTECPET® signed a memorandum of understanding with one of the world's most prestigious universities, the University of Edinburgh in the United Kingdom. Annex 10: Edinburgh University Alliance.

This kind of precontractual agreement facilitates the transfer of knowledge in the proper management of non-renewable resources, the sustainable development of the energy sector, and the perfecting of clean energy projects. Additionally, the company signed a confidentiality agreement with the University of Bologna; Annex 11 Bolognia University Agreement.

Currently, SERTECPET is an associate member of the Massachusetts Institute of Technology – Energy Initiative (MITei), and the Baker Institute for Public Policy of Rice University. The company is also a member of the American Society of Mechanical Engineers (ASME), the American Petroleum Institute (API) and the Petroleum Equipment & Services Association (PESA).

In 2019, SERTECPET® joined the Business Ethics Leadership Alliance - BELA, which brings together worldwide business leaders in promoting best ethical and compliance practices, and helps to improve business performance through evaluations, best practices, and guidelines that foster transparency and a culture of ethics. We have multiple cooperation agreements with local universities. Our professionals are continuously present at university events that promote the transfer of knowledge. Our internship program has received local and international undergraduate and postgraduate students, and hundreds of young professionals have received training and have been certified in using our oil well production simulation software. Our R&D team has been certified by the Massachusetts Institute of Technology in managing, designing and controlling modern manufacturing processes. MIT is renowned as a leader in mechanical engineering development and training. Annex 12: Strategic Alliances.

Rapid development and continuous improvement
We design, build and test our tools to industry-required standards.

We implement rapid development processes by running an optimal number of learning cycles, including: analyses, experimental tests, and computer simulations.

Our development and innovation activities are not limited to the search for new products; we also work on continuously improving existing tools to perfect their performance, such as: failure analysis, quality sessions, SQM with the client, stand down, internal audits; Annex 13: Continuous Improvement Activities.

Tailored solutions
The permanent availability of a team of development engineers and the strategic location of our production plant allow us to undertake projects that require rapid response times. We can adjust the design of our tools to satisfy the unprecedented, functional needs requested by our clients. Annex 14 Machining Plant.

The knowledge and experience of our team of professionals regarding well characteristics and behaviors allow us to evaluate and propose better alternatives in terms of equipment and tools used in Well Production and Evaluation services, and Early Production Facilities. Annex 15 Portfolio of Products and Services

Alliances with world-class technological centers
We enter into alliances to undertake research projects with some of the world's top universities. Working together with Edinburgh Innovations has boosted our technological innovation ability through the consulting done by University of Edinburgh researchers.

Our R&D team has been certified by the Massachusetts Institute of Technology in managing, designing and controlling modern manufacturing processes. MIT is renowned as a leader in mechanical engineering development and training.

We have multiple cooperation agreements with local universities. Our professionals are continuously present at university events that promote the transfer of knowledge. Our internship program has received local and international undergraduate and postgraduate students, and hundreds of young professionals have received training and have been certified in using our oil well production simulation software. Annex 16: Alliances and Agreements with Academia.

MANAGEMENT STRUCTURE AND ACTIVITIES

The organization maintains the following organizational values at the core of its management:

1. EXCELLENCE: We are moved by passion, and we continually challenge and exceed the expectations of our clients, always striving to exceed targets and improve outcomes, with complete professionalism, determination and timeliness.

2. ETHICS: We act with morality, integrity and honesty, seeking to satisfy the legitimate interests of the company. We maintain a true and fair attitude, and adhere to morals and the law. We always act truthfully, and are reliable,

honest, consistent and respectful of the rights of society and the environment. We fight against corruption at all levels.

3. COMMITMENT: Our actions fully comply with the principles and policies of the company. We assume our duties with conviction and adherence to the strategic objectives and the consequences of our actions, words and commitments. We contribute to society by generating added value from the industry and turn innovation into an organizational competence, seeking to substantially improve industry performance. Our efficiency and organizational effectiveness are the result of our commitment to order and cleanliness.

4. RESPECT: We follow the rules and policies of environmental, professional and corporate coexistence inside and outside the Organization. We understand, listen to, and appreciate other parties, without violating their rights.

Having an Integrated Management System (IMS) allows Upper Management to provide organizational efficacy and efficiency by establishing indicators and goals that lead to the organization reaching the objectives set. The challenge of Upper Management for 2020 is to focus efforts of all personnel and, through the Corporate Management Department, implement the EFQM Model as a complementary and permanent Management tool. Additionally, we adopted a process-based focus as a basic principle for efficiently obtaining results that satisfy all of our groups of interest.

CRITERIA 1

LEADERSHIP

CRITERIA 1: LEADERSHIP – INTRODUCTION

Since being founded in 1990, SERTECPET has had remarkable achievements thanks to an administration based on a Core Policy issued by a committee consisting of the CEO, the General Manager and employee representatives in 2001. To date, the Core Policy is in Review No. 13, and contains values and a quality-centered culture focused on excellence in providing products and services. The participative leadership style and the commitment of Upper Management have allowed the company to create and develop strategies focused on fulfilling its mission and vision.

Defining the company's strategy has evolved significantly. The first Strategic Planning meeting was held in December 2007, and was attended by Tecnologico de Monterrey. In that session, which included the participation of key personnel and process leaders, the corporate mission, vision and values were established. In February of 2010, a second meeting for Strategic Planning 2010-2015 was held, attended by Corporacion Ekos of Ecuador, with the following scope: Review of the Organizational Philosophy (Mission, Vision, Values), SWOT validation, Blue Ocean Strategy Analysis, and Definition of Business Lines. In 2014 the current organizational philosophy was established. The corporate leadership defined and structured a strategic map that summarizes the company's initiatives in points of view to reach their objective for 2025 and develop projections toward 2040.

From its strategic direction, SERTECPET established a Code of Ethics prepared by Corporate Governance, in effect since 2012, as well as an Anti-Bribery policy as part of transparency in management. These documents detail the principles that the organization and each employee must apply in their daily activities.

Leaders create an environment of empowerment, innovation, and efficiency through Quality Committees where decisions are made and applied within their areas of influence. On a weekly basis, the managers and area leaders have meetings where topics of interest for the organization are presented, registered, and monitored through Office 365.

The organization uses different methodologies to evaluate management performance and results by defining key indicators based on the Strategic Map and measuring results-based compliance. These indicators provide feedback to the organization, and are monitored monthly in Executive Committee meetings.

Through the Commercial Management Process, we seek to establish, maintain and improve our relationships with our clients. Part of this process is the implementation of SQM (Square Quality Meeting).

With regard to provider relationships, the organization has a selection, evaluation and re-evaluation process to ensure efficacy and efficiency in procurement, quality and fulfilment of delivery times, which is critical. Meetings are held every six months to present performance results and identify areas of improvement.

Organizational changes are managed at all levels of the organization through the Management of Change process (MOC). This tool ensures that every change is properly managed, coordinated and monitored from the moment it is recorded in Document No. CR.GI.RD.RE.026 Management of Change (MOC) Record.

Description	*Evidence*	*Connected Results*
1a1. The leaders develop and establish the Mission, Vision, and Values of the Organization ***Owner:*** General Management The mission, vision, values and strategy of the organization were set by the General Management, and are implemented and shared via the Strategic Map, which is reviewed and analyzed annually by the Strategic Group. Sharing this information is done during the quality sessions, personnel inductions, and through the ISOTOOLS document management platform. It is also uploaded onto the company's website, and is found on identification cards and signs in the company's buildings. In the last revision, the mission, vision and values were modified to make them easier to understand, and were then sent to our offices in Mexico, Colombia and Peru. It has been recognized as a model of excellence in management, and the company received the 2017 Ibero-American Award for Quality and Excellence in Management. Annual evaluation results are used to determine priorities, make improvements, and innovate.	Annex 4 SERTECPET Strategic Map	7a1 Knowledge of the MVV by the personnel

CRITERIA 1: LEADERSHIP – FACILITATING AGENTS

Description	*Evidence*	*Connected Results*
1a.2 The leaders define and distribute the Code of Ethics and Conduct in the organization ***Owner:*** Corporate Governance We have a Code of Ethics in effect since 2012 that was prepared by Corporate Governance. It was updated on June 4, 2019, and is currently being adopted by all offices. A document was prepared and distributed among all employees. It is shared by the Corporate Auditing and Compliance area. There is also a policy on mitigating risks of bribery and corruption between employees, business partners and/or stakeholders, established in Document No. SG.GN.GG.PO.01 Anti-Bribery and Anti-Corruption Policy, updated on December 16, 2019. Internal and external auditing has been done to evaluate system efficacy and implementation, leading to opportunities for improvement and, in turn, claims and feedback received through official channels to create action plans that reinforce the system.	Annex 16 Code of Ethics	7b1 Code of Ethics Distribution percentage
1a.3 Leadership and commitment from management to abide by the Anti-Bribery Management System ***Owner:*** Corporate Auditing and Compliance The Management Team expresses and demonstrates its leadership and support regarding the Anti-Bribery and Anti-Corruption Management System by promoting an anti-bribery and anti-corruption culture in and outside of the organization, in line with ISO 37001:2016 - Anti-Bribery Management System. SERTECPET®, as the first company in Ecuador and one of the pioneers in Latin America in being ISO 37001:2016 certified, has a mature Compliance program, which is the company's cover letter for stakeholders in Ecuador and around the world. For each process there is a bribery risks matrix that is shared with management teams, and continuously monitored and evaluated. From 2014 to 2019, reporting was done annually according to the four pillars of the United Nations Global Compact. Areas of improvement have been determined by the Anti-Bribery Committee. This model was evaluated and recognized internationally by Ethisphere in 2020.	Annex 17 ISO 37001:2016 Certification	8a1 People's perception of the Compliance System
1a.4 Evaluation of Leadership ***Owner:*** Human Resources The evaluation of leadership is done using a 360° evaluation by peers, and by senior managers evaluating other managers. Evaluating the leadership is done annually, and is both confidential and anonymous. This evaluation has improved by moving from a 180° to a 360° evaluation, which has given very good results. The company was named as a Great Place To Work in 2016.	Annex 18 Leadership evaluation survey	7a2 Personal perception of leadership evaluation 7b2 Personal participation in leadership evaluation

Description	Evidence	Connected Results
1b1. Indicator Management System ***Owner:*** Corporate Management An Integrated Management System (IMS) has been implemented with the Senior Management, the General Management, and the support of all employees in line with the Strategic Map of the company. All IMS indicators measure the efficacy and efficiency of each area using the methodology known as the Balanced Scorecard. Strategic objectives are evaluated quarterly, and the general manager meets with the general board of shareholders to report on the results and the implementation of the strategic plan. The management system has 140 indicators spread across the different areas. The last revision and update of the IMS was done in December of 2019. The results have allowed the company to take action on opportunities, eliminate or mitigate risks, streamline processes by analyzing information using tools such as Power BI, SharePoint, and Predator, and replicating the results in the other offices. Results of the primary indicators are compared to the standards of the International Association of Oil and Gas Producers.	Annex 4 Strategic Map	9a1 Key Process Indicator (Dashboard)
1c.1 Client Relationships ***Owner:*** Corporate Management The Corporate Management area, in its effort to better integrate the organization and its clients, has built a relationship through quality meetings (SQM) to provide technical operational information held quarterly, and second-party audits carried out according to planning done for each one of our clients (every quarter or every six months) that help identify opportunities of improvement and define actions plans to increase productivity for both parties. Satisfaction levels are measured monthly in the Operations business lines, and quarterly in Projects. The results allow the company to identify and implement opportunities of improvement to keep our clients satisfied.	Annex 19 SQM Presentation	6a1 External client satisfaction indicator 6b1 Hours of operation with MTU
1c.2 Provider Relationships ***Owner:*** Supply Chain and Logistics The Supply Chain and Logistics area keeps a strong relationship with its providers to maintain trust and security for the business. This is done through provider management that involves qualification, compliance audits, SQMs on management guidelines, and process compliance through performance indicators. Provider performance is evaluated using indicators, and results are presented in biannual meetings held with critical providers where improvements in quality, safety, environmental management, practices and Anti-bribery compliance are analyzed and proposed.	Annex 20 SGS Certifications	9a2 Providers' perception of the Organization 9b1 Delivery Time indicator
1c.3 Leaders encourage and work with groups in need ***Owner:*** Human Resource Management The organization promotes the wellbeing of all of the communities that could be directly and indirectly affected by its operations, and therefore implements participation and consultation processes that involve all of the people who live in the surrounding areas to identify their needs and our capacity to satisfy them, and provide job opportunities and support environmental development.	Annex 4 Strategic Map	9a1 Key Process Indicator (Dashboard)

Description	Evidence	Connected Results
1c.4 Transparency in Management ***Owner:*** Finance and Administration Management A structure that describes the organization as transparent in terms of information and data generated, which is shared with its groups of interest, has been maintained. This is done by submitting reports on financial results to different public entities. The company has an open-door communication policy. By having bonds issued by the Quito Stock Exchange in 2016, our financial information is fully transparent and available to anyone who requires it. Measuring is done using international indicators, and results are evaluated through external financial audits, client audits (second-party audits), and internal accountability processes, which are used by the Financial Committee to take timely actions necessary to meet the objectives set.	Annex 22 Anticorruption Policy	8a3 Level of Confidence of Companies 9a3 Debt indicator 9a4 Indicator of capital structure
1d.1 How leaders push people toward excellence ***Owner:*** Strategic Management For the organization, inclusion and capacity-building of our employees to help them follow the strategy is very important. We form leaders through monthly management alignment workshops and coaching to ensure professional objectives are reached, thus meeting the objectives set at a company level. Within these programs, the company seeks to include middle and upper management who represent the core of the organization, and on average there is one leader for every 7.4 people in the organization. The results allowed for an action plan focusing on reinforcing the leadership of management and fulfilling the strategy implemented by the organization to be prepared.	Annex 23 Management and Coaching Alignment Program	7a3 Indicator of coaching satisfaction
1d.2 Leaders encourage innovation in others ***Owner:*** R+D+i Within the energy industry, the organization acts by encouraging the creation and participation of those who generate added value for the products and services that we provide. Therefore, the R+D+I Management holds monthly meetings with the different business areas to focus their activities on initiatives that translate into innovations that allow us to offer attractive proposals of value to our clients, and to develop patents for new businesses and new alternatives to remain competitive. Measuring is done through client satisfaction surveys that used patented products whose results contributed to understanding and learning about our clients' needs and expectations; and make improvements to future products.	Annex 24 Patents belonging to the Organization	6a2 Client Satisfaction with Patents 6b2 Indicator of Patents belonging to the Organization
1e.1 Leaders make the organization flexible and foster change ***Owner:*** Corporate Management The organization remains flexible to manage change, but is also based on processes and procedures that support the grounds for change; therefore, organizational changes are managed at all levels of the organization through an MOC process that has been circulated and applied with the support of the Corporate Management area. Managing change is a continuous process adopted by the organization as part of its statutory compliance with its Integrated Management System, which has been evaluated through external audits by our international certification organizations: Lloyd´s Register (LRQA) and the American Petroleum Institute (API), the results of which have reinforced it.	Annex 25 MOC Process (Table 15 PIC)	7a4 Employee's perception of management of change

CRITERIA 2

STRATEGY

CRITERIA 2: STRATEGY – INTRODUCTION

SBased on the Strategic Map, the organization defines its objectives, indicators, and Corporate goals that are used by each one of the areas to structure their respective POAs. This is done using Document No. EC.GC.GE.IN.01 INSTRUCTIONS FOR PREPARING AND EVALUATING ANNUAL OPERATING PLANS (POAs). The POAs are presented at the beginning of the year. Compliance is reviewed and monitored monthly using Management Indicators in ISOTools.

"The client is first" is one of our strategic pillars that reflects our constant concern for identifying and attending to the needs of our clients. Permanent contact through visits allows us to detect potential business opportunities that are registered and monitored through an app in the AX system; confidence in our services and satisfaction levels are measured through surveys. The performance of all processes is monitored, measured, and evaluated through key indicators that are reported periodically through ISOTools.

The mission, vision, and strategy of the organization are implemented and reported on using the Strategic Map, which is revised and analyzed annually by the Strategic Group. Sharing it is done in quality sessions, personnel inductions, Stand Downs and through the Document Manager app in ISOTools.

Operational excellence, the organization's safety standards, its ability to tailor solutions to each client by leveraging our inventiveness, our technology, and our corporate strength are the primary competitive advantages of our organization.

Our strategic direction, as well as our Integrated Management System have transformed our search for excellence into the organization's core philosophy. This has led to a team that constantly, at all levels, has the vocation of improving on all activities performed. Our certifications oblige us to constantly perfect our processes and procedures.

Description	*Evidence*	*Connected Results*
2a.1 Market Studies ***Owner:*** Commercial Management Through the Commercial Management Process, market research is done annually to define the segments that the organization is going to focus on. Three strategic lines where the energy of the organization will be focused have been defined: "The Client is first", "Innovate to Win," and "Excellent SERTECPET." Commercial Management prepares annual and multiyear action plans to implement each strategy to determine the level of implementation reached in the proposed areas. One of the strategies seeks to follow up on, measure and analyze commercial management through perception indicators and a CRM-AX tool, where business opportunities for current and potential products and services are recorded and monitored.	Annex 26 STP Commercial Strategy	6a3 Client perception of the organization 6b3 Market Share
2a.2 Client surveys to detect needs and expectations ***Owner:*** Commercial Management On a management level, developments are monitored biannually to anticipate competitive situations, market situations, regulatory developments and others that could impact the competitive position of the company, to make strategic decisions that lead to an action plan. They are client-facing for each business line, given that interest varies from one to another. Sertecpet S.A. identifies and evaluates the influence and impact of stakeholders, and their needs and expectations are identified and converted into requirements for the integrated management system. The results contribute to either mitigating risks or taking advantage of opportunities that impact our company.	Annex 27 Survey of needs and expectations	6a4 Percentage of needs and expectations fulfilled 6b4 Percentage of responses from clients

CRITERIA 2: STRATEGY – FACILITATING AGENTS

Description	*Evidence*	*Connected Results*
2b.1 Use of Indicator Management System to make decisions on an area level and at a Senior Management level ***Owner:*** Strategic Management Results are measured based on a system of indicators that has previously been set up by the different areas in the organization. The organization uses the Balanced Scorecard methodology to document its key indicators based on the Strategic Map and measuring results. These indicators provide feedback to the organization and are monitored monthly in Executive Committee meetings. Likewise, every six months the organization reviews market share data and income share information published by companies operating in the sector in the Superintendence of Companies and in corporate magazines, such as Ekos and Vistazo, and makes comparisons with their financial results. Follow up and measuring is done using key process indicators that are previously reviewed by management and monitored through the ISOTools platform. Results are periodically evaluated in shareholders meetings.	Annex 4 Strategic Map SERTECPET	7a1 Knowledge of personnel of the MVV 6b5 BSC Results
2c.1 Design of Strategic Plan ***Owner:*** Strategic Management The current strategy of the organization is detailed in the Strategic Map that is reviewed annually with the participation of middle and upper management prior to implementation. It represents the starting point for aligning objectives, operational plans and key process indicators. Results are presented in a BSC (Balanced Scorecard) table, based on which each unit takes actions to meet their objectives.	Annex 4 SERTECPET Strategic Map	7a1 Knowledge of personnel of the MVV 6b5 BSC Results
2d.1 Implementation of Strategic Plan through Annual Operations Owner: Strategic Management Planning appears from the beginning, and once it has been defined a series of activities are undertaken to ensure compliance with the corporate strategy. To do this, the organization defines corporate objectives, indicators and goals that are used by each one of the areas to structure their respective POAs. This is done using Document No. EC.GC.GE.IN.01 INSTRUCTIONS FOR PREPARING AND EVALUATING ANNUAL OPERATING PLANS (POAs). POAs are presented at the beginning of the year by each one of the areas. Compliance is reviewed and monitored monthly using the "Indicator Management" app in ISOTOOLS in our management system. Results are then summarized in a BSC (Balanced Scorecard) table that is reviewed by the Executive Committee and based on which actions are taken to ensure compliance.	Annex 28 Annual Operations Plan	9b2 Indicator showing Annual Operating Plan Compliance
2d.2 Implementation of Strategic Plan through Stand Downs and Posters Owner: Corporate Management The company has sought to include all employees in fulfilling the strategy and the objectives set. To do so, quarterly presentations are given or Stand Downs held to discuss our organizational philosophy and the results of the period where the opportunity is given to participate by using stand up software to present proposals, raise questions, and promote actions to improve working conditions, physical safety, communication, direct dialogue with Senior Management to ensure compliance, with the purpose of incorporating new ideas into the current annual operating plan.	Annex 29 Photos of Stand Down and Posters	7a5 Perception of Stand Down

Description	Evidence	Connected Results
2d.3 Implementation of Strategic Plan through Workshops Owner: Corporate Management Our company has an organizational structure with defined roles and functions for each area that align with our philosophy and strategic objectives. Our initiatives are detailed in the Annual Operating Plan, which is implemented, analyzed and evaluated through workshops with the leaders of each process to validate performance and take action when deviations are identified. Results are reported monthly using indicators that summarize work done and feed into the review of results of Balanced Scorecard objectives.	Annex 30 Corporate Organigram	9b2 Indicator showing Annual Operating Plan Compliance

CRITERIA 3

PEOPLE

CRITERIA 3: PEOPLE – INTRODUCTION

Employees are the company's primary ally in undertaking its activities and ensuring compliance with objectives and goals, which is why processes have been defined and implemented for the selection, hiring, training, development, payroll management, and the disciplinary system specifically oriented toward Human Resource management that is complemented with organic structural processes, organizational culture, and working environments, thus providing comprehensive management. The Internal Work Regulation approved on September 5, 2018, establishes guidelines that regulate work processes, complemented by employees' work contracts.

All Human Resource management is done under the current law. Payment salaries and corporate benefits to our employees on time is one of the company's most important commitments, and the satisfactory results of audits performed by entities of control are evidence of it. We are committed to the fight against child labor and discrimination of any kind, which is why the Labor Responsibility Policy was created. Due to these efforts, we were given a 2019 Good Business Practices award that ratifies the value we put on the service of our people and their wellbeing.

Based on our commitment to improve the working environment, annual evaluations are done of the environment and performance evaluations, which are used to develop action plans. Training is another critical element that begins with identifying needs, consolidating them, reviewing them, and then approving the annual training plan that prioritizes training regarding legal and statutory compliance, and client satisfaction. Management assigns resources through a general budget. The company has a training school that including 14 days of training for those who are brought into the Well Testing and Early Production Facilities business lines (oil for people without an oil background, basic hydraulics, hydraulic pumping, bottom-hole and surface components, general aspects and specifications of MTU, early production facility components and operation, characterization of fluids through lab analyses), petroleum engineers, completion tools, well productivity, nodal analysis, Syal and Claw software, setup of temperature sensors to interpret pressure and well characterization tests, workplace risk prevention certification. From 2015 to 2019, 60,714 hours of training were given. In order to increase the scope of our training and knowledge development in our people, we have implemented an E-learning Platform (Annex: E-learning Platform) in which each employee accesses a virtual campus to complete courses assigned based on their needs. Each individual can see their progress, and many courses have evaluations. All of this is done to manage our human resources through good digital practices that benefit employees and the organization through improving its management and making it more efficient.

Communication to and from employees is constant through different channels such as meetings, shift handovers, stand downs, quality sessions, claims and transparency box, posters, emails, online groups and group chats.

Description	*Evidence*	*Connected Results*
3a.1 Management of people through the Human Resources Department (Selection, hiring, onboarding, profiles, induction, career planning) ***Owner:*** Human Resources Management We have a Career and Succession Plan in the organization that allows us to identify high potentials to cover key positions based on established career paths that are designed to assist in the professional development of our employees and boost the development of our human resources. This program includes the possibility of international transfers to countries where we have permanent operations (Mexico, Peru, Colombia), which gives our employees the opportunity to get to know new cultures and acquire more experience. Evaluation results reflect a satisfactory level with the career plan, and low rotation due to personnel resigning from their positions is the result of actions taken to retain the best employees. Complementarily, the relationship between administrative employees and operational employees is monitored to ensure that selection and hiring processes are effective, and to take timely actions if deviations are detected.	Annex 31 Selection Process Annex 32 Succession Programs	7a6 Career Plan Satisfaction 7b3 Administrative Head Count 7b4 Voluntary Rotation

CRITERIA 2: STRATEGY – FACILITATING AGENTS

Description	*Evidence*	*Connected Results*
3a.2 Personnel surveys to identify needs and expectations On an annual basis, SERTECPET works to evaluate the working environment throughout the organization. This is a process that evaluates 5 aspects: Company, Equality and Recognition, Interpersonal Relationships, Leadership and Communication. The results obtained from the evaluation are used to create action plans for each area with the objective of permanently improving the working environment of the organization, and for SERTECPET to be the best place to work.	Annex 34 Working environment evaluation	7a8 Satisfaction with Performance Evaluation 7b6 Performance Evaluation
3b.1 Performance evaluation ***Owner:*** Human Resources Management We use a system for the competency development evaluation process of all employees. In this process, meetings are held to share the results of the evaluations made by managers of their subordinates in order to inform them of the perception regarding their performance, the degree of compliance with expected individual objectives, their performance in response to the interests of the organization, and to identify opportunities for improvement that are included in an Individual Development Plan (IDP) that is monitored until it is complete.	Annex 31 Selection Process Annex 32 Succession Programs	7a8 Satisfaction with Performance Evaluation 7b6 Performance Evaluation
3b.2 Training ***Owner:*** Human Resources Management We provide different internal and external training programs. We have a virtual training platform (E-Learning), which has training programs that help to close gaps in knowledge and develop abilities, which in turn will provide opportunities for growth within the organization. Training needs are determined annually based on performance evaluations (competencies, results, and technical knowledge), the level of employability of the employees, and statutory aspects suggested by the Integral Management System or to mitigate work risks, and priority is placed on training programs by the heads of the different areas. Evaluation focuses on fulfilling the Training Plan, the level of satisfaction of the participant in terms of the training received and the hours of training given. This information is then used to take timely actions for improvement.	Annex 35 Training Planning	7a9 Satisfaction with Training 7b7 Training Hours
3c.1 Alignment of personnel with the organization (IMS Control and Assurance Sessions, Quality Circles). Owner: Corporate ManagementIMS Control and Assurance Sessions. – These sessions are focused on the amount of Growth and Learning of the BSC of the area, which allows us to fulfill objectives set. Quality Circles. – The purpose of this activity is to generate awareness about the concepts of quality and productivity among the members of an organization, emphasizing the importance of teamwork and the benefits resulting from exchanging experiences and knowledge, which comes from studying and solving problems that affect performance and the quality of a service. To do this, there is a procedure to be followed: EC.GC.WT.PR.002. By implementing Quality Circles in the Field, the company seeks to mitigate or eliminate operational failures and improve the service provided to our Clients. Quality Circles are part of a process of continuous improvement and quality reinforcement. The purpose of evaluations is to identify the level of acceptance and how involved the employees are in implementing these methodologies designed to identify common causes and propose solutions to problems arising during operations	Annex 36 Quality Circle and Session Planning	7a10 Satisfaction with Quality Sessions 7b8 Participation in quality sessions

Description	Evidence	Connected Results
3d.1 Internal channels of communication toward personnel (Transparency Box) Owner: Corporate Auditing and Compliance We have a channel for receiving external complaints managed by a third-part company so that employees and/or stakeholders can report acts of bribery, corruption and/or fraud or any other irregularity through the webpage www.resguarda.com/sertecpet, using the email address transparencia.sertecpet@resguarda.com, or calling 1800-000-031 from 8:00 to 22:00. This system guarantees that complaints can be filed anonymously and confidentially, and ensures that information is handled with integrity and securely. Additionally, we have an internal transparency box on our website http://www.sertecpet.net/buzontransparencia or using the following email addresses: compliance@sertecpet.com ,transparencia@sertecpet.net. Information is handled confidentially from the area of Corporate Auditing and Compliance, which has the primary responsibility of analyzing the complaints received. The facility of reporting them, as well as the actions taken to resolve them are monitored through indicators. This process has resulted in improvements being made.	Annex 37 Information on Transparen cy Box	7a11 Satisfaction with channels of communication 7b9 Handling of complaints received
3e.1 Personnel Compensation Plans ***Owner:*** Human Resources Management We have a commitment system that allows us to provide a family-centered working environment because to us, each employee is a member of the SERTECPET family; and with that we seek to improve productivity and have a positive impact on the workplace to truly be able to consider ourselves a great place to work. The COMPENSATIONS POLICY EC.GI.TH.PO.01 establishes mechanisms for recognizing personnel, such as bonuses and rewards that are given to each employee for meeting organizational goals, seeking to establish greater external competitiveness and internal equality as well as a system that recognizes individual and collective efforts made to reach organizational objectives. In its remuneration policy, SERTECPET maintains bonus payments as variable remuneration, which are made as compensation for work done on time, as well as for following quality, safety and environmental care policies. The acceptance of this good practice is measured using a satisfaction indicator that contributes to identifying opportunities for continuous improvement.	Annex 38 Compensati on Policy	7a12 Satisfaction with compensation
3e.2 Internal Education for Personnel ***Owner:*** Human Resources Management To guarantee the proper workplace induction, the Operations School was created in 2015, the purpose of which is to form, train, and add to the knowledge of the personnel working in Operations. Its programs are based on the schedule of events found in the Annual Training Plan (ATP). School instructors have been selected from among the company's experienced technical personnel, offering them training and education not only in technical areas, but also in academic methodologies to benefit employees. Evaluation focuses on the number of employees trained in relation to the number of training programs given.	Annex 39 Operations School	7b10 Percentage of Personnel Trained at Operations School

CRITERIA 4

ALLIANCE AND RESOURCES

CRITERIA 4: ALLIANCE AND RESOURCES – INTRODUCTION

In Sertecpet S.A. we seek to optimize how we use resources and strategically manage our external alliances to ensure that our processes work effectively and efficiently, leading to positive impacts on society and on the environment.

Part of the responsibilities of the R+D+I area (Research, Development & Innovation) and Supply Chain & Logistics is to ensure that there is a positive relationship and open channels of communication with strategic providers that provide quality raw materials used to manufacture products of excellence to meet the needs and expectations of our clients.

Through positive collaboration between the different business lines and the financial area, we expect not only an improvement in financial indicators, but also the ability to maximize the useful life of assets and appropriately manage the organization's sources of financing, thus contributing to maintaining sustainability over time with an excellent reputation in the financial community.

To ensure that our assets are traceable, we use technological tools such as: "Dynamics AX," which allows us to record all relevant equipment information, and "SISMAC" for preventive and corrective maintenance.

Technological innovation gives us the opportunity to develop our engineering through design and simulation software, ensuring that our products and services meet the highest quality standards.

The digital strategy of SERTECPET has a wide scope, but starting with the implementation of a SDWAN network used to administrate the network and manage network traffic easier in real time from a centralized location. We created a "highway" based on a robust and intelligent network that allows us to not only manage IT resources and infrastructure, but to optimize them; with the network, we don't only maximize use of redundant links, but communication was boosted and new, unified services and apps were created.

Aligned with Environmental Management, and moving toward cleaner production with a focus on reducing the use of resources, specifically fuel and technological innovation, we received the Punto Verde certification from the Ministry of the Environment, thus showing our commitment to the environment.

Description	*Evidence*	*Connected Results*
4a.1 Provider and alliance management ***Owner:*** R+D+I R+D+I processes require strategic alliances that provide new knowledge, technologies, practices and inputs to improve and develop new products and services of excellence to the local and international market. We maintain very close relationships with multiple Universities and Institute that we exchange specific technical requirements with that are tailored to the needs of our clients, or to improve products and services. Measuring the satisfaction of our clients with our patents gives us insight into whether or not we are on the right track in implementing our processes, and if our alliances are truly contributing to our work.	Annex 40 University Alliances: Edinburgh and MIT	6a2 Level of Client Satisfaction with Patents

CRITERIA 4: ALLIANCES AND RESOURCES – FACILITATING AGENTS

Description	*Evidence*	*Connected Results*
4a2. Mutually beneficial negotiations for the organization ***Owner:*** Supply Chain & Logistics Our Supply Chain & Logistics department is in constant communication with our providers to negotiate beneficial conditions for both parties. In this sense, we have agreed to preferential pries to reduce our Total Cost of Ownership (TCO) and priority delivery times for products or services acquired in exchange for attractive procurement volumes. Measuring respect for our provider relationships is done using an indicator of the perception of the organization, while performance is evaluated based on delivery times, which provide information that helps us make improvements to strengthen our relationships.	Annex 41 Total Cost Ownership Methodology	9a2 Provider Perception of the Organization 9b1 Delivery Time Indicator n
4a3. Provider evaluation and qualification process ***Owner:*** Supply Chain & Logistics To efficiently follow internal and external processes of the organization, the Supply Chain & Logistics department has a PROCEDURE FOR PROCUREMENT OF LOCAL AND INTERNATIONAL GOODS AND SERVICES, CODE EC.GI.CO.PR.01, designed according to ISO 9001:2015, which details how the process is managed. We also have a PROCEDURE FOR QUALIFYING, EVALUATING AND RE-EVALUATING PROVIDERS, CODE GC.CO.PR.02 under principles of ethics and equality. The evaluation (provider qualification) is done by an external company, and the results of progress and fulfilling the criteria set by Sertecpet are presented periodically in reports. To complement this, the perception that our providers have of our company is also evaluated and then reviewed by the Supply Chain & Logistics area to make any decisions necessary.	Annex 42 Provider Qualification	9a2 Provider Perception of the Organization 9b3 Providers Qualified by SGS
4b.1 Economic Financial Plan (asset management, installed capacity, cashflow) ***Owner:*** Finance & Administration Management SERTECPET has the philosophy of constantly optimizing our resource management to increase efficiency and ensure that financial indicators, compared to previous years, continuously improve. Generating value for the company is done through constant interaction between operational business lines and the financial area, and the company seeks to implement the best possible strategies and launch the best possible initiatives to generate and protect cashflow, maximize use of assets (fixed and current), thus ensuring the sustainability of the company. This is done by applying the respective Accounting and Financial policies, Provider Credit Policies, Financing Policies, and any new procedures such as procurement committees, treasury committees, new project evaluation committees, and the investment committee. Financial management is evaluated through key process indicators reported monthly and reviewing in Executive Committee meetings and/or Monthly Kaizen Meetings, in which actions are taken in case of deviations.	Annex 43 Asset Management Process	9a5 Annual Income 9b4 Annual Asset Valuation

Description	Evidence	Connected Results
4b.2 Financial Management Planning ***Owner:*** Finance & Administration Management The financial planning done by SERTECPET consists of optimizing cash flow or minimum cash required for the working capital needed for operations. To do this, annual, quarterly and weekly cash flow projections are prepared to guarantee that cash flow requirements are met for at least the following quarter, particularly faced with recent market behavior in which collecting on outstanding invoices has been more complicated than normal. Likewise, the management team constantly sets challenging objectives for financial liquidity indicators that are reviewed in Executive Committee meetings and/or Monthly Kaizen Meetings, in which actions are taken in case of deviations. Additionally, profit and loss projections are prepared every six months so that actions can be taken based on the results.	Annex 44 Cashflow Process	9a3 Borrowing capacity indicator 9a6 Current liquidity 9a7 Annual net profit 9b5 Average time to collection
4b.3 Management of Sources of Financing ***Owner:*** Finance & Administration Management The proper management of the organization's sources of financing means that short- and long-term financing relationships have been handled adequately. This has allowed us to have an appropriate financing structure that is focused on satisfying our needs for resources for the operation, and to guarantee financial sustainability, maintaining optimal Debt / Equity levels. Financial performance is constantly evaluation using key process indicators and risk ratings published by CLASS INTERNATIONAL RATING, Calificadora de Riesgos S.A., obtaining a credit rating of AAA- since the 2016 fiscal year.	Annex 45 Main Sources of Financing	9a8 Credit rating
4b.3 Asset safety and control issues ***Owner:*** Fixed Asset Control The fixed asset management and control of the company is detailed in the MANUAL FOR CONTROLLING FIXED ASSETS, EC.GC.FI.MA.01, which details the steps to be taken depending on how the assets will be used in the operation, the respective custodians, where the equipment is located, and others. All assets have a QR code that is registered in the Dynamics AX ERP, which holds all of the information about the asset, such as the brand, model number, serial number, provider, the purchase invoice and the business line that is using the asset. For each asset, dispatch and reception documents are generated at the different locations where they will be used.	Annex 46 Manual of Fixed Assets	9b5 Annual Asset Valuation
4c.1 Preventive, corrective, and predictive maintenance plan (Production and ASME plants, API 18LCM- A special subsection)Owner: MaintenanceOur company has a detailed maintenance process for machinery, equipment and vehicles located in our industrial complex in the city of El Coca. Its purpose is to identify activities required to properly maintain the equipment, machinery, and tools that are used by the company to provide services, and to keep them in optimal conditions according to preventive planning and optimizing time. The criteria is documented containing preventive, correcting and predictive maintenance programs that are made available to all employees through ISOTools. Efforts are measured through key process indicators, one of which is fulfilling the integral management plan. This plan is monitored and reported on monthly using ISOTools, and results are reviewed in Executive Committee meetings and/or Monthly Kaizen Meetings, in which actions are taken in case of deviations.	Annex 47 Maintenance Plan	7a13 Internal maintenance customer

Description	Evidence	Connected Results
4c.2 Environmental policies (at introduction, develop a hook for anything related to benchmarking) ***Owner:*** Environmental Management Our company has a License, an Environmental Management Plan and an ISO 14001:2015 certification. As part of this process, certain aspects are identified and impacts associated with normal operations and emergencies are evaluated. This information is then complemented with controls to eliminate or reduce risk. The methodology is defined in Internal Procedure EC.GS.MA.PR.06, PROCEDURE FOR IDENTIFYING AND EVALUATING ENVIRONMENTAL ASPECTS AND IMPACTS, which has been used to identify 12 matrixes that are periodically updated through continuous improvement processes, such as: Internal Audits, External Audits, Environmental Accidents, and Inspections, among others. Results are evaluated using indicators that are reported monthly, and are presented through reports submitted periodically to Senior Management, Stand Downs, and reports submitted periodically to Control Agencies. To demonstrate our commitment to environmental protection and care, the company obtained the Punto Verde certification in November 2019 with a 97% audit compliance rate.	Annex 49 Environmental Policies Annex 36 Punto Verde Certification ISO14001:2015 Lloyd´s Certification ISO14001:2015 API Certification	7a14 Health, Safety and Environment knowledge level 8b2 Special waste index 8b3 Waste generation index (Limalla) 8b4 Volume of spill impact 8b5 Environmental Accident Index

CRITERIA 5

PROCESSES, PRODUCTS AND SERVICES

CRITERIA 5: PROCESSES, PRODUCTS AND SERVICES – INTRODUCTION

Our IMS is based on managing strategic, operational, and support processes for undertaking company activities, detailed in process maps.
Defining, reviewing and documenting processes is done based on an ISO 9001 procedure. Once characterizations and flowcharts are reviewed and approved, a master list of documents that are incorporated into the IMS and a technological tool (ISOTools) is prepared for processing, which allows for indicators to be implemented to evaluate processes through the Balanced Scorecard methodology.
Our flexibility in adapting ourselves to the needs of our clients and demanding markets encourages us to implement integrated processes geared toward the development of both our products and our services in terms of technological innovation, and based on the real needs and expectations of our clients. These needs and expectations are identified in a meeting using a planned marketing strategy in order to generate value and end up with a win-win scenario.
Finally, we are in a digital transformation process that will become a means to having more efficient, more effective, and centralized processes, so that all of the information generated in our activities can be consolidated, processed and managed securely and reliably.

CRITERIA 5: PROCESSES, PRODUCTS AND SERVICES – INTRODUCTION

Description	*Evidence*	*Connected Results*
5a.1 Management through processes ***Owner:*** Corporate Management Our IMS is process-based for all activities of the company. For this purpose, we have created a Process Map (See Annex: Process Map), which is classified into Strategic, Operational and Support Processes. Once characterizations and flowcharts are reviewed and approved, a master list of documents to be incorporated into the IMS and ISOTOOLS is prepared for processing, allowing for them to be continuously improved. This results in a constantly updated modifications sheet. The evaluation of improvements made is done through a report on Results and Changes Identified – Kaizen in Processes, Internal Audits, and External Audits under quality standards.	Annex 58 Process Map	7a16 Results and Identification of Changes-Kaizen in Processes 9b6 Percentage of Processes updated and revised
5a.2 Characterization and Analysis of Added Value of Processes ***Owner:*** Corporate Management The form used for characterizing Process CR.GI.GE.RE.020 PROCESS ANALYSIS has a section where indicators that all for the process to be measured by the party responsible are identified. ISOTOOLS has an app, Indicators, that allows for results of process management to be monitored based on the Balanced Scorecard methodology. Parties responsible for the process have until the 10th of each month to enter the respective information. Once it is processed, monthly reports are issued and then evaluated in Executive Committee meetings and/or Monthly Kaizen Meetings, in which actions are taken in case of deviations oriented toward simplifying processes.	Annex 59 Tools for Planning and improving Processes	7a17 Results and Identification of Changes-Kaizen in Processes

CRITERIA 5: PROCESSES, PRODUCTS AND SERVICES – INTRODUCTION

Description	*Evidence*	*Connected Results*
5b.1 Improvement processes for product characteristics ***Owner:*** Commercial Management All new products or services or incremental improvements made to the portfolio of existing products or services responds to a clear need of our clients and directly contributes to improved performance and generating greater trust in them. Our constant work and joint efforts with our Clients have led to opportunities of working on Public-Private Partnerships, such as an agreement signed with the Secretariat of Science and Technology of the National Government, through which we participated in the INGENIATEC competition. As a result, we were awarding with 16 products being catalogued in the Public Procurement Service – SERCOP. This helped our Client and contributed to the National Industry.	Annex 15 Portfolio of Products and Services	6a3 Percentage of needs met and expectations fulfilled 9a12 Effectiveness of Bid Submittals
5b.2 Meetings held to identify client needs and expectations Annually and through direct meetings held with our clients, based on secondary information available from different sources of public information and based on our client satisfaction surveys, we established the market potential for each one of the aforementioned segments and projected the needs of each client for our products and services, which are then translated into our budgeting exercises. Identifying and following up on meetings with clients is done using CRM-AX, where business opportunities are registered and monitored for current and potential products and services.	Annex 60 Sertecpet Marketing Plan	6a3 Percentage of needs met and expectations fulfilled
5c.1 Marketing, Sales, and Promotion Plan SERTECPET is characterized by its constant innovation and flexibility to adapt to market demands using an E-Business system that has the following technological tools: Fairs.- SERTECPET has been present at different local and international fairs to present its important portfolio of products and services. In this sense, in Ecuador we have regularly participated in the "Oil & Power" fair, which is held by HJ Becdach Ferias. Our local participation has led us to participate in industry fairs in Brazil, the US, Argentina, Mexico, Colombia, Peru, Bahrein (Middle East), and Russia, and in technological conferences in Saudi Arabia, Kuwait, Egypt, Angola and Japan. Consortiums.- To boost its growth strategy, SERTECPET considers consortiums to be a tool for widening its scope of operations. Therefore, we are part of Consorcio Pardaliservices, which consists of Schlumberger, Tecpetrol and Canacol in addition to SERTECPET, the objective of which is to provide enhanced oil recovery services by making investments in the Libertador field in the Ecuadorian Amazon Region, one of the country's mature fields. Likewise, we have formed a consortium with Techint to provide facilities construction services for the Shaya consortium, which in turn is a Schlumberger consortium. Shay operates one of the most important fields in the Ecuadorian Amazon: the Auca field. Measurement is done using Fair Participation and Positioning Indicators, the results of which allow us to take actions to improve results.	Annex 61 Workshops and Fairs	8a4 Satisfaction of Public with Workshop 8a5 Level of Satisfaction with Outtakes 8b9 Positioning of the Brand in Media 8b10 Participation in Fairs and Workshops

CRITERIA 5: PROCESSES, PRODUCTS AND SERVICES – INTRODUCTION

Description	*Evidence*	*Connected Results*
5.d1 Production and Execution Plans Owner: Production PlantThe organization prepares its production plans based on orders made by clients, which are scheduled and executed through a systematized design, production and quality control system for the products that the company manufactures, ensuring that technical specifications for the job requested are delivered. The plans allow for production machinery use, facilities, equipment, and supplies to be planned. Production efficiency is measured using key process indicators that are reported and reviewed weekly in Kaizen meetings. The results allow us to take timely actions to ensure that objectives are met.	Annex 62 Flowchart of Production Plant	9b7 Product Non-Conformity Index Installed Capacity Use of Machinery
5e.1 Management of Client Complaints and Non-Conformities Owner: Corporate Management The organization has established a procedure for managing Non-Conformities, Corrective Actions, and Preventive Actions, in which all deviation identified, including client complaints, are analyzed and answered. This is based on a root-cause analysis, based on which an action plan including deadlines and parties responsible for definitive closure is prepared. Then an evaluation of the effectiveness of the actions taken is done to prevent such issues from reoccurring. Managing non-conformities is done through the Findings app found on the ISOTools platform. Results are reported monthly to managerial levels and process leaders. Quality, safety and environmental events are reported on weekly in Kaizen meetings to define actions to be taken. This information allows us to analyze failures in Quality and repetitive Health, Safety and Environment events to prepare comprehensive improvement plans.	Annex 62 Flowchart of Production Plant	9b7 Product Non-Conformity Index Installed Capacity Use of Machinery
5e.2 Communication with Clients Owner: Commercial Management Sertecpet communicates with its clients using several media channels that form part of the infrastructure of the company and the facilities that the organization provides to its employees involved in the commercial process. This allows us to establish active channels of communication, providing our products and services with more value for each segment of current and potential clients. Additionally, external media is used for communication purposes. Meetings with Clients: periodic visits made by those responsible for accounts or projects, SQM (Square Quality Meetings) with clients to answer questions or identify potential business opportunities, evaluate performance and take actions to improve. Website: The new SERTECPET website facilitates navigation through our different business lines. Likewise, a protected site is being designed where the commercial team of the company will be able to access content such as catalogues, multimedia content, technical data sheets, and other material that they need to facilitate commercial efforts. The website is evaluated using Google Analytics as well as internal reports to analyze and adjust its effectiveness. Social Networks: SERTECPET has a presence on leading social media networks, including Facebook, Instagram and Twitter, which are managed by the Corporate Communication department. Through these mechanisms, we interact with the community, sharing our history and capacity developed over our 26-year history. We recently launched our campaign called “Proud of Our History,” which summarizes the entire lifespan of the organization, from its beginnings up until the present. Impact is periodically measured using external evaluations (website and social media), and assertiveness of potential business. Actions for improvement are taken based on the results.	Annex 65 Brand Diffusion Mechanisms	8a5 Level of Satisfaction with Outtakes 8b7 Positioning of the Brand in Media

CRITERIA 6

INTRODUCTION

CRITERIA 6 – INTRODUCTION

Environment and Relevance
The results presented below are aligned to the Mission, Vision, and Values of the organization to establish how the planning done is measured and evaluated.

Integrity of Results
The results are based on sustainable information related to client feedback and contact; submitting responses anonymously allows us to guarantee that the results reflect reality. Client satisfaction is based on different aspects that both the organization and its clients consider to be relevant in providing services and the direct contact that we have with them.

Objectives
The organization has the objective of continuously improving based on client feedback. The highest score, which is 5, is the primary objective for perfection in rendering services and ensuring client fidelity over the long term.

Segmentation of Results
Results are segmented into the different business lines due to the differentiation of the service as such, and at the same time, our clients present different needs for each activity and group so that leaders can take actions regarding opportunities for improvement that could arise. Despite that, the same fields that are in our service satisfaction surveys are included.

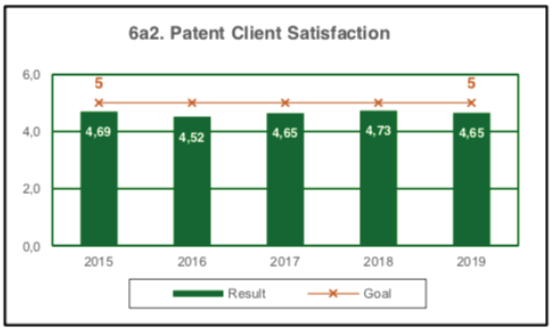
Comparisons
Due to the fact that the market is focused on the same segment of clients, results based on the same evaluations and measurements have been gathered to identify how successful we are, and whether or not our actions are effective in terms of those who compete for the same results.

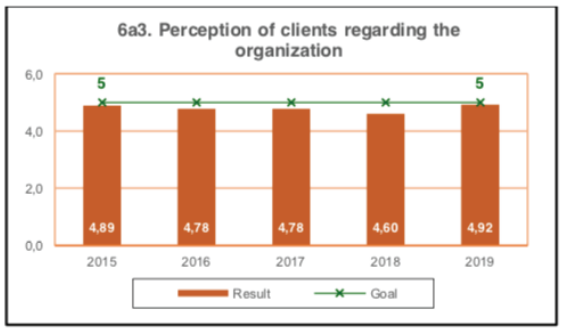
Cause-Effect Relationship
The indicators that the organization uses to establish results have the purposes of finding new mechanisms to offer to clients, but based on the same fields of measurement; therefore, they remain on course for the next few years given the good results seen.

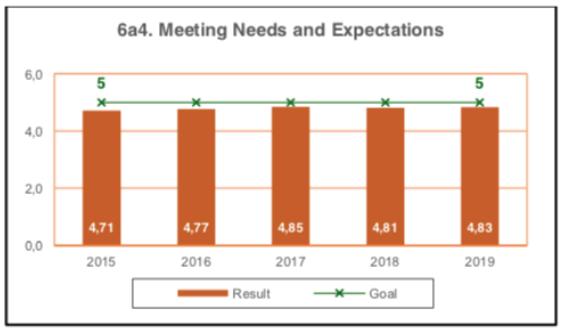
CRITERIA 6 – INTRODUCTION

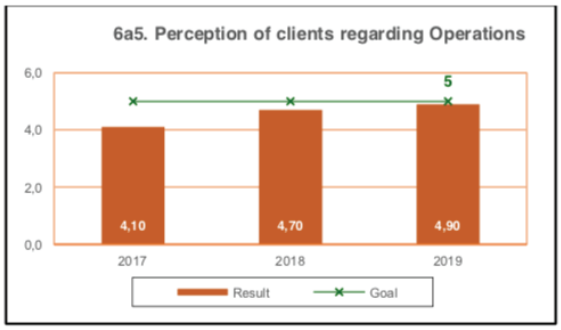
	Name	*Focus*	*Strategic Objective*
6a2	Client Satisfaction with Patents	1d2, 4d1	Obj. N.- 3
6a3	Client perception of the organization	2a1, 5b1, 5b2	Obj. N.- 3
6a4	Percentage of needs met and expectations fulfilled	2a2	Obj. N.- 13
6a5	Client Perception of Operations	4a1	Obj. N.- 6
6a6	Satisfaction with IT Improvements	4d2	Obj. N.-13
6a7	Perception of the Data Protection Policy	4e1	Obj. N.-13
6b1	Hours of Operation with MTU	1c1	Obj. N.-7
6b2	Indicator of Organization's Patents	1d2, 4d1	Obj. N.-7
6b3	Market Share	2a1	Obj. N.-4
6b4	Percentage of Responses from Clients	2a2	Obj. N.-3
6b5	BSC Results	2b1, 2c1	Obj. N.-7
6b6	Percentage of Improvements to IT Systems	4d2	Obj. N.- 13
6b7	Percentage of Policy delivery	4e1	Obj. N.- 6
6b8	Percentage of Complaints Resolved	5e1	Obj. N.- 7
6b9	Average Time Required to Resolve Complaints	5e1	Obj. N.- 7

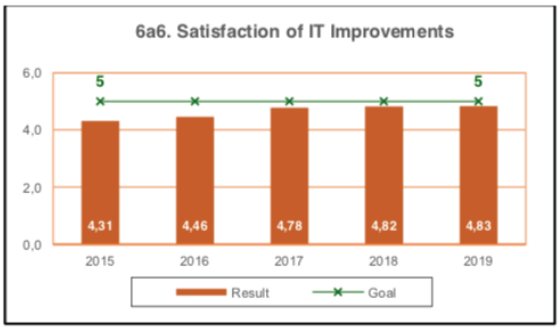
CRITERIA 6A – RESULTS IN CLIENTS - PERCEPTION

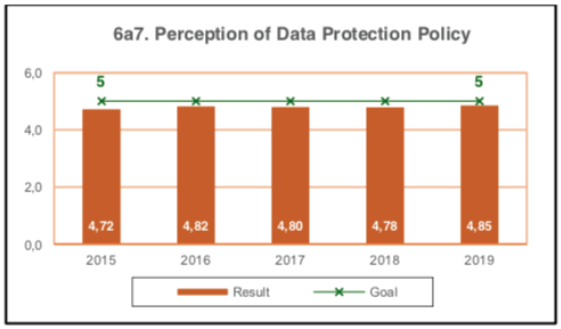




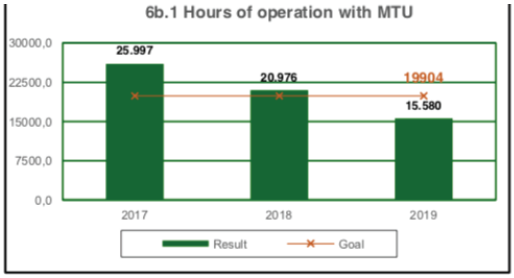


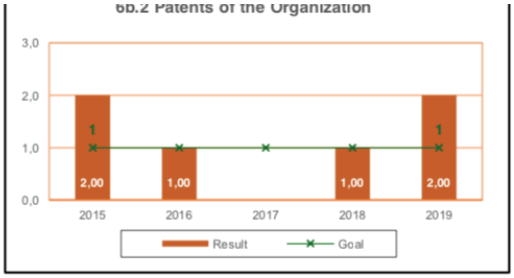


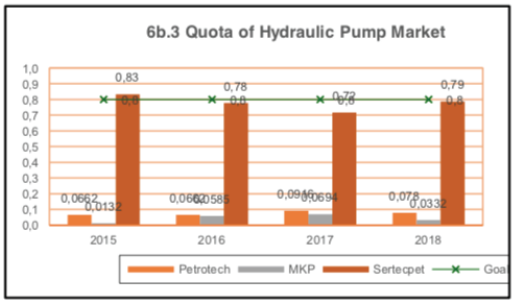


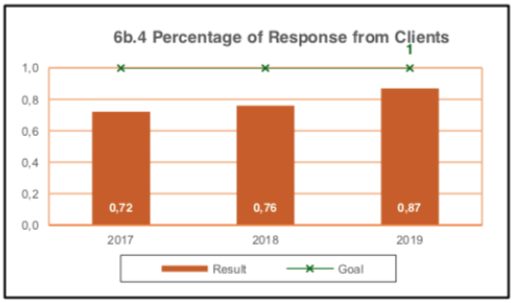


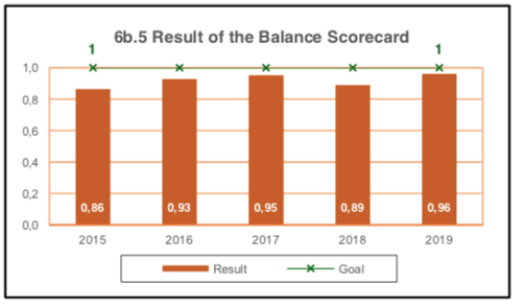
CRITERIA 6B - RESULTS IN CLIENTS – PERFORMANCE INDICATORS

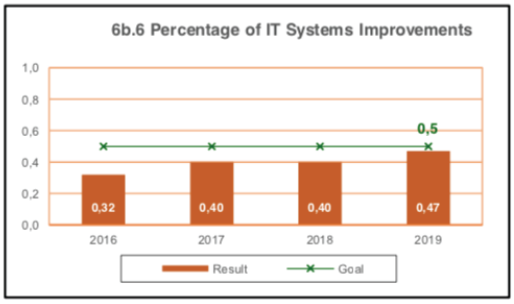


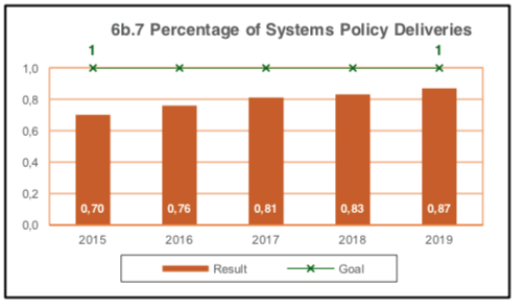


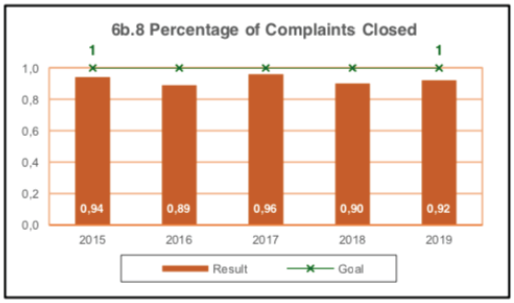


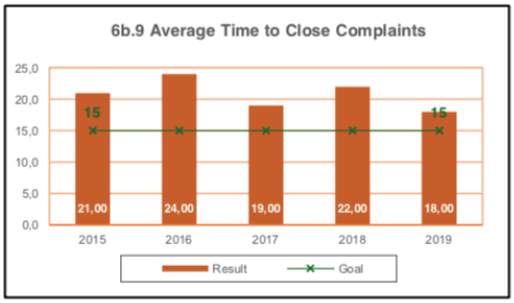












CRITERIA 7

INTRODUCTION

Key Results

CRITERIA 7– INTRODUCTION

Scope and Relevance
With regards to people, the results show that it is important to promote personal and professional development of our employees who employ all of their abilities within a system of trust toward the organization and the commitment that they show in meeting their objectives.

Integrity of Results
The indicators reflect the status of our people, as is seen in the guidelines of the company. The information is totally confidential to ensure the best answers possible, and to guarantee that they will be heard regardless of the response submitted.

Objectives
The objective is to establish an optimal working environment for those who carry out their activities with the efficiency expected by senior management. They also remain committed to reaching the objectives set, and make them personal when the objectives of the company are met.

Segmentation of Results
The results focus on each hierarchical level, and also on a level on which each area can present their own results and can then differentiate them from those set on an organizational level.

Comparisons
On a level of a set of working environment indicators of the company, we make comparisons with the situation that other companies have.

Cause-Effect Relationship
The value offered by the organization has always been the improvement and adaptation of our employees to the organizational working environment to reach our objectives. Improvements in results are planned progressively over a 5-year period, as established by strategic planning.

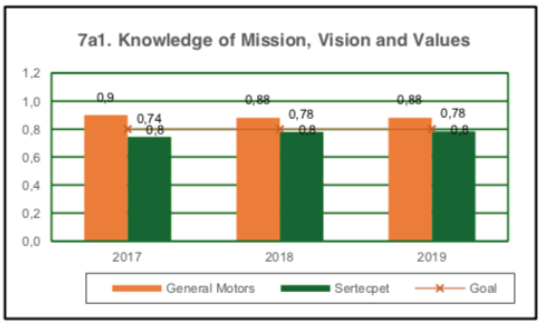
CRITERIA 7: INTRODUCTION

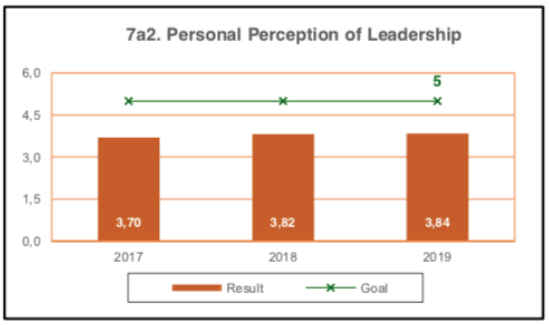
	Name	*Focus*	*Strategic Objective*
7a1	Knowledge of Mission, Vision and Values of personnel	1a1, 2b1 and 2c1	Obj. N.- 6
7a2	Perception of personnel of Leadership assessment	1a4	Obj. N.- 7
7a3	Satisfaction with Coaching Indicator	1d1	Obj. N.- 11
7a4	Perception of employees regarding Management of Change	1e1	Obj. N.- 10
7a5	Perception of Stand Downs	2d2	Obj. N.- 10
7a6	Level of satisfaction with work position	v2d3	Obj. N.- 10
7a7	Satisfaction of Career Plan	3a1	Obj. N.- 10
7a8	Sertecpet Work Environment	3a2	Obj. N.- 10
7a9	Satisfaction of Performance Assessment	3b1	Obj. N.- 7
7a10	Satisfaction of Training	3b2	Obj. N.- 11
7a11	Satisfaction of Personnel of Quality Work Days	3c1	Obj. N.- 6
7a12	Satisfaction of Communication Channels	3d1	Obj. N.- 6
7a13	Satisfaction of Compensations	3e1	Obj. N.- 10
7a14	Satisfaction of Internal Maintenance Client	4c1	Obj. N.- 7
7a15	Level of Knowledge of Environmental Policy	4c2	Obj. N.- 9

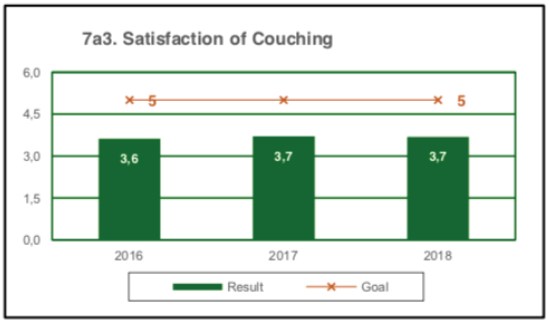
CRITERIA 7: INTRODUCTION

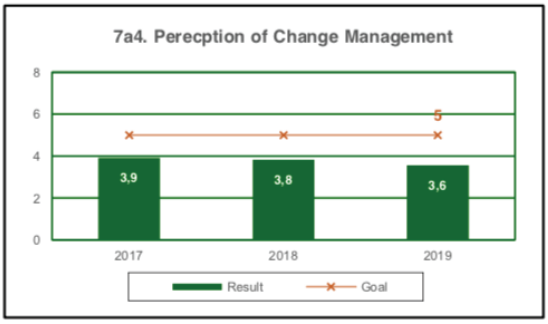
	Name	Focus	Strategic Objective
7a16	Internal Client Satisfaction with HSE	4c3	Obj. N.- 8
7a17	Identification Results of Changes-Kaizen in Processes	5a1 and 5a2	Obj. N.- 7
7b1	Percentage of Disclosure of the Ethics Code	1a2	Obj. N.- 6
7b2	Participation of personnel assessed in Leadership	1a4	Obj. N.- 10
7b3	Administrative Head Count	3a1	Obj. N.- 7
7b4	Voluntary Rotation	3a1	Obj. N.- 8
7b5	Personnel assessed in Work Environment	3a2	Obj. N.- 10
7b6	Performance Assessment	3b1	Obj. N.- 11
7b7	Training Hours	3b2	Obj. N.- 11
7b8	Participation of Personnel in Quality Work Days	3c1	Obj. N.- 6
7b9	Management of complaints received	3d1	Obj. N.- 7
7b10	Percentage of Personnel Trained in Operations School	3e2	Obj. N.- 11
7b11	Performance of the Maintenance Plan	4c1	Obj. N.- 7
7b12	Information Security Indicator	4e2	Obj. N.-13

CRITERIA 7A – RESULTS IN PEOPLE – PERCEPTION

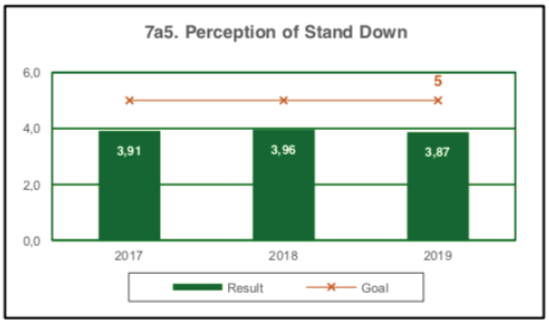


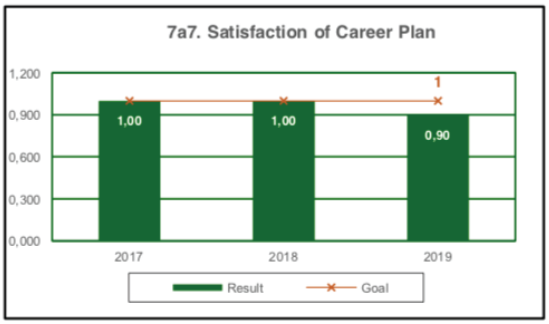


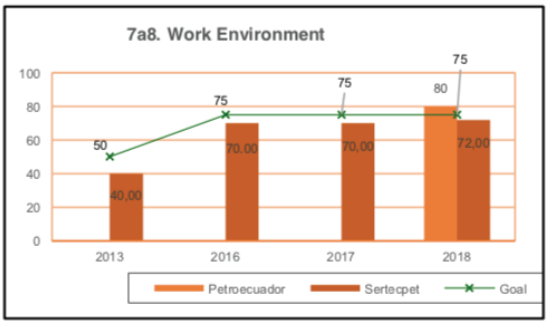


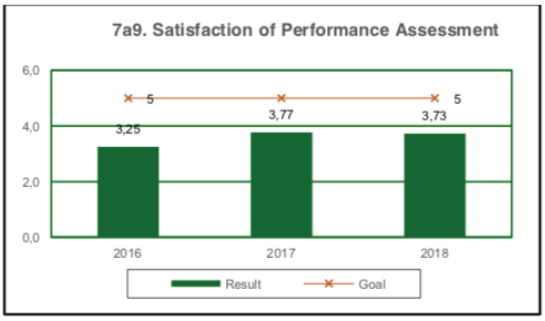


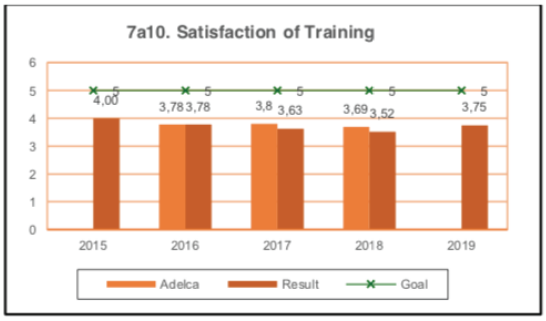
CRITERIA 7A – RESULTS IN PEOPLE – PERCEPTION

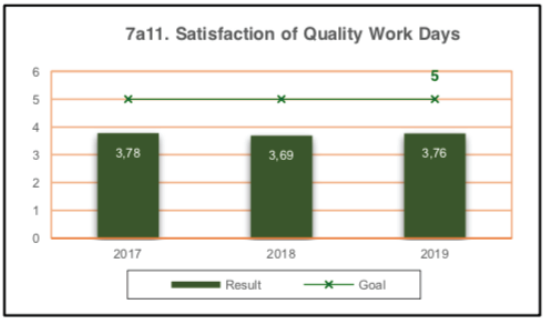


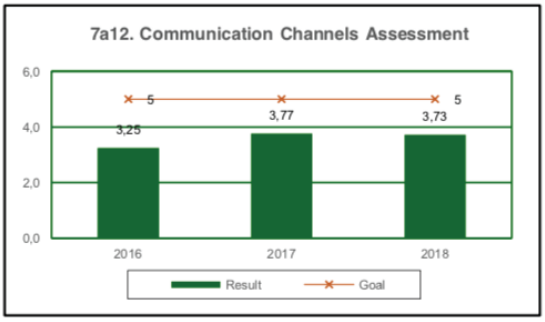




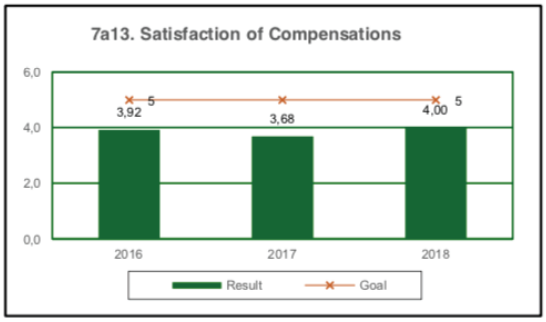


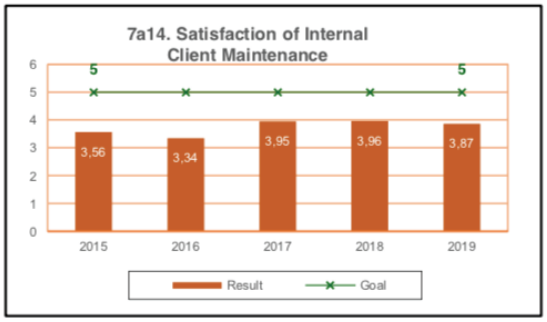


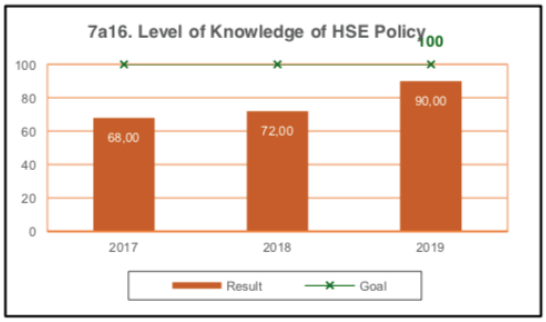


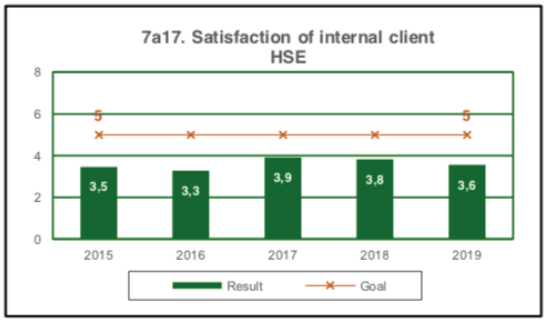


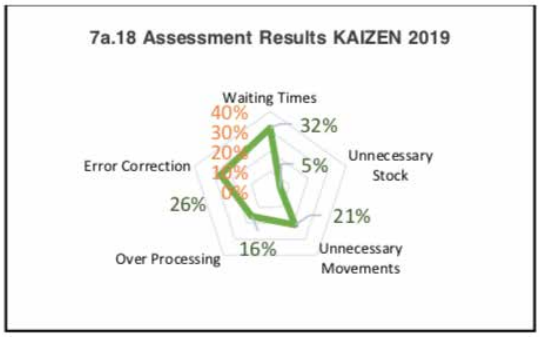
CRITERIA 7A – RESULTS IN PEOPLE – PERCEPTION



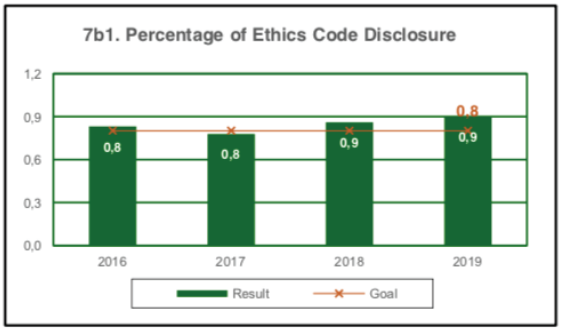


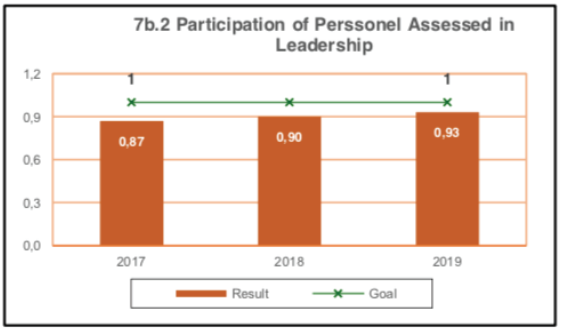




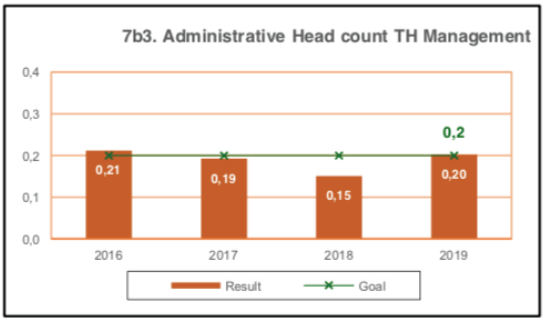


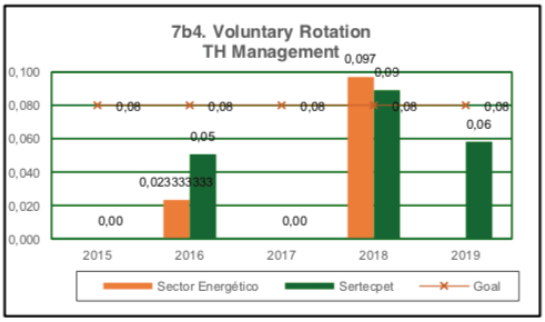
CRITERIA 7B - RESULTS IN PEOPLE– PERFORMANCE INDICATORS

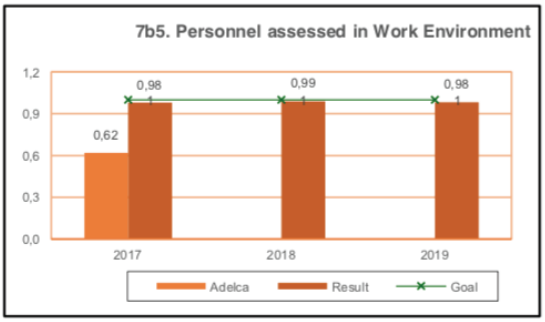


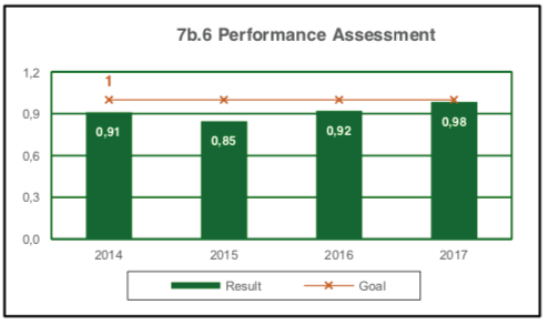


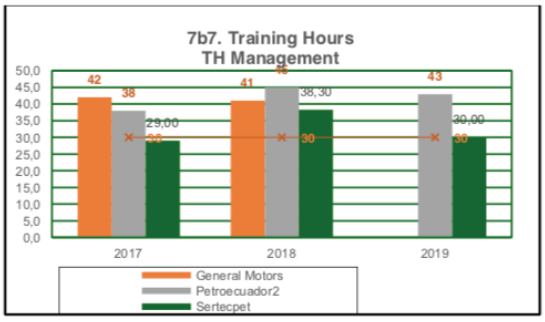
CRITERIA 7B - RESULTS IN PEOPLE– PERFORMANCE INDICATORS

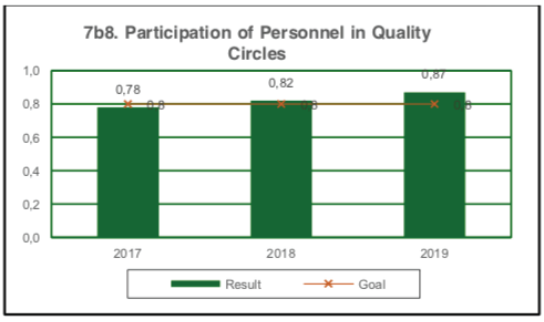




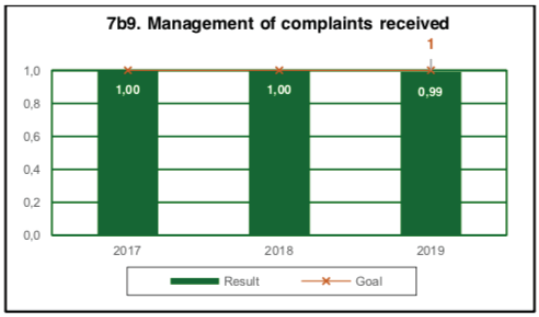


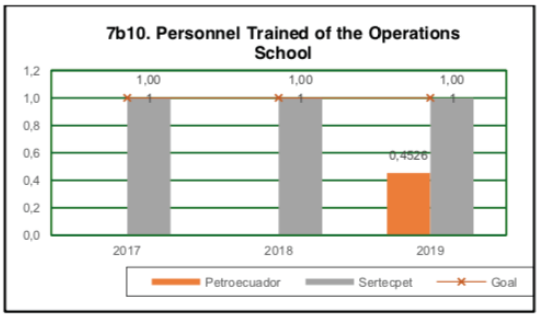


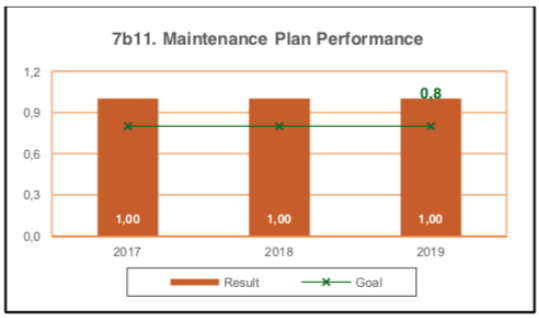


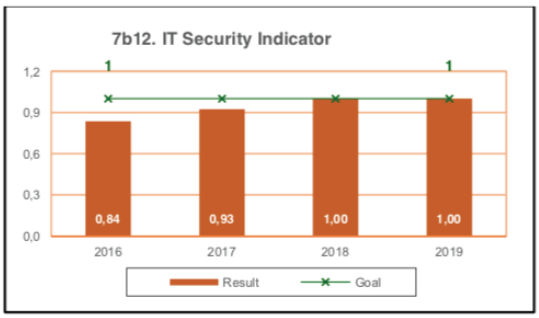


CRITERIA 7B - RESULTS IN PEOPLE– PERFORMANCE INDICATORS









CRITERIA 8

INTRODUCTION

CRITERIA 8 – INTRODUCTION

Scope and Relevance
The results focus on the capacity that we have to respond to the needs and expectations of society. Those who are in our environment coexist without operations, and it is therefore our obligation to maintain a cordial, mutually beneficial relationship with them, and therefore expect positive results that do not give rise to unrest or damage to such environment.

Integrity of Results
The communities and stakeholder groups respond confidentially. This helps to build trust in order for them to feel comfortable making positive or negative statements without affecting the relationship between the parties.

Objectives
The objective of the organization is to established a good relationship with society, with the community, and with different stakeholder groups in such a way that we can meet the needs that they currently have, and can fulfill their long-term expectations based on direct and personal contact.

Segmentation of Results
Stakeholder groups have been divided according to our CR.GI.RD.XA.05 Identification Matrix of Stakeholder Needs and Expectations, which include: The Community, Entities of Control, Government
33 | P a g eAuthorities, etc., all of which have different requirements based on the relationship that they have with the organization.

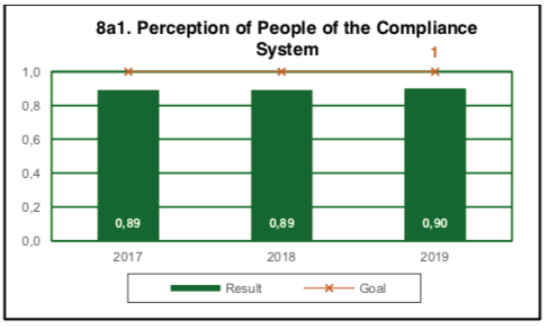
Comparisons
Each organization responds differently and confidentially to the different needs of stakeholder groups, so certain data that reflects our work with them compared to other companies in our environment is maintained.

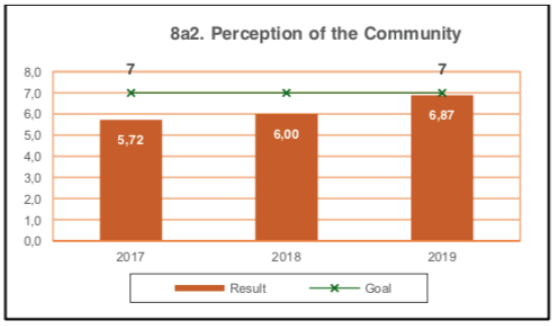
Cause-Effect Relationship
The indicators remain the same, but based on the results that are presented by external agents directly affected by the organization, improvements are evaluated and implemented in the projections of the following year.

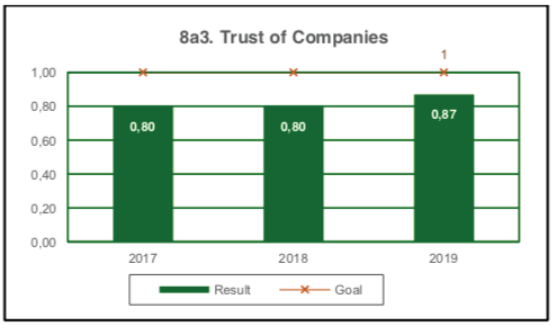
CRITERIA 6 – INTRODUCTION

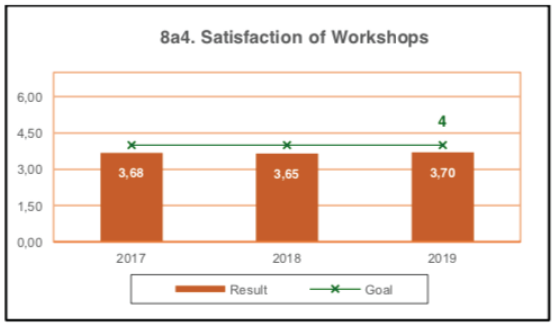
	Name	*Focus*	*Strategic Objective*
8a1	Perception of People of the Compliance System	1a3	Obj. N.- 7
8a2	Perception of the Community	1c3	Obj. N.- 9
8a3	Level of Trust of Companies	1c4	Obj. N.- 3
8a4	Satisfaction of Society regarding Workshops and Fairs	5c1	Obj. N.- 5
8a5	Level of Satisfaction Outtakes	5c1	Obj. N.- 3
8b1	Personnel Contracted of the Zone Indicator	1c3	Obj. N.- 7
8b2	Special Waste Index	4c2	Obj. N.- 8
8b3	Waste Generation Index (Limalla)	4c2	Obj. N.- 8
8b4	Number of Environmental Accidents	4c2	Obj. N.- 8
8b5	Safe Claw Reports Closed	4c3	Obj. N.- 8
8b6	Frequency Index (HSE)	4c3	Obj. N.- 8
8b7	Severity Index (HSE)	4c3	Obj. N.- 8
8b8	Media Brand Positioning	5c1	Obj.N.-4&5
8b9	Participation in Fairs and Workshops	5c1	Obj.N.-4&5

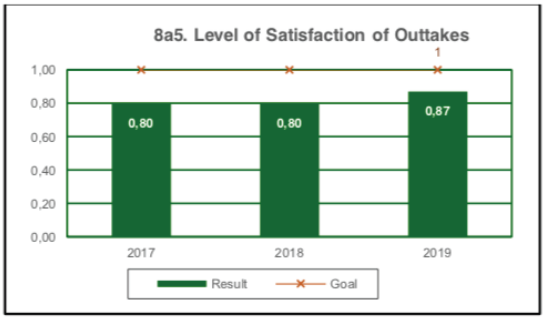
CRITERIA 8A – RESULTS IN SOCIETY – PERCEPTION



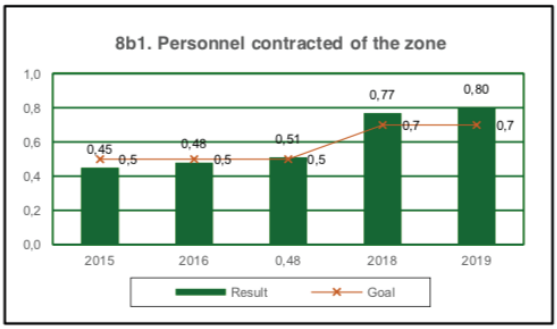


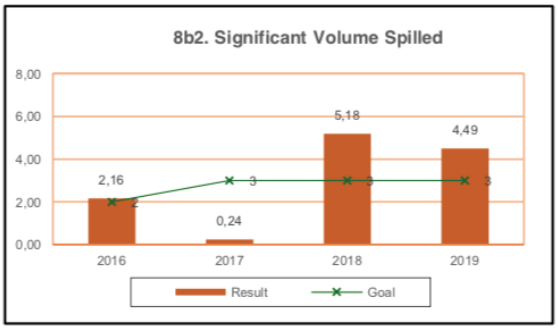


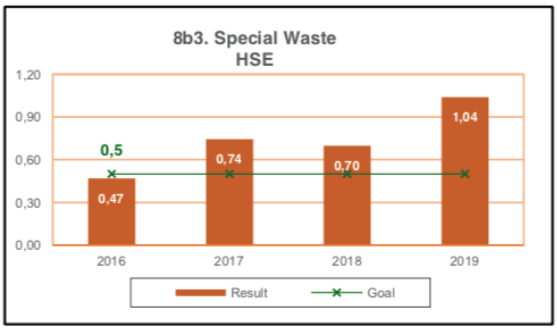


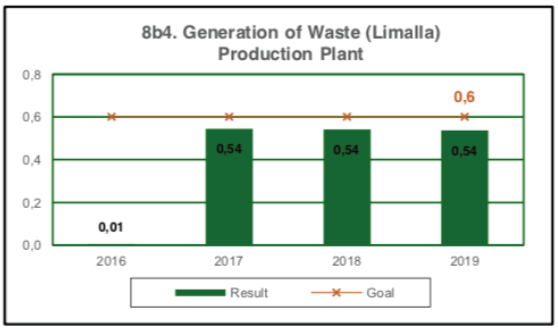


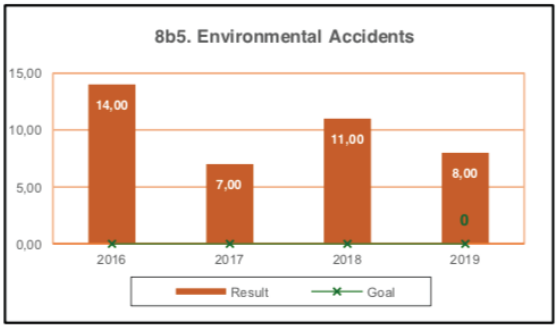
CRITERIA 8B – RESULTS IN SOCIETY – PERFORMANCE INDICATORS

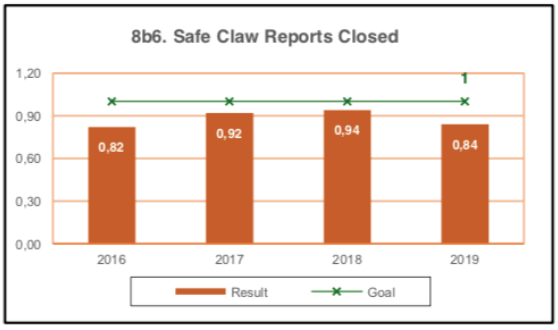


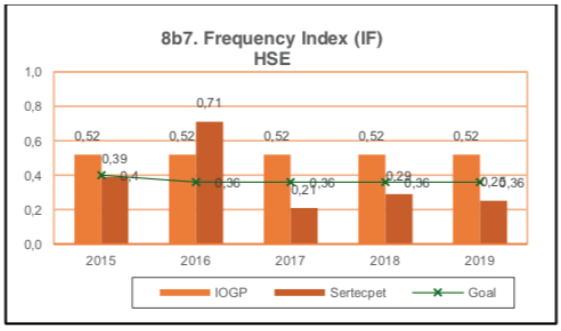


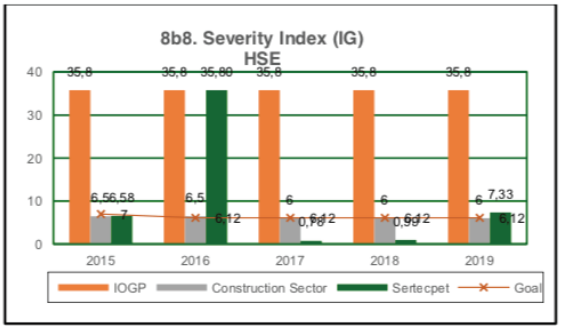




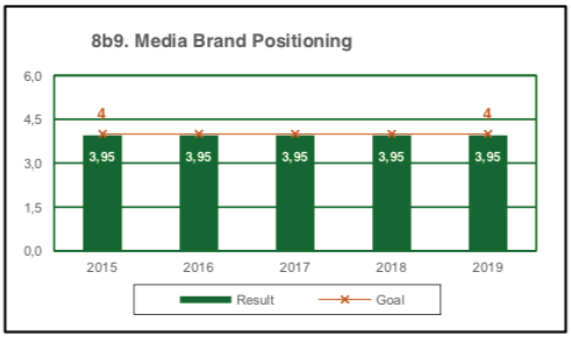


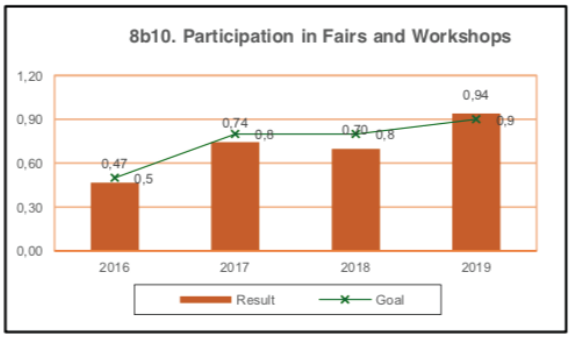






CRITERIA 8B – RESULTS IN SOCIETY – PERFORMANCE INDICATORS





CRITERIA 9

INTRODUCTION

CRITERIA 9 – INTRODUCTION

Scope and Relevance
The organization is focused on process performance, and the results presented summarize the capacities and functions of each key process in order for each process to contribute to the strategic objectives that are set on an organizational level.

Integrity of Results
All processes have a subsystem for managing indicators that are reported on individually at each level of management. The basis of all information is trust that such information is realistic and contributes to the planning done by the area.

Objectives
The results have the purpose of quantifying process performance, and based on this evaluation the organization can take corrective or preventive actions. Monitoring is focused on continuous improvement and the integration of all processes when there are deviations. Our actions can then be redirected toward the desired effect.

Segmentation of Results
Results are grouped for each one of the processes, and a system of indicators corresponds to each one so that the performance of each process can be evaluated and action plans developed. They are also focused on the results that the organizations considers important in terms of negotiations with both clients in financial aspects or benefits for the company and in provider relationships that fulfill the parameters defined once negotiations have begun.

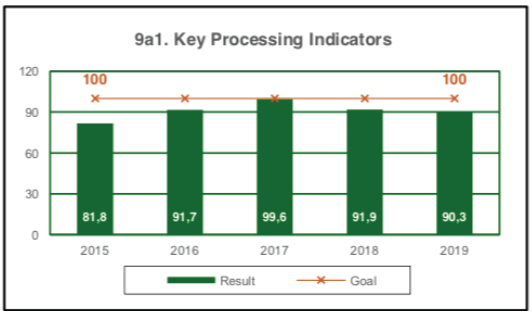
Comparisons
The companies show high performance in process management. Therefore, for all controllable processes we have established comparisons that allow us to determine how competitive we are, which 36 | P a g e put us on the same level as the most competent and largest companies in the market, given that they represent a direct threat.

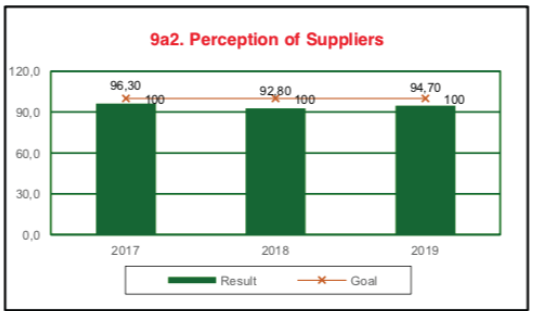
Cause-Effect Relationship
Process performance has been compromised based on the current circumstances of a contracting market; therefore, we have proposed to counter this situation with new objects focused on digital transformation; however, most indicators are key to any work done, so should remain the same to allow us to evaluate any increase or decrease that is relevant to the company.

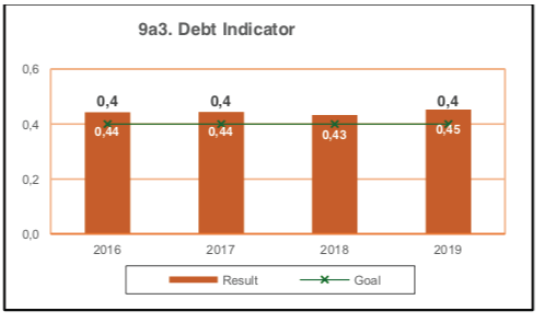
CRITERIA 6 – INTRODUCTION

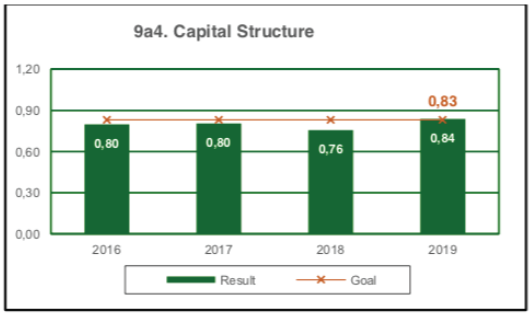
	Name	Focus	Strategic Objective
9a1	Key Processing Indicators (Dashboard)	1b1	Obj. N.- 7
9a2	Perception of Suppliers regarding the Organization	1c2, 4a2 and 4a3	Obj. N.- 7
9a3	Debt Indicator	1c4	Obj. N.- 2
9a4	Capital Structure Indicator	1c4	Obj. N.- 2
9a5	Annual Revenue	4b1	Obj. N.- 1
9a6	Current Liquidity	4b2	Obj. N.- 2
9a7	Annual Net Profit	4b1	Obj. N.- 2
9a8	Credit Rating	4b3	Obj. N.- 2
9a9	Investment in R+D+i Projects	4d1	Obj. N.- 7
9a10	Process Automation Indicator	4d1	Obj. N.- 13
9a11	Information Security Expenses	4e2	Obj. N.- 13
9a12	Bid Presentation Effectiveness	5b1	Obj. N.- 1
9b1	Delivery Term Indicator	1c1	Obj. N.- 7
9b2	Annual Operations Plan Compliance Indicator	2d1	Obj. N.- 6
9b3	Annual Strategic Alliances	4a1	Obj. N.- 5
9b4	Suppliers qualified by SGS	4a3	Obj. N.- 7
9b5	Annual Assets Assessment	4b1 and 4b3	Obj. N.- 7
9b6	Average Collection Term	4b2	Obj. N.- 2
9b7	Percentage of Processes Updated and Revised	5a1	Obj. N.- 7
9b8	Non-Conforming Product	5d1	Obj. N.- 7

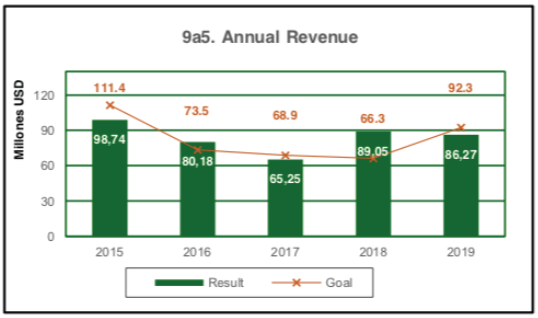
CRITERIA 9A – KEY RESULTS – BUSINESS RESULTS

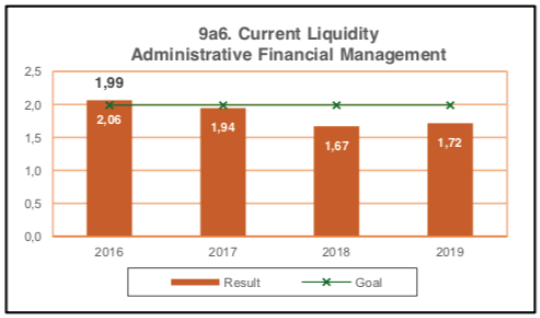


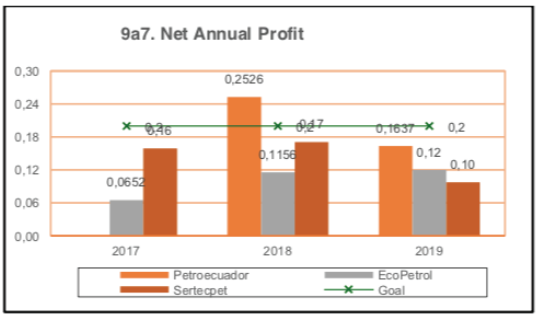


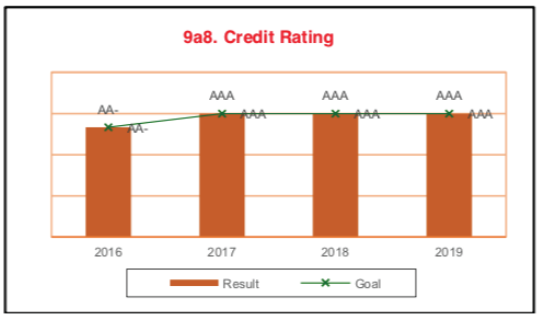




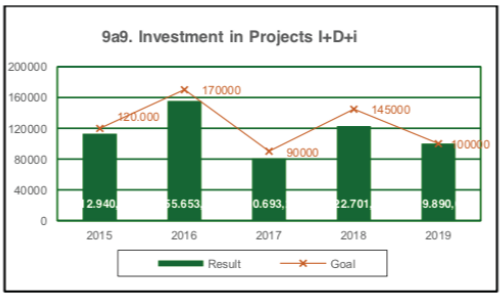


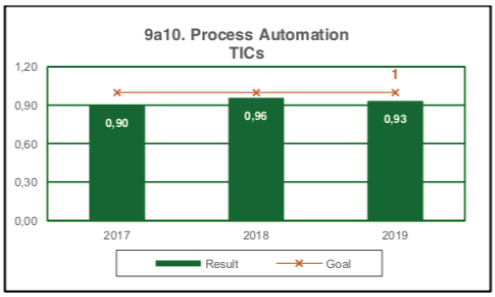


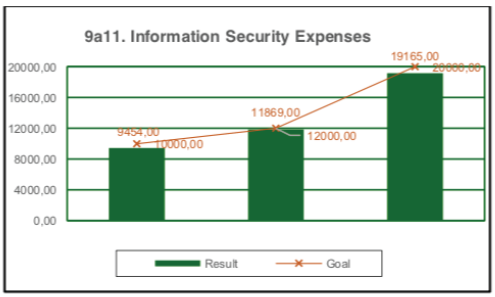


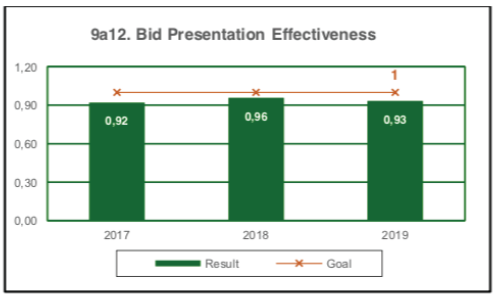


CRITERIA 9A – KEY RESULTS – BUSINESS RESULTS

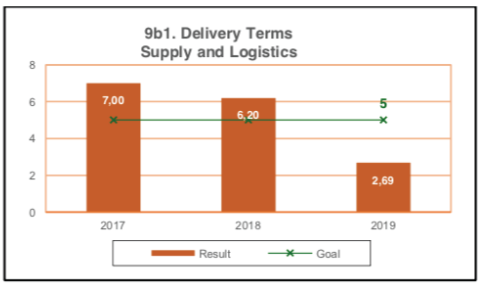


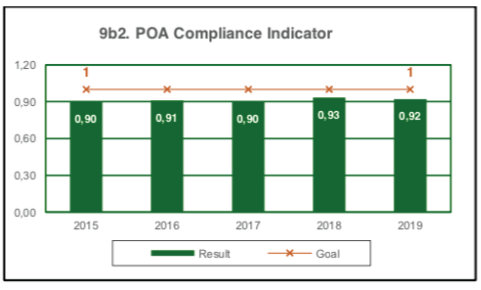


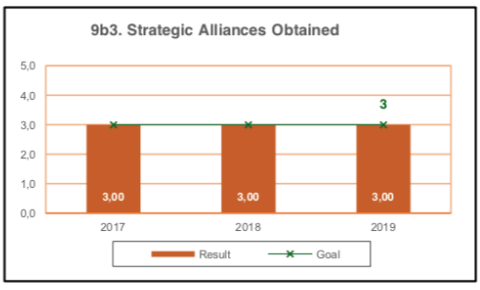


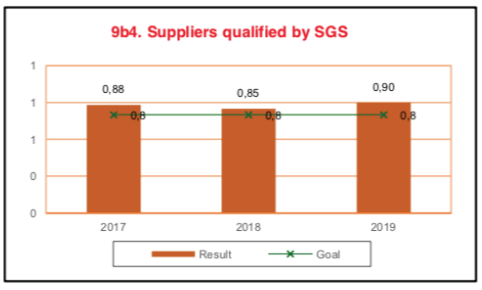


CRITERIA 9A – KEY RESULTS – BUSINESS RESULTS

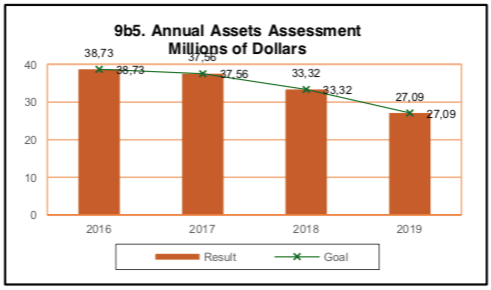


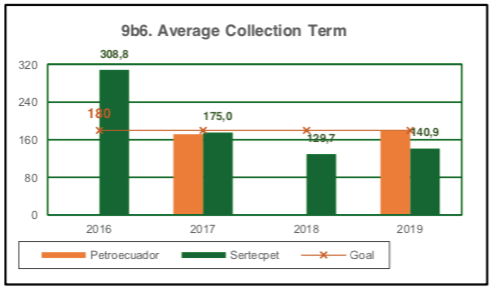


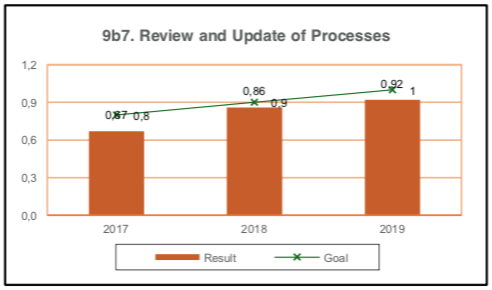


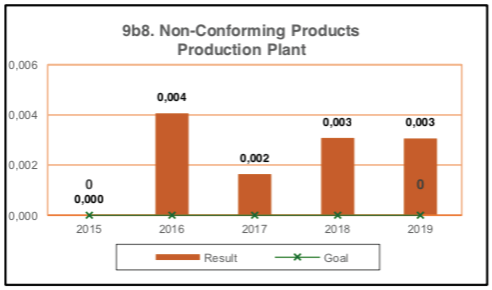


CRITERIA 9A – KEY RESULTS – BUSINESS RESULTS









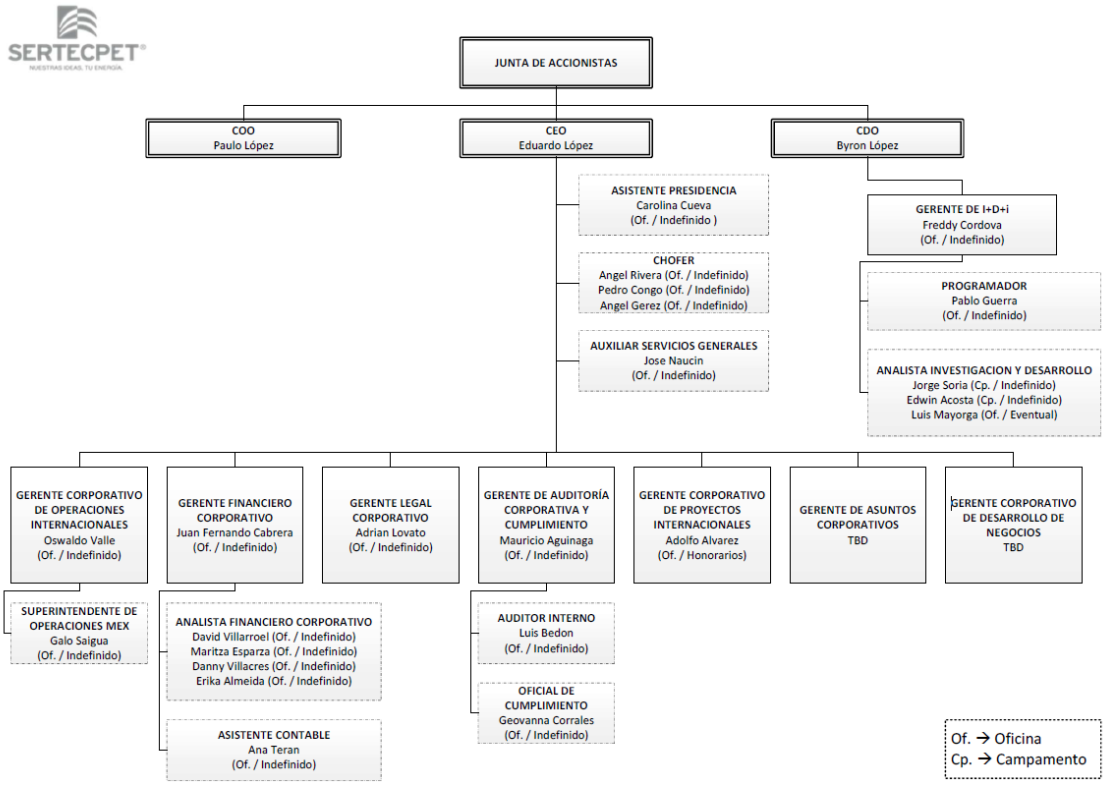
The Annexes indicated throughout the report are documentation of the organization's own use, and have not been translated but are available in the report in Spanish.

SERTECPET®

Recognized for Excellence.

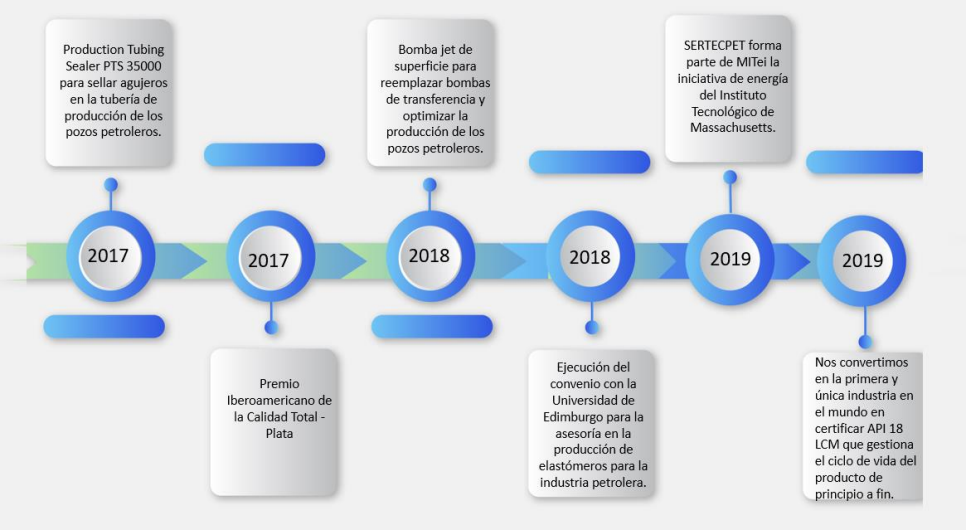
Annexes

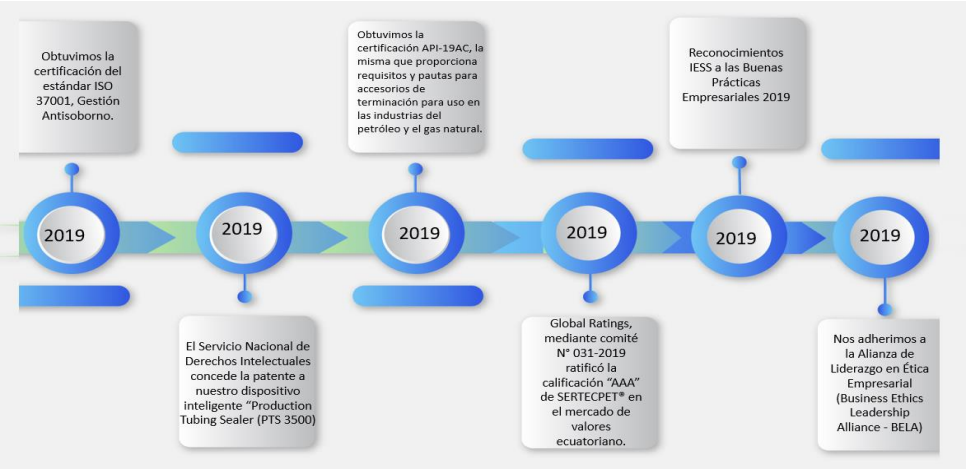
Annex 1 Corporate Organigram

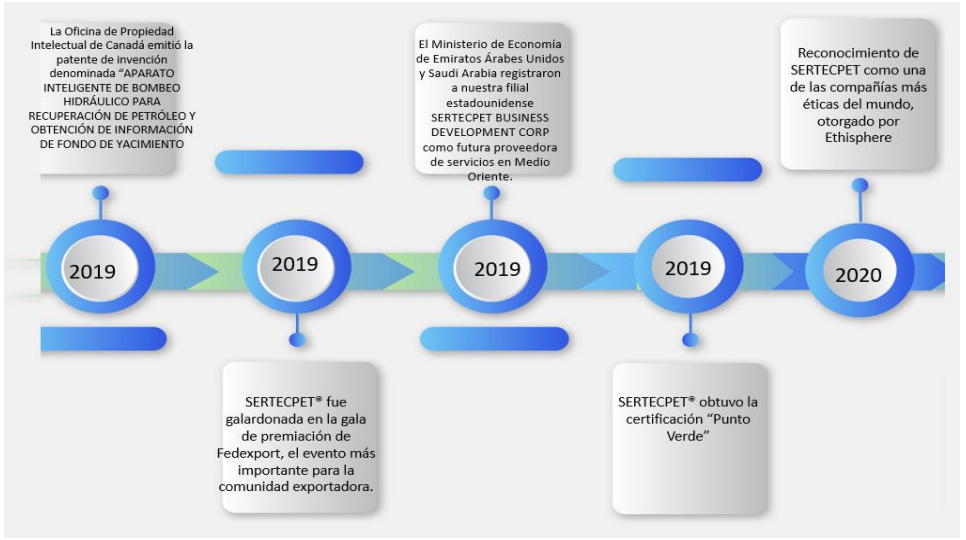


Annex 2 Sertecpet Global Presence

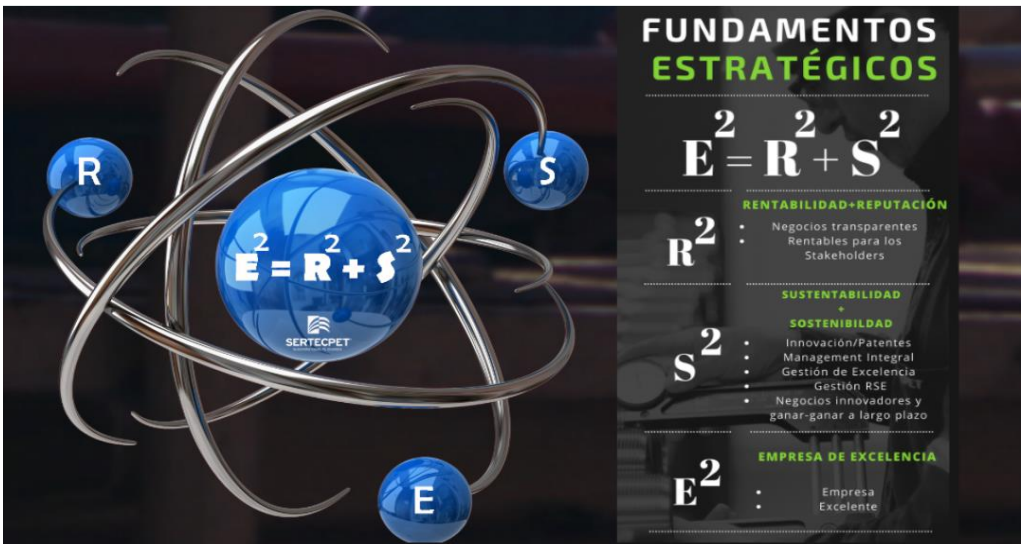
Annex 3 Recognitions.



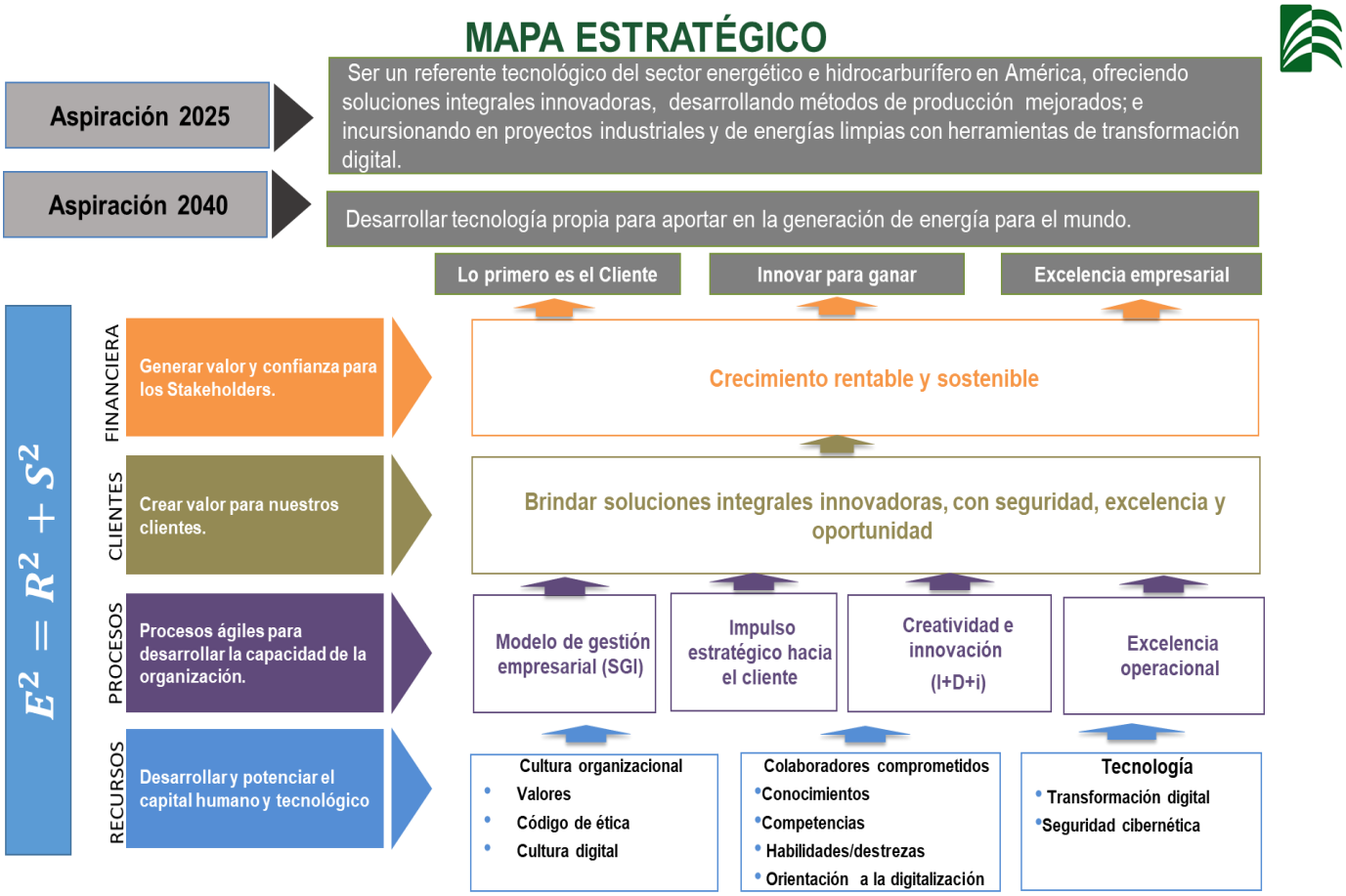




Annex 4 Formula for Company of Excellence



Annex 5 Strategic Map



Annex 6 Corporate Objectives

PERSPECTIVA FINANCIERA					
Nº	LINEAMIENTO	ESTRATEGIA	OBJETIVO	MAGN.	FREC.
1	Rentabilidad	Crecimiento	Cumplir las metas de ingresos, establecidas en el presupuesto.	USD	Mes
2	Rentabilidad	Crecimiento	Cumplir los niveles de margen de contribución en cada línea de negocio	%	Mes

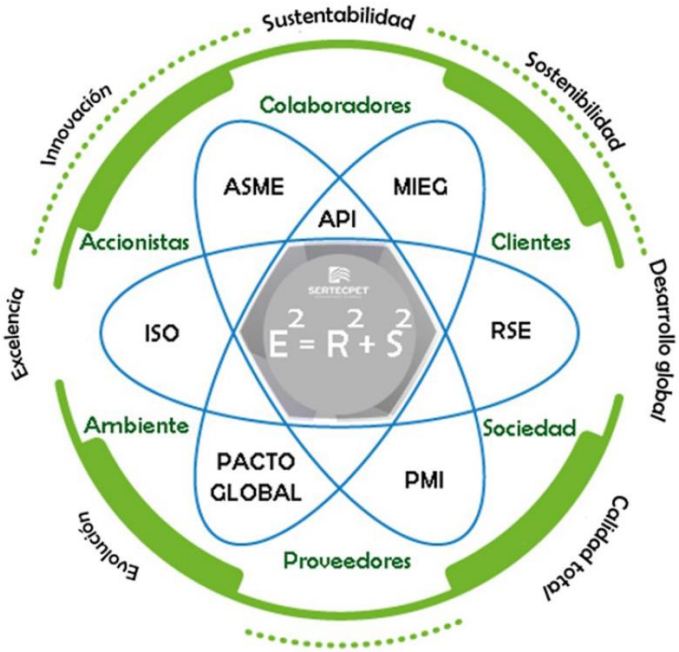
PERSPECTIVA DEL CLIENTE					
Nº	LINEAMIENTO	ESTRATEGIA	OBJETIVO	MAGN.	FREC.
3	Sostenibilidad	Productividad	Cumplir la meta de satisfacción del cliente externo del producto / servicio	Res.	Mes
4	Sostenibilidad	Crecimiento	Cumplir la cuota de participación de clientes privados en los ingresos totales.	%	Mes
5	Sostenibilidad	Crecimiento	Diversificar los mercados en las línea de negocio	%	Mes

PERSPECTIVA DE PROCESOS INTERNOS					
Nº	LINEAMIENTO	ESTRATEGIA	OBJETIVO	MAGN.	FREC.
6	Sustentabilidad	Productividad	Cumplir las metas de la planificación operativa anual (POA)	%	Mes
7	Sostenibilidad	Crecimiento	Cumplir las metas de los indicadores clave de proceso	%	Mes
8	Rentabilidad	Crecimiento	Cumplir las metas de indicadores de SSA (Seguridad, Salud y Ambiente)	%	Mes
9	Sustentabilidad	Productividad	Fortalecer la mejora de la gestión de los recursos naturales (agua, luz, CO_2, desechos) en proporción al dimensionamiento Empresarial	%	Mes

PERSPECTIVA DE CRECIMIENTO Y APRENDIZAJE					
Nº	LINEAMIENTO	ESTRATEGIA	OBJETIVO	MAGN.	FREC.
10	Sosteniblidad	Productividad	Mejorar los resultados de clima laboral	%	Anual
11	Crecimiento	Productividad	Potenciar las capacidades de los colaboradores para mejorar su desempeño	%	Trimestral
12	Sostenibilidad	Productividad	Cumplir el PAC en la Organización en alineamientos organizacionales	%	Trimestral
13	Sostenibilidad	Productividad	Cumplir el PAC en la Organización referente a Transformación digital	%	Trimestral
14	Sostenibilidad	Productividad	Cumplir el plan de la implementación de herramientas de transformación digital	%	Trimestral

Annex 7 Integrated Management System

Annex 8 Management Model



Annex 9 Changes in the Kaizen Methodology.

Modelo 7 MUDAS

MUDA en **Producción**

MUDA en **Logística**

MUDA en **Oficinas**

MUDA en **Mantenimiento**

-

Annex 10 Edinburgh University Alliance.

Annex 11 Bolognia University Agreement

CONFIDENTIALITY AGREEMENT

This **Confidentiality Agreement** (the Agreement) is made this 5 day of June of 2018.

By and between

(1) **SERTECPET, S.A.**, a company incorporated in accordance with the laws of Ecuador with its registered office situated at Avenida Eloy Alfaro N37-25 y José Correa, in Quito, Republic of Ecuador (hereinafter **"STPECU"**); and,

(2) **ALMA MATER STUDIORUM – UNIVERSITA' DI BOLOGNA,** a university incorporated in accordance with the laws of Italy, with its registered office situated at Via Zamboni 33, 40126 Bologna, Italy (hereinafter **"UniBo"**);

STPECU and UniBo may be referred to individually as "Party" and collectively as "Parties" or "Recipient" or "Discloser", as the case may be.

Whereas:

(A) STPECU and UniBo want to engage in good faith and non-binding discussions to assess the opportunity to start joint research collaborations and investigate possible exploitation of innovations patented by UniBo, in particular in the field of energy (hereinafter referred to as the "Purpose").

(B) The Parties are willing to provide each other with certain Confidential Information appertaining to their core business for the sole Purpose, subject to the provisions of this Agreement.

(C) In consideration of the premises and the mutual covenants and undertakings contained herein together with other good and valuable consideration set forth in this Agreement, the receipt and sufficiency of which are hereby acknowledged,

It is agreed as follows:

1. Definitions and Interpretation

1.1 In this Agreement:

"Affiliate(s)" means with respect to either Party a corporation, joint venture, partnership, company which directly, or indirectly through one or more intermediaries, controls, or is controlled by, or is controlled by an entity which controls a Party, or is under common control with a Party. For this purpose, **"control"** means the direct or indirect ownership of in the majority of voting capital.

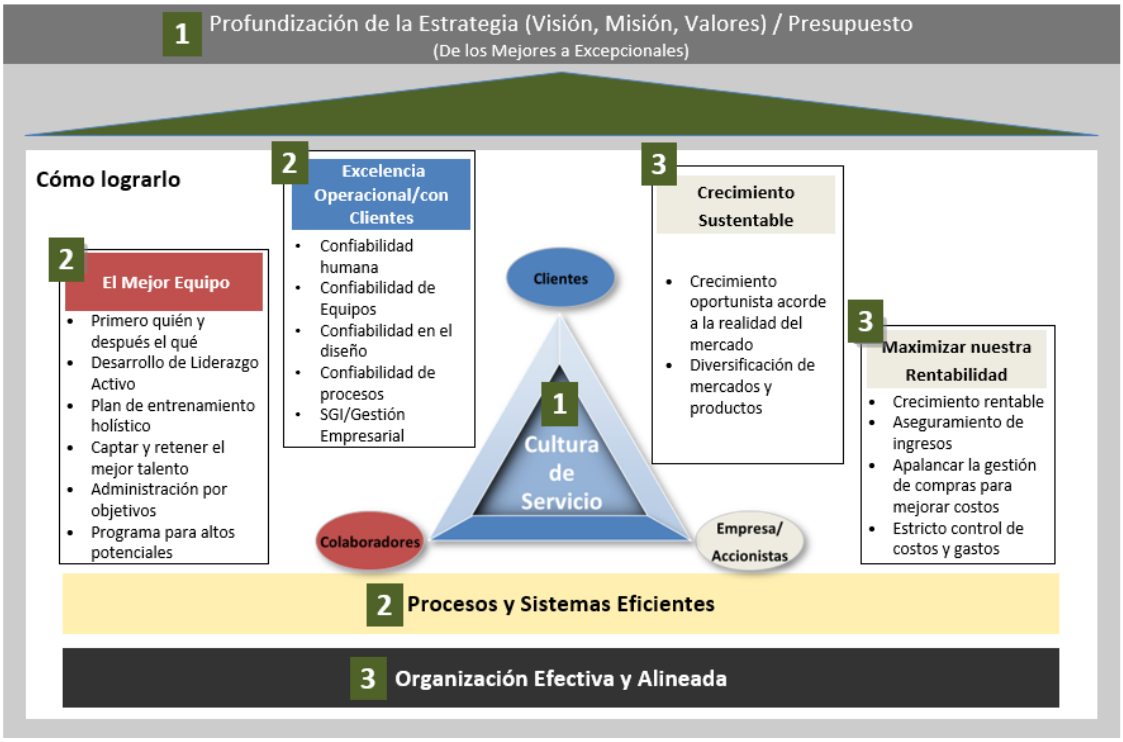
"Agreement" means this agreement;

"Co-Venturers" means any person, entity or company with whom each Party is or may be, from time to time, a party to a joint operating agreement or similar covenant related to or comprising the Confidential Information, and the successors in interest or assignees of any such person, entity or company.

1

Annex 12 Strategic Alliances.

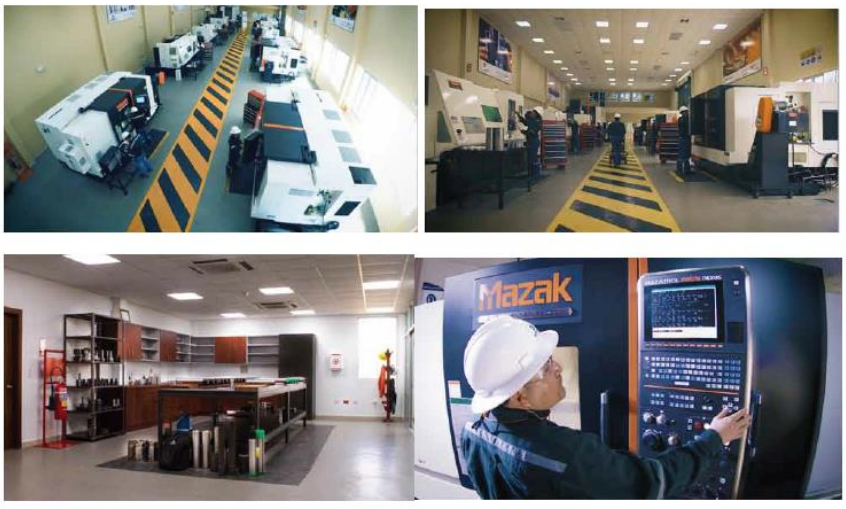
Annex 13 Continuous Improvement Activities.



Annex 14 Machining Plant.

PLANTA DE PRODUCCIÓN & MECANIZADO

La planta de mecanizado permite integrar el diseño asistido por computador con la manufactura. SERTECPET es líder en la fabricación de herramientas para el sector energético acreditada por las licencias API 5CT, 5L, 7-1 y Tenaris SEC, Blue, Atlas Bradford, Antares y Hydril serie 500. Todos los productos fabricados en la planta de producción y mecanizado, son analizados en un laboratorio de aseguramiento metrológico equipado con más de 600 instrumentos de precisión de última generación, que aseguran la calibración y verificación de todos los equipos y herramientas.



Annex 15 Portfolio of Products and Services

Área Industrial
Contamos con nuestra propia planta ASME para la elaboración y reparación de recipientes a presión con certificación ASME con estampe U y R y una planta de Mecanizado, equipada con tecnología de punta y personal altamente capacitado, para la fabricación de conexiones roscadas, partes y piezas elaboradas bajo el monograma API: Especificación API 5CT, 5L y 7-1.

Exploración y Producción de Gas y Petróleo
SERTECPET® diseña y construye Unidades Móviles para Pruebas y Producción de Pozos (MTU), además de ser creadores y dueños de la patente de la Bomba Jet Claw® que opera con el software de aplicación en Bombeo Hidráulico Jet RTM. Somos líderes en la exploración y producción de gas y petróleo.

Proyectos IPCM
SERTECPET® posee la capacidad de realizar estudios de factibilidad, ingeniería conceptual, estudios integrados de fondo y superficie, estudios de optimización de campos petroleros, estudios de riesgo, seguridad, proyectos innovadores y exitosos Onshore y Offshore los cuales certifican la satisfacción de nuestros clientes.

Annex 16 Alliances and Agreements with Academia

Annex 17Code of Ethics

Annex 18 ISO 370012016 Certification

Lloyd's Register

Fecha de Emisión Actual: 26 Septiembre 2019
Fecha de Caducidad: 25 Septiembre 2022
Número de Certificado: 10220820

Aprobaciones Originales:
ISO 37001 - 26 Septiembre 2019

Certificado de Aprobación

Certificamos que el Sistema de Gestión de :

SERTECPET S.A.

Av. Eloy Alfaro N37-25 y José Correa Quito, Ecuador

ha sido aprobado por Lloyd's Register de acuerdo con las siguientes normas:

ISO 37001:2016

Números de Aprobación: ISO 37001 – 00022161

Este certificado es válido sólo cuando va acompañado del anexo al certificado con el mismo número, en el que se detallan las delegaciones a las que se aplica esta aprobación.

El alcance de esta aprobación es aplicable a:
Fabricación y Reparación de Partes y Piezas de Equipo Petrolero de Fondo. Renta (incluye la operación) y Venta de Equipo Petrolero, de Superficie y Herramientas de Fondo para Completamiento y Pruebas de Pozos Exploratorios y de Producción. Diseño, Fabricación y Reparación de Recipientes a Presión de Acuerdo con el Código ASME BPVC, Estampe "U" y el Código National Board Inspection Estampe "R" & "NB" y de Tanques Metálicos de Almacenamiento. Investigación, Diseño y Desarrollo de Proyectos de Ingeniería, Proyectos de Procura y Construcción en los Sectores de Petróleo, Minería, Energía Eléctrica, Industria, Abastecimiento de Agua y Tratamiento de Agua.

Cliff Muckleroy

Area Operations Manager Americas

Emitido por: Lloyd's Register Central and South America Ltd

en nombre de: Lloyd's Register do Brasil Ltda

Lloyd's Register Group Limited, its affiliates and subsidiaries, including Lloyd's Register Quality Assurance Limited (LRQA), and their respective officers, employees or agents are, individually and collectively, referred to in this clause as 'Lloyd's Register'. Lloyd's Register assumes no responsibility and shall not be liable to any person for any loss, damage or expense caused by reliance on the information or advice in this document or howsoever provided, unless that person has signed a contract with the relevant Lloyd's Register entity for the provision of this information or advice and in that case any responsibility or liability is exclusively on the terms and conditions set out in that contract.
Emitido por: Lloyd's Register Central and South America Ltd, Calle Begonias N° 415, piso 11, oficina 1138, San Isidro, Lima, Peru en nombre de: Lloyd's Register do Brasil Ltda, Rua Helena, 235 - 8º ander Vila Olimpia, São Paulo/SP 04552-050, Brazil

Annex 19Great Place To Work

GREAT PLACE TO WORK®

RESUMEN DE TENDENCIAS

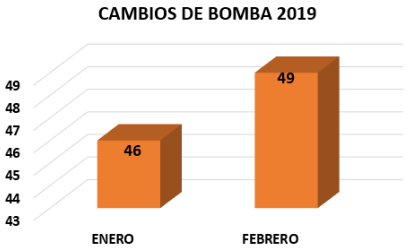
SERTECPET
NUESTRAS IDEAS, TU ENERGÍA.

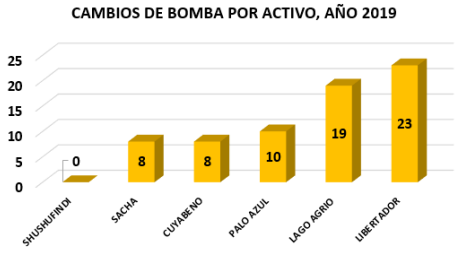
Great Place to Work® Trust Index©	Valoración Previa 2013	Valoración Actual 2016	Tendencia
Información	Media (-)	Media (+)	Favorable
Accesibilidad	Baja	Media (+)	Muy favorable
Coordinación	Baja	Media (+)	Muy favorable
Delegación	Baja	Media (+)	Muy favorable
Visión	Media (-)	Media (+)	Favorable
Confiabilidad	Baja	Media (-)	Favorable
Honestidad	Baja	Media (+)	Muy favorable
Desarrollo - Valoración profesional	Baja	Media (-)	Favorable
Reconocimiento - Valoración personal	Baja	Media (-)	Favorable
Participación	Media (-)	Media (+)	Favorable
Entorno de trabajo	Media (-)	Media (-)	Estable
Vida personal	Media (-)	Media (-)	Estable
Equidad en la remuneración	Media (-)	Media (-)	Estable
Equidad en el trato	Baja	Media (-)	Favorable
Ausencia de favoritismo	Media (-)	Media (-)	Estable
Justicia en el trato a las personas	Media (-)	Media (-)	Estable
Capacidad de apelación	Media (-)	Media (-)	Estable
Fraternidad	Media (-)	Media (-)	Estable
Hospitalidad del lugar	Baja	Media (+)	Muy favorable
Hospitalidad de las personas	Media (-)	Media (+)	Favorable
Sentido de equipo	Media (-)	Media (+)	Favorable
Orgullo por el trabajo personal	Media (-)	Media (+)	Favorable
Orgullo del equipo	Baja	Media (+)	Muy favorable
Orgullo de la empresa	Media (-)	Media (-)	Estable
APRECIACIÓN GENERAL	Media (-)	Media (+)	Favorable

Great Place to Work® Institute, Inc. 2016. All Rights Reserved

Annex 20 SQM Presentation

ACTIVO	ENERO	FEBRERO	TOTAL 2019
Shushufindi	0	0	0
Sacha	1	7	8
Cuyabeno	3	5	8
Palo Azul	6	4	10
Oso Yuralpa	13	14	27
Lago Agrio	7	12	19
Libertador	16	7	23
TOTAL	46	49	95





Annex 21 SGS Certifications

SGS

Constancia de Auditoria

N° 01217/19

SGS DEL ECUADOR S.A. por solicitud de SERTECPET S.A., ha llevado a cabo el proceso de auditoria al proveedor:

DITECA S.A.

Guayaquil - Ecuador

Venta al por mayor de maquinaria y equipos de construcción incluso partes y piezas

ASPECTO	PUNTAJE	ASPECTO	PUNTAJE	ASPECTO	PUNTAJE
ACTIVIDAD\n15.000/15	100.00	EVALUACIÓN FINANCIERA\n13.494/20	67.47	CAPACIDAD OPERATIVA\n33.299/35	95.14
ASPECTO	PUNTAJE	ASPECTO	PUNTAJE	ASPECTO	PUNTAJE
GESTIÓN COMERCIAL Y CALIDAD\n16.080/20	80.40	EVALUACIÓN DOCUMENTAL\n10.000/10	100.00		
Total:	87.87%	Nivel:	B+		

Periodo de Validez Del: 10/06/2019 al 08/06/2020

Emisión 2- REA

Autorizado Por

Mariela Naranjo
Performance Assessment Coordinator
SGS del Ecuador S.A.

SGS

Constancia de Auditoria

N° 01268/19

SGS DEL ECUADOR S.A. por solicitud de SERTECPET S.A., ha llevado a cabo el proceso de auditoria al proveedor:

INSPECCIONES NO DESTRUCTIVAS INNODES CIA. LTDA.

Quito - Ecuador

Inspecciones no destructivas

ASPECTO	PUNTAJE	ASPECTO	PUNTAJE	ASPECTO	PUNTAJE
ACTIVIDAD\n15.000/15	100.00	EVALUACIÓN FINANCIERA\n16.746/20	83.73	CAPACIDAD OPERATIVA\n35.000/35	100.00
ASPECTO	PUNTAJE	ASPECTO	PUNTAJE		
GESTIÓN COMERCIAL Y CALIDAD\n20.000/20	100.00	EVALUACIÓN DOCUMENTAL\n10.000/10	100.00		
Total:	96.75%	Nivel:	A		

Periodo de Validez Del: 09/10/2019 al 08/10/2021

Emisión 1- FST

Autorizado Por

Mariela Naranjo
Performance Assessment Coordinator
SGS del Ecuador S.A.

Annex 22 Socio Empleo Network Process

Annex 23 Anticorruption Policy

Declaración de Política Antisoborno y Anticorrupción

GRUPO SERTECPET y sus filiales son empresas de excelencia que generan soluciones energéticas con tecnología de punta a nivel global que están comprometidas con la prevención del soborno y corrupción y no toleran actos ilícitos entre sus clientes, proveedores, colaboradores, asociados de negocio y partes interesadas cumplimiento con los requisitos legales de cada país, normativos y de mejora continua al Sistema de Gestión Antisoborno.

Promueve la cooperación de toda persona que sea conocedora de cualquier infracción o sospecha de soborno lo comunique a través de sus canales de denuncia asegurando confidencialidad y anonimato y prohíbe la adopción de cualquier tipo de represalia contra aquellas personas que efectúen comunicaciones de buena fe y obliga a la función de Auditoría Interna y Cumplimiento a actuar con autoridad e independencia.

Se evaluará continuamente la implementación de controles antisoborno y anticorrupción, así como también su eficacia con relación a los riesgos de soborno identificados. Incumplimientos a la Política Antisoborno y Anticorrupción es causal de acciones disciplinarias de acuerdo al marco legal vigente y en cumplimiento al Reglamento Interno de Trabajo.

"Esta política estará disponible a las partes interesadas".

1. OBJETIVO

La Política Antisoborno y Anticorrupción tiene como objetivo proporcionar un marco conceptual y lineamientos que deben cumplir todos los colaboradores, socios de negocio y/o partes interesadas para mitigar riesgos de soborno y corrupción.

2. ANTECEDENTES Y ALCANCE

Es la intención del GRUPO SERTECPET promover un comportamiento ético en la organización al establecer lineamientos y asignar responsabilidades para el desarrollo de controles y la conducción de investigaciones que pueden estar relacionadas con violaciones al Código de Ética y Conducta vigente en la organización así como también a comportamientos que vayan en contra a los valores de la empresa en lo relacionado a sus lineamientos de antisoborno y anticorrupción y cumplimiento de normas internacionales aplicables a la materia que son de mayor relevancia en este caso la normativa ISO 37001 "Sistema de Gestión Antisoborno y Anticorrupción" y la Foreign Corrupt Practices Act de los Estados Unidos en menor relevancia.

Esta política aplica a todos los socios de negocio como: colaboradores, proveedores, clientes, contratistas, partes relacionadas, entes reguladores, terceros; entre otros con los cuales se mantengan relaciones comerciales con la Compañía en materia

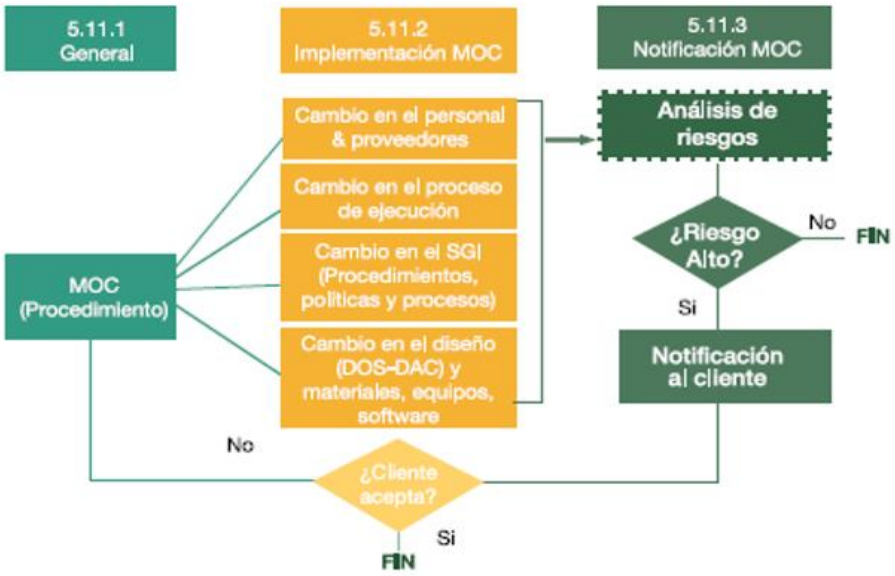
Annex 24

Management and Coaching Alignment Program

Annex 25 Patents belonging to the Organization

2015	APARATO DE BOMBEO HIDRÁULICO DE FONDO UNIDIRECCIONAL PARA INCREMENTO DE CAUDAL DE REINYECCIÓN / INYECCIÓN DE AGUA DE FORMACIÓN EN POZOS DE PETRÓLEO
	CAMISA DE CIRCULACIÓN DE FLUIDOS EN FONDO, CON APERTURA HACIA ABAJO, PARA POZOS DE PETRÓLEO
2016	DISPOSITIVO HIDRÁULICO PARA UBICACIÓN Y SELLAMIENTO DE AGUJEROS O FISURAS EN TUBERÍA DE PRODUCCIÓN EN POZOS DE PETRÓLEO
2017	
2018	EYECTOR PARA MEJORAR CONDICIONES DE FLUJO DE DESCARGA EN POZOS DE PERFORACIÓN Y EN TRANSPORTE DE CRUDO, DESDE TANQUES DE ALMACENAMIENTO, EN SUPERFICIE
2019	NUEVO ACOPLE Y MÉTODO DE UNIÓN DE TUBERÍAS ESTANDARIZADAS A.P.I. PARA EXTRACCIÓN DE PETRÓLEOS
	REGISTRO DE DERECHOS DE AUTOR MTU

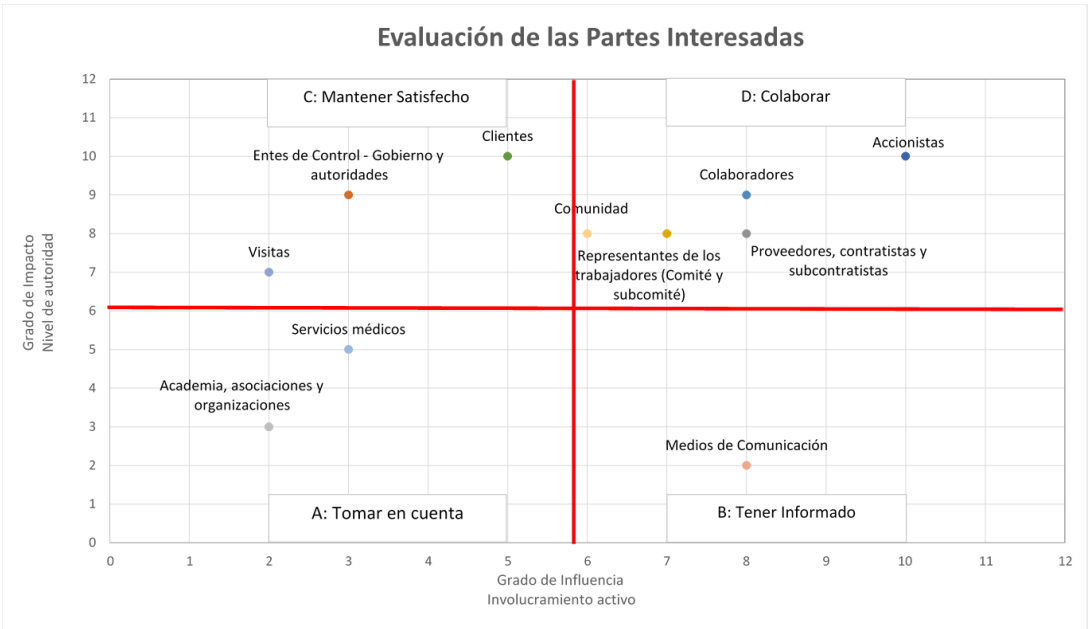
26 MOC Process



Annex 26 Commercial Strategy

COMPETIDOR	FORTALEZAS	DEBILIDADES	ESTRATEGIAS	DIFERENCIALES
Competidor 1 14 equipos	- Precios bajos - Influencias políticas	- Personal no capacitado - No disponibilidad de equipos	Promocionales (socios ex petroleros)	- No tiene estándares del sector petrolero - No tiene estándares del sector petrolero
Competidor 2 4 equipos	Precios bajos Influencias políticas	- Personal no capacitado - No disponibilidad de equipos	Promocionales	No tiene estándares del sector petrolero
Competidor 3 4 equipos	- Precios bajos - Personal experimentado (STP) - Influencias políticas	- Personal no capacitado - No disponibilidad de equipos	Promocionales	No tiene estándares del sector petrolero
Competidor 4 4 equipos	- Experiencia - Influencias políticas	- Personal empírico vs personal técnico - No disponibilidad de equipos	Promocionales	No tiene estándares del sector petrolero

Annex 28 Interested Parts Evaluation



Annex 29 Annual Operations Plan

SERTECPET

PLAN OPERATIVO ANUAL (POA)

CÓDIGO: CR.GI.RD.PL.02
REVISIÓN: 03
FECHA: 2019-10-01
USO INTERNO

AÑO:	2020
ELABORADO POR:	Andrés López
REVISADO POR:	Edwin Hidalgo
APROBADO POR:	Evelyn Lucero

PROPOSITO (1) :

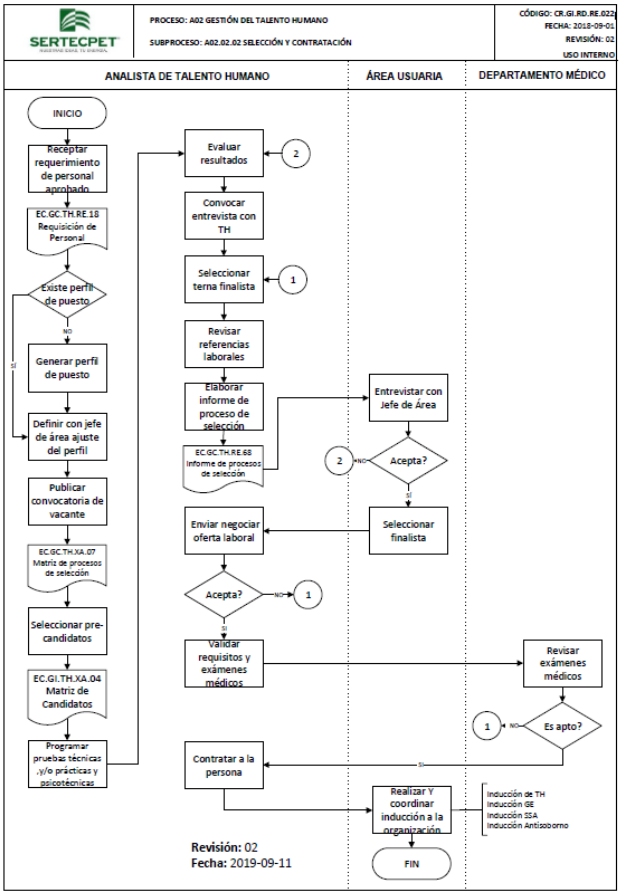
ITEM (2)	INICIATIVAS (3)	PRIORIDAD (4)	ACTIVIDADES (5)	PROCESOS ASOCIADOS (6)	EVIDENCIA AUDITABLE (7)	FECHA DE EJECUCIÓN (9)		META (10)	RESUMEN	Evaluación		ACUMULADO
						INICIO	FIN			ENE	DIC	
1	Identificar, evaluar y aplicar incentivos y beneficios por la incorporación de buenas prácticas en Salud, seguridad y Ambiente	Media	Identificar los incentivos y beneficios aplicables	E02 Gestión Empresarial	Listado de incentivos y beneficios aplicables	Junio	Junio	100%	META			1,00
									REAL			0,00
									RESULTADO			**0,00%**
									PRESUPUESTO			$ 0,00
			Determinar la viabilidad para la aplicación de incentivos y beneficios	E02 Gestión Empresarial	Listado de incentivos y beneficios aplicables	Junio	Julio	100%	META			1,00
									REAL			0,00
									RESULTADO			**0,00%**
									PRESUPUESTO			$ 0,00
			Aplicar la los incentivos y beneficios por la incorporación de buenas prácticas	A03 Gestión Financiera Administrativa A05 Mantenimiento A07 Salud, Seguridad y Ambiente	Registros de beneficios	Julio	Julio	100%	META			1,00
									REAL			0,00
									RESULTADO			**0,00%**
									PRESUPUESTO			$ 0,00
2	Instrumentar los convenios para evitar doble imposición y generar ahorros	Media	Identificar los países con los que se mantienen convenios para evitar doble imposición	E02 Gestión Empresarial	Check List de los Convenios Internacionales Formatos de reunión	Junio	Junio	100%	META			1,00
									REAL			0,00
									RESULTADO			**0,00%**
									PRESUPUESTO			$ 0,00
			Determinar la viabilidad para la aplicación de los convenios	E02 Gestión Empresarial	Check List de los Convenios Internacionales Formatos de reunión	Junio	Julio	100%	META			1,00
									REAL			0,00
									RESULTADO			**0,00%**
									PRESUPUESTO			$ 0,00
			Instrumentar los requisitos de los convenios	E02 Gestión Empresarial A03 Gestión Financiera Administrativa	Facturas de productos y servicios	Julio	Julio	100%	META			1,00
									REAL			0,00
									RESULTADO			**0,00%**
									PRESUPUESTO			$ 0,00

Meta	920%	0%	**4298%**
Ejecución	0%	0%	**0%**
Resultado	**0%**	**0%**	**0%**

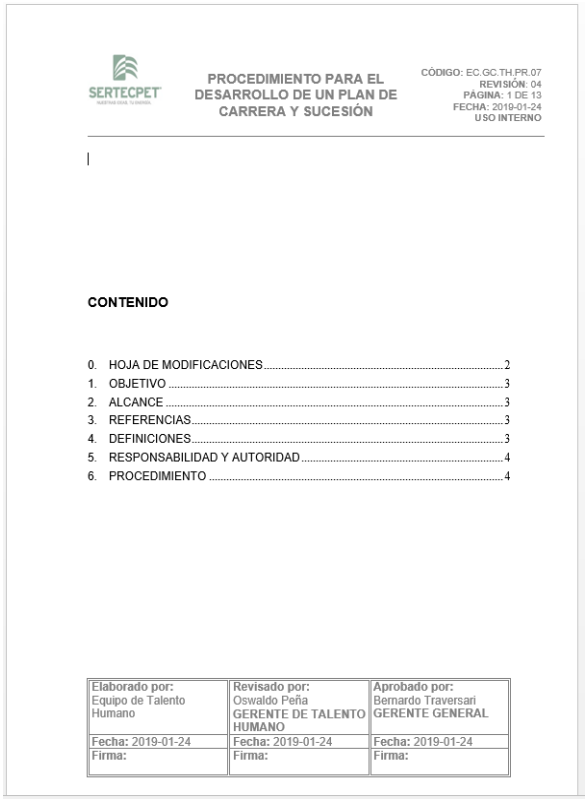
Annex 30 Photos of Stand Down and Posters

Annex 27: E-learning Platform

Annex 28 Selection Process



Annex 29 Succession Programs



SERTECPET

PROCEDIMIENTO PARA EL DESARROLLO DE UN PLAN DE CARRERA Y SUCESIÓN

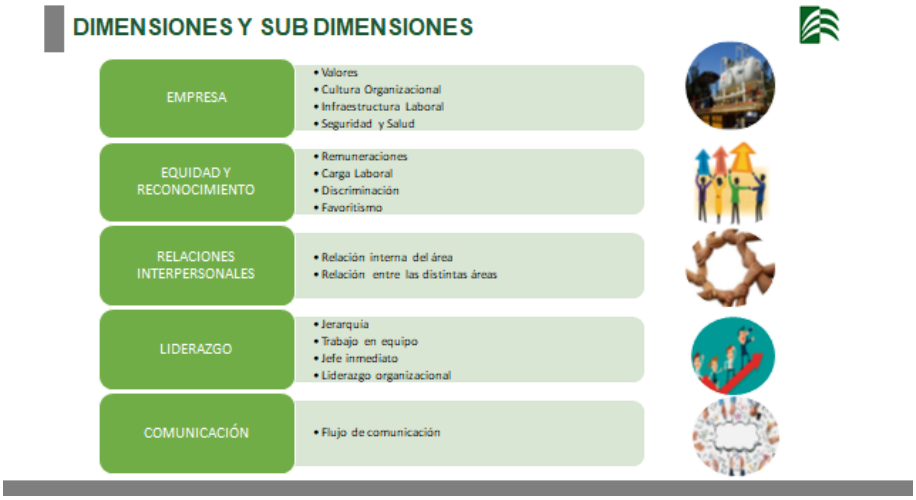
CÓDIGO: EC.GC.TH.PR.07
REVISIÓN: 04
PÁGINA: 1 DE 13
FECHA: 2019-01-24
USO INTERNO

CONTENIDO

0. HOJA DE MODIFICACIONES 2
1. OBJETIVO 3
2. ALCANCE 3
3. REFERENCIAS 3
4. DEFINICIONES 3
5. RESPONSABILIDAD Y AUTORIDAD 4
6. PROCEDIMIENTO 4

Elaborado por:	Revisado por:	Aprobado por:
Equipo de Talento Humano	Oswaldo Peña GERENTE DE TALENTO HUMANO	Bernardo Traversari GERENTE GENERAL
Fecha: 2019-01-24	Fecha: 2019-01-24	Fecha: 2019-01-24
Firma:	Firma:	Firma:

Annex 34 Working environment evaluation



Annex 35 Training Planning

SERTECPET

PLAN ANUAL DE CAPACITACIÓN

CODIGO: EC.GC.TH.RE.72
REVISIÓN:01
FECHA: 2016-04-22
USO INTERNO

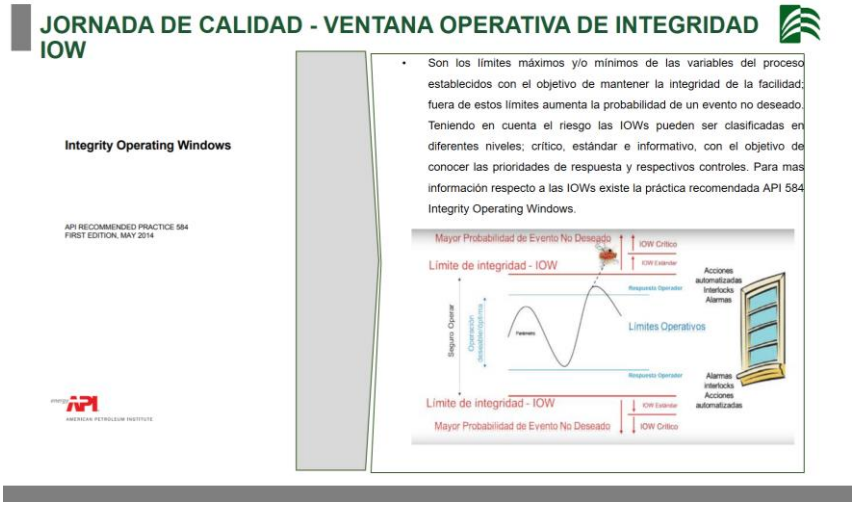
FECHA DE ELABORACION: 23/10/2018
FECHA DE MODIFICACIÓN:
REGISTRO DE MODIFICACIONES:

#	NECESIDAD	CURSO	AREA	TIPO DE CAPAC.	METODOLOGIA	No. DE ASISTENTES	COSTO INSTRUCTOR O PROVEEDOR	COSTO LOGISTICA	COSTO POR PARTICIPANTE	COSTO TOTAL	CRITICIDAD	FECHA EJECUCION	HORAS	TOTAL HORAS	OBSERVACION
1	NORMATIVO	MANEJO DE DESECHOS	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	1	$ -	$ -	$ -	$ -	NIVEL B	SEGUNDO CUATRIMESTRE	16	16	
2	NORMATIVO	BRIGADA CONTRA DERRAMES	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	6	$ -	$ -	$ -	$ -	NIVEL B	SEGUNDO CUATRIMESTRE	16	96	
3	NORMATIVO	PLAN DE MANEJO AMBIENTAL	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	6	$ -	$ -	$ -	$ -	NIVEL B	SEGUNDO CUATRIMESTRE	24	144	
4	NORMATIVO	MANEJO DE QUIMICOS	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	6	$ -	$ -	$ -	$ -	NIVEL B	SEGUNDO CUATRIMESTRE	16	96	
5	CONOCIMIENTO	LEGISLACION AMBIENTAL	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	2	$ -	$ -	$ -	$ -	NIVEL A	PRIMER CUATRIMESTRE	8	16	
6	NORMATIVO	MONITOR DE GAS MOVIL	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	6	$ -	$ -	$ -	$ -	NIVEL B	SEGUNDO CUATRIMESTRE	4	24	
7	COMPETENCIA	FORMADOR DE FORMADORES	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	6	$ -	$ -	$ -	$ -	NIVEL B	SEGUNDO CUATRIMESTRE	8	48	
8	CONOCIMIENTO	LEGISLACION EN SEGURIDAD Y SALUD OCUPACIONAL	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	6	$ -	$ -	$ -	$ -	NIVEL A	PRIMER CUATRIMESTRE	8	48	
9	NORMATIVO	BRIGADISTAS EN PRIMEROS AUXILIOS	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	6	$ -	$ -	$ -	$ -	NIVEL A	PRIMER CUATRIMESTRE	16	96	
10	NORMATIVO	BRIGADISTAS CONTRA INCENDIOS	GESTION EMPRESARIAL	EXTERNA	PRESENCIAL	6	$ -	$ -	$ -	$ -	NIVEL A	PRIMER CUATRIMESTRE	16	96	
					TOTAL					0		TOTAL HORAS DE CAPACITACION		57.432	0

APROBACIONES

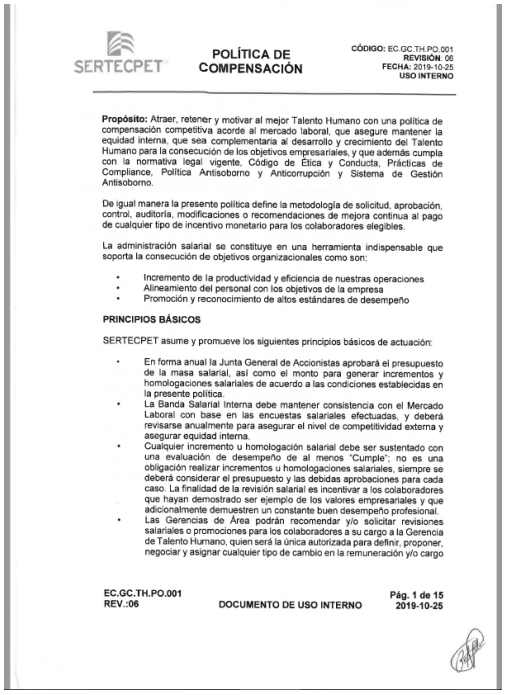
ELABORADO POR:	REVISADO POR:	REVISADO POR:	APROBADO POR:
F.)	F.)	F.)	F.) .....
TENTE DE TALENTO HUMA	COORDINADOR DE DESARROLLO DE TALENTO HUMANO	GERENCIA DE TALENTO HUMANO	GERENTE GENERAL

Annex 36 Quality Circle and Session Planning



Annex 37 Information on Transparency Box

Annex 38 Compensation Policy



SERTECPET

POLÍTICA DE COMPENSACIÓN

CÓDIGO: EC.GC.TH.PO.001
REVISIÓN: 06
FECHA: 2019-10-25
USO INTERNO

Propósito: Atraer, retener y motivar al mejor Talento Humano con una política de compensación competitiva acorde al mercado laboral, que asegure mantener la equidad interna, que sea complementaria al desarrollo y crecimiento del Talento Humano para la consecución de los objetivos empresariales, y que además cumpla con la normativa legal vigente, Código de Ética y Conducta, Prácticas de Compliance, Política Antisoborno y Anticorrupción y Sistema de Gestión Antisoborno.

De igual manera la presente política define la metodología de solicitud, aprobación, control, auditoría, modificaciones o recomendaciones de mejora continua al pago de cualquier tipo de incentivo monetario para los colaboradores elegibles.

La administración salarial se constituye en una herramienta indispensable que soporta la consecución de objetivos organizacionales como son:

- Incremento de la productividad y eficiencia de nuestras operaciones
- Alineamiento del personal con los objetivos de la empresa
- Promoción y reconocimiento de altos estándares de desempeño

PRINCIPIOS BÁSICOS

SERTECPET asume y promueve los siguientes principios básicos de actuación:

- En forma anual la Junta General de Accionistas aprobará el presupuesto de la masa salarial, así como el monto para generar incrementos y homologaciones salariales de acuerdo a las condiciones establecidas en la presente política.
- La Banda Salarial Interna debe mantener consistencia con el Mercado Laboral con base en las encuestas salariales efectuadas, y deberá revisarse anualmente para asegurar el nivel de competitividad externa y asegurar equidad interna.
- Cualquier incremento u homologación salarial debe ser sustentado con una evaluación de desempeño de al menos "Cumple"; no es una obligación realizar incrementos u homologaciones salariales, siempre se deberá considerar el presupuesto y las debidas aprobaciones para cada caso. La finalidad de la revisión salarial es incentivar a los colaboradores que hayan demostrado ser ejemplo de los valores empresariales y que adicionalmente demuestren un constante buen desempeño profesional.
- Las Gerencias de Área podrán recomendar y/o solicitar revisiones salariales o promociones para los colaboradores a su cargo a la Gerencia de Talento Humano, quien será la única autorizada para definir, proponer, negociar y asignar cualquier tipo de cambio en la remuneración y/o cargo

este beneficio de conformidad con sus ingresos y tipo de contrato, a través de descuento en su rol de pagos. Adicionalmente, para cargos gerenciales y jefaturas que por sus funciones requieran de un teléfono celular con plan de voz y datos, se entregará de conformidad con los planes corporativos y deberá ser coordinada esta solicitud con el área de TICs.

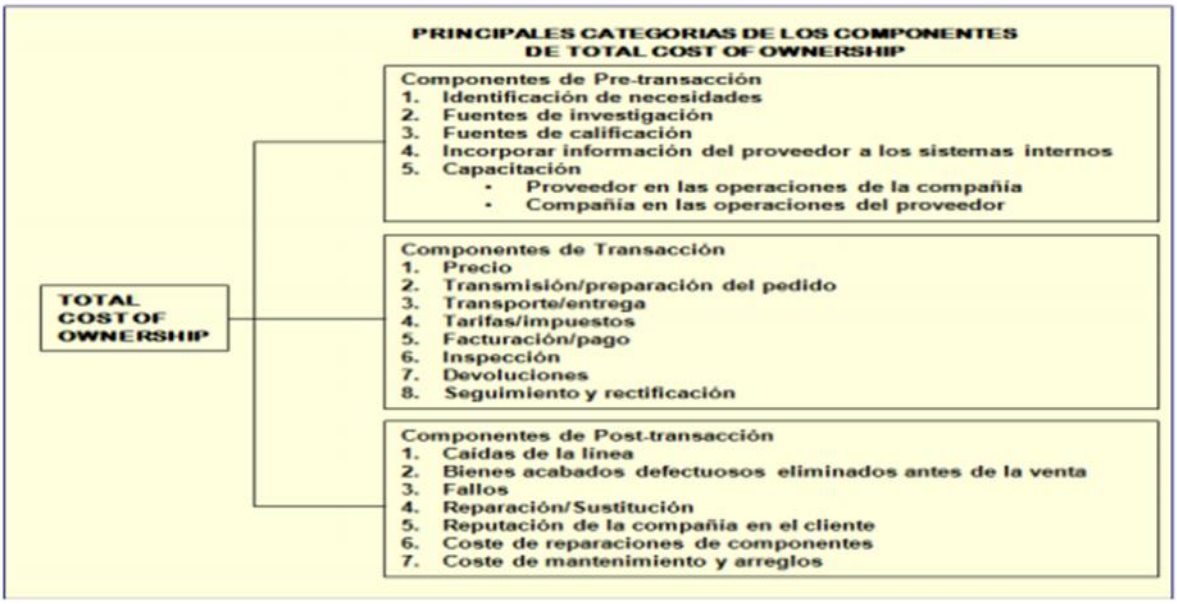
- **Capacitación:** la empresa cubrirá los costos de entrenamiento y capacitación al personal de conformidad con el Plan Anual de Capacitación (PAC) aprobado, y siempre que se encuentre dentro del presupuesto establecido. Para cualquier capacitación o auspicio de educación que no se encuentre en el PAC, el área solicitante deberá realizar el requerimiento al área de Desarrollo y Capacitación para que el encargado realice un informe para validar que se cuente con el presupuesto y que el requerimiento sea debidamente justificado por parte del área solicitante, este informe se presentará para aprobación de la Gerencia de Talento Humano y la Gerencia General. Para cualquier capacitación o auspicio de educación que no se encuentre en el PAC y supere el monto de USD $ 5,000 por colaborador, se considerará como una excepción a la presente política y deberá ser aprobad por la Gerencia General, CEO, CDO y COO.
- **Cumpleaños:** se realizará la entrega de un presente a cada colaborador en el mes de su cumpleaños.
- **Nacimiento de Hijos:** se realizará la entrega de una pañalera cuando se suscité el nacimiento del hijo de un colaborador. Previamente el colaborador deberá entregar a Talento Humano el documento que certifique el nacimiento.
- **Programa de Reconocimiento a la Excelencia Académica y Deportiva:** se entregará un reconocimiento monetario al colaborador o sus dependientes debidamente registrados, de conformidad con el Procedimiento al Reconocimiento a la Excelencia Académica y Deportiva (EC.GC.TH.PR.013).
- **Apoyo Psicológico:** se prestará soporte psicológico a los colaboradores que lo soliciten o requieran, a través de convenios con centros de apoyo psicológico en Quito, y de los servicios de un psicólogo profesional en Goca.

Eco. Bernardo Traversari
GERENTE GENERAL

SERTECPET
Cristina López Brito
Gerente Talento Humano
Ing. Cristina López Brito
GERENTE DE TALENTO HUMANO

Annex 39 Operations School

Annex 40 Total Cost Ownership Methodology



Annex 41 Provider Qualification

Código: 78066
Fecha de Emisión: 09/05/2018
Fecha de Caducidad: 07/05/2020

CERTIFICADO DE CALIFICACION DE PROVEEDORES

El presente documento certifica que el proceso de CALIFICACION DE PROVEEDORES para ORION ENERGY OCANOPB S.A. / ORION OIL ER S.A. , ha concluido, reflejando la calificación detallada a continuación, para el proveedor:

Nombre	SERTECPET S.A.
Nombre Comercial	SERTECPET S.A.
Tipo de Calificación	MAYOR
Fecha de Calificación	08/05/2018

CATEGORIA: SERVICIOS PETROLEROS
ACTIVIDAD: - PRESTACION DE SERVICIOS Y PROVISION DE PRODUCTOS PARA LA INDUSTRIA PETROLERA.

DETALLE DE LA CALIFICACION:

Sección	Calificación
Perfil Empresarial	60.00 / 60.00
Capacidad Operativa	15.00 / 15.00
Perfil Comercial	5.00 / 5.00
Análisis Financiero	18.72 / 20.00

El puntaje total obtenido por SERTECPET S.A. es de 98/100 equivalente a una calificación de "A", lo cual indica que es un proveedor con RIESGO BAJO y Muy probablemente apto para cumplir con los estándares del cliente con ORION ENERGY OCANOPB S.A. / ORION OIL ER S.A. .

Autorizado por:

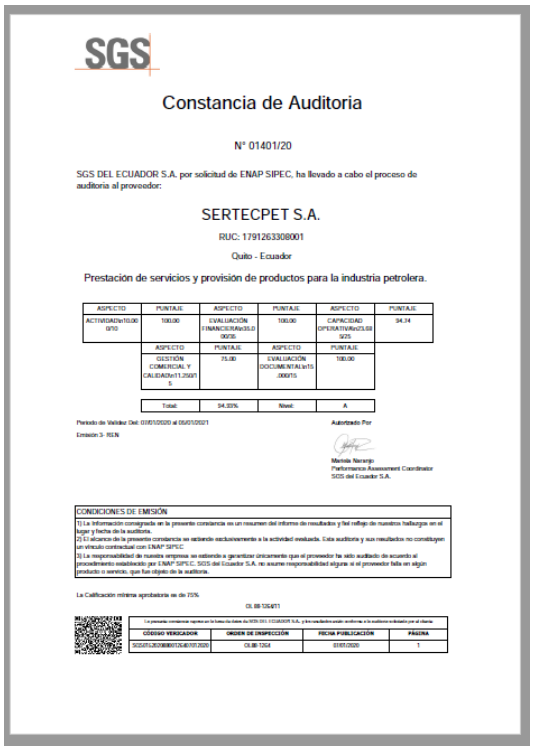
JONATHAN VELEZ
AUDITOR DOCUMENTAL

MARCO CRUZ
AUDITOR DE VISITA

LIMITACIONES

Los resultados contenidos en el presente informe se basan en la informacion y documentacion legal, tributaria y financiera proporcionada por SERTECPET S.A..

Nuestro trabajo ha consistido en validar y analizar la información provista con el objeto de asignar a SERTECPET S.A. una calificación, en función de los parámetros previamente acordados con ORION ENERGY OCANOPB S.A. / ORION OIL ER S.A. .



SGS

Constancia de Auditoria

N° 01401/20

SGS DEL ECUADOR S.A. por solicitud de ENAP SIPEC, ha llevado a cabo el proceso de auditoria al proveedor:

SERTECPET S.A.

RUC: 1791263308001

Quito - Ecuador

Prestación de servicios y provisión de productos para la industria petrolera.

ASPECTO	PUNTAJE	ASPECTO	PUNTAJE	ASPECTO	PUNTAJE
ACTIVIDADx10.00/10	100.00	EVALUACIÓN FINANCIERAx35.00/35	100.00	CAPACIDAD OPERATIVAx23.68/25	94.74
ASPECTO	PUNTAJE	ASPECTO	PUNTAJE		
GESTIÓN COMERCIAL Y CALIDADx11.25/15	75.00	EVALUACIÓN DOCUMENTALx15.00/15	100.00		
Total:	94.35%	Nivel:	A		

Periodo de Validez Del: 07/01/2020 al 05/01/2021
Emisión 3- REN

Autorizado Por

Marisela Naranjo
Performance Assessment Coordinator
SGS del Ecuador S.A.

CONDICIONES DE EMISIÓN

1) La información consignada en la presente constancia es un resumen del informe de resultados y fiel reflejo de nuestra hallazgos en el lugar y fecha de la auditoria.
2) El alcance de la presente constancia se extiende exclusivamente a la actividad evaluada. Esta auditoria y sus resultados no constituyen un vínculo contractual con ENAP SIPEC
3) La responsabilidad de nuestra empresa se extiende a garantizar únicamente que el proveedor ha sido auditado de acuerdo al procedimiento establecido por ENAP SIPEC. SGS del Ecuador S.A. no asume responsabilidad alguna si el proveedor falla en algún producto o servicio, que fue objeto de la auditoria.

La Calificación mínima aprobatoria es de 75%

OL 88-1354/11

La presente constancia regresa en la base de datos de SGS DEL ECUADOR S.A., y los resultados serán auditoria a la auditoria evaluada por el cliente

CÓDIGO VERIFICADOR	ORDEN DE INSPECCIÓN	FECHA PUBLICACIÓN	PÁGINA
SGSAR,20080815,6,197,2020	OL-88-1354	07/01/2020	1

Código: 106335
Fecha de Emisión: 18/11/2019
Fecha de Caducidad: 18/11/2020

CERTIFICADO DE CALIFICACION DE PROVEEDORES

El presente documento certifica que el proceso de CALIFICACION DE PROVEEDORES para SCHLUMBERGER DEL ECUADOR S.A., ha concluido, reflejando la calificación detallada a continuación, para el proveedor:

Nombre	SERTECPET S.A.
Nombre Comercial	SERTECPET S.A.
Tipo de Calificación	DOCUMENTAL
Fecha de Calificación	18/11/2019

CATEGORIA: SERVICIOS PETROLEROS
ACTIVIDAD: - PRESTACION DE SERVICIOS Y PROVISION DE PRODUCTOS PARA LA INDUSTRIA PETROLERA.

DETALLE DE LA CALIFICACION:

Sección	Calificación
Perfil Empresarial	70.00 / 70.00
Análisis Financiero	25.44 / 30.00

El puntaje total obtenido por SERTECPET S.A. es de 95/100 equivalente a una calificación de "A", lo cual indica que es un proveedor con RIESGO MENOR y Muy probablemente apto para cumplir con los estándares del cliente con SCHLUMBERGER DEL ECUADOR S.A..

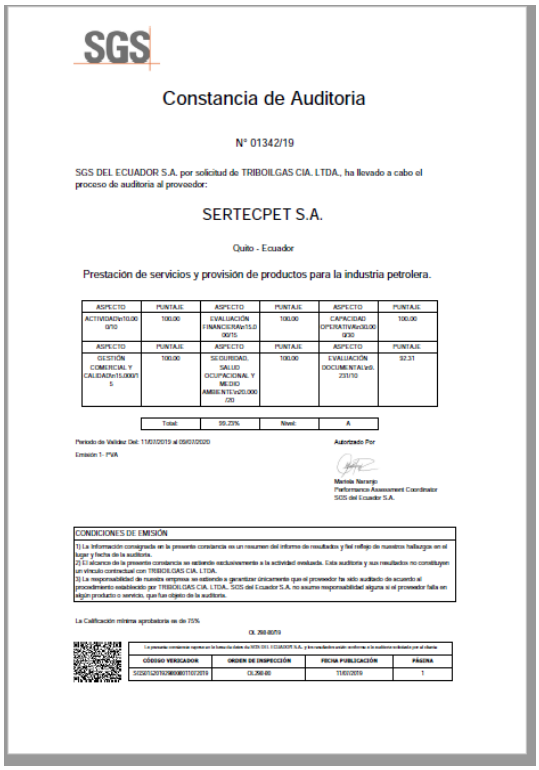
Autorizado por:

YORLAND MARIN
AUDITOR DOCUMENTAL

LIMITACIONES

Los resultados contenidos en el presente informe se basan en la información y documentación legal, tributaria y financiera proporcionada por SERTECPET S.A..

Nuestro trabajo ha consistido en validar y analizar la información provista con el objeto de asignar a SERTECPET S.A. una calificación, en función de los parámetros previamente acordados con SCHLUMBERGER DEL ECUADOR S.A..



SGS

Constancia de Auditoria

N° 01342/19

SGS DEL ECUADOR S.A. por solicitud de TRIBOILGAS CIA. LTDA., ha llevado a cabo el proceso de auditoria al proveedor:

SERTECPET S.A.

Quito - Ecuador

Prestación de servicios y provisión de productos para la industria petrolera.

ASPECTO	PUNTAJE	ASPECTO	PUNTAJE	ASPECTO	PUNTAJE
ACTIVIDADx10.00/10	100.00	EVALUACIÓN FINANCIERAx15.00/15	100.00	CAPACIDAD OPERATIVAx30.00/30	100.00
ASPECTO	PUNTAJE	ASPECTO	PUNTAJE	ASPECTO	PUNTAJE
GESTIÓN COMERCIAL Y CALIDADx15.00/15	100.00	SEGURIDAD, SALUD OCUPACIONAL Y MEDIO AMBIENTEx20.00/20	100.00	EVALUACIÓN DOCUMENTALx9.31/10	93.31
Total:	95.25%	Nivel:	A		

Periodo de Validez Del: 11/01/2019 al 09/01/2020
Emisión 1- PVA

Autorizado Por

Marisela Naranjo
Performance Assessment Coordinator
SGS del Ecuador S.A.

CONDICIONES DE EMISIÓN

1) La información consignada en la presente constancia es un resumen del informe de resultados y fiel reflejo de nuestra hallazgos en el lugar y fecha de la auditoria.
2) El alcance de la presente constancia se extiende exclusivamente a la actividad evaluada. Esta auditoria y sus resultados no constituyen un vínculo contractual con TRIBOILGAS CIA. LTDA.
3) La responsabilidad de nuestra empresa se extiende a garantizar únicamente que el proveedor ha sido auditado de acuerdo al procedimiento establecido por TRIBOILGAS CIA. LTDA.. SGS del Ecuador S.A. no asume responsabilidad alguna si el proveedor falla en algún producto o servicio, que fue objeto de la auditoria.

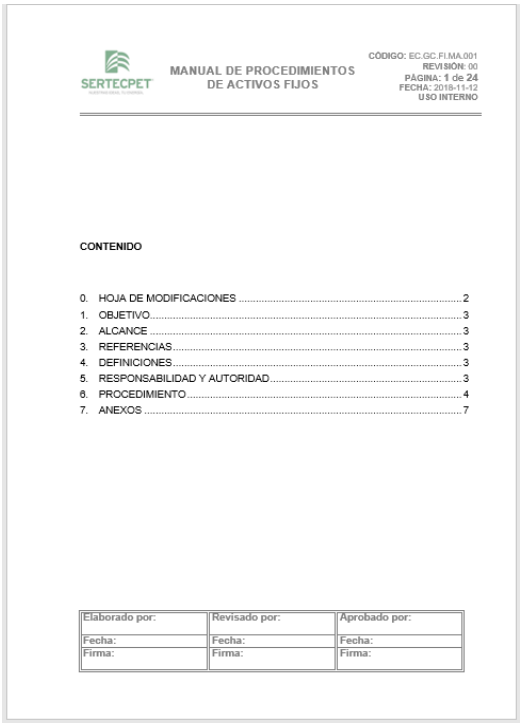
La Calificación mínima aprobatoria es de 75%

OL 268-88/19

La presente constancia regresa en la base de datos de SGS DEL ECUADOR S.A., y los resultados serán auditoria a la auditoria evaluada por el cliente

CÓDIGO VERIFICADOR	ORDEN DE INSPECCIÓN	FECHA PUBLICACIÓN	PÁGINA
SGSAR,20080815,6,197,2019	OL-268-88	11/01/2019	1

Annex 42 Manu Asset Management Process



SERTECPET

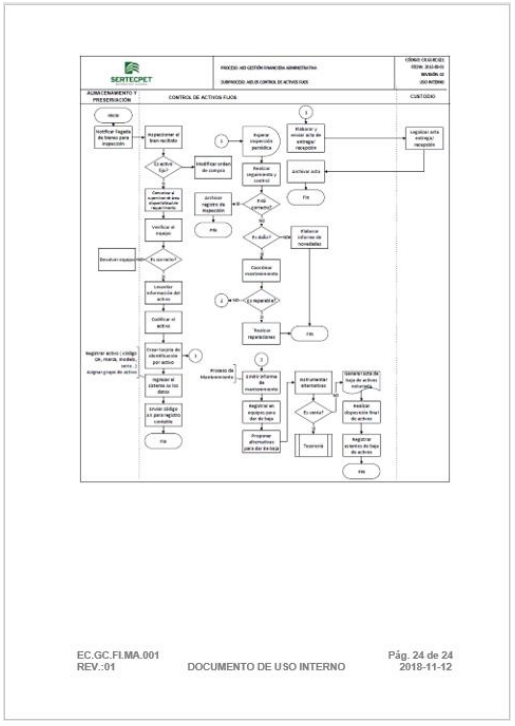
MANUAL DE PROCEDIMIENTOS DE ACTIVOS FIJOS

CÓDIGO: EC.GC.FI.MA.001
REVISIÓN: 00
PÁGINA: 1 de 24
FECHA: 2018-11-12
USO INTERNO

CONTENIDO

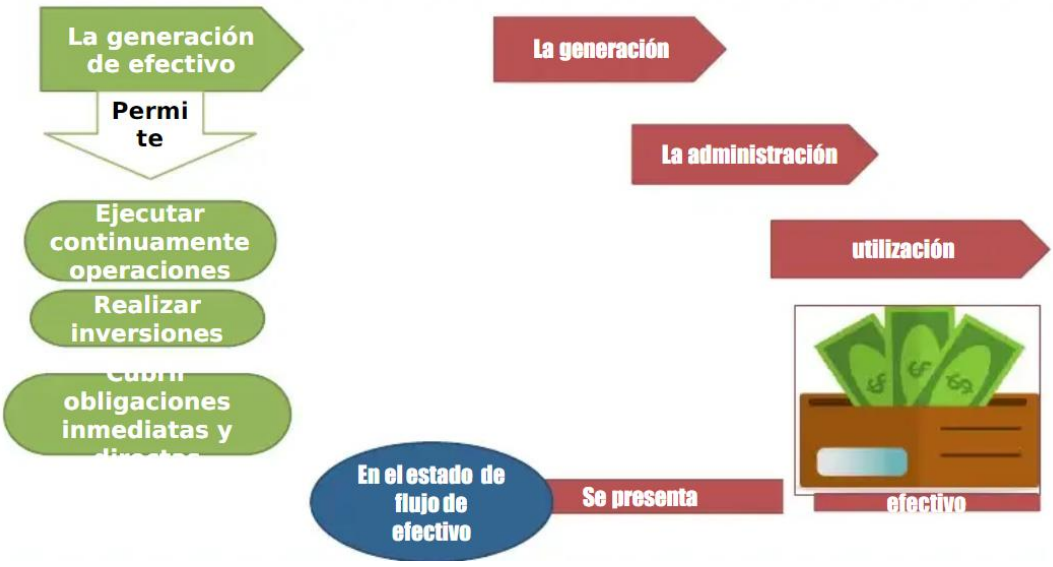
0. HOJA DE MODIFICACIONES 2
1. OBJETIVO 3
2. ALCANCE 3
3. REFERENCIAS 3
4. DEFINICIONES 3
5. RESPONSABILIDAD Y AUTORIDAD 3
6. PROCEDIMIENTO 4
7. ANEXOS 7

Elaborado por:	Revisado por:	Aprobado por:
Fecha:	Fecha:	Fecha:
Firma:	Firma:	Firma:



EC.GC.FI.MA.001 REV.:01 DOCUMENTO DE USO INTERNO Pág. 24 de 24 2018-11-12

Annex 30 Cashflow Process

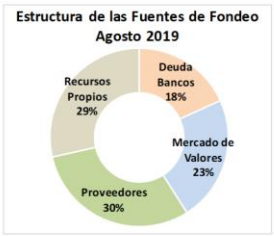


Annex 44 Main Sources of Financing

SERTECPET

Estructura de Financiamiento

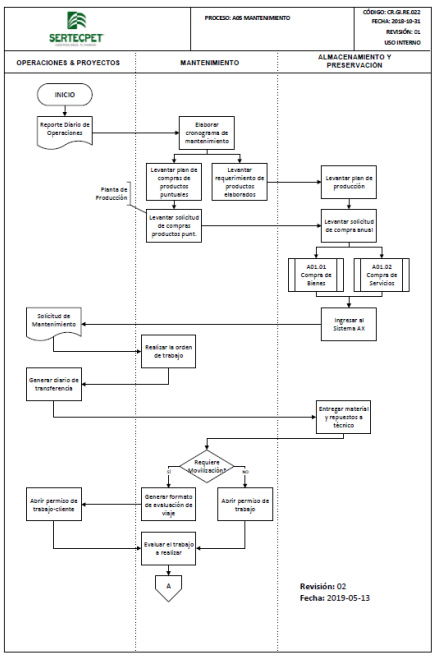
- La compañía ha priorizado la acumulación de la mayor parte de sus resultados anuales, de tal forma que su patrimonio muestra un crecimiento continuo, y por ende, sus ratios de apalancamiento son "bajos".

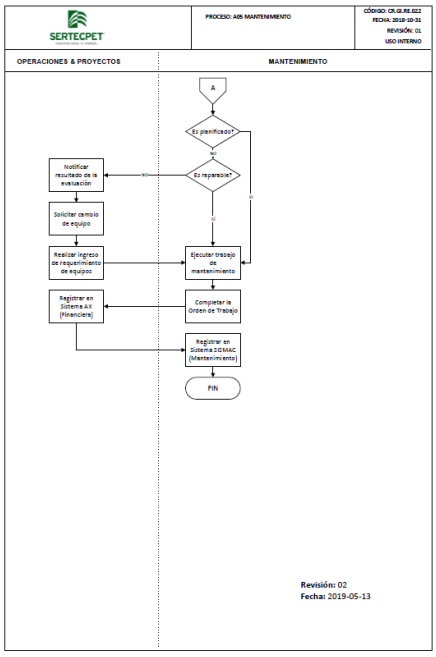


Fuente: SERTECPET / **Elaboración:** Mercapital

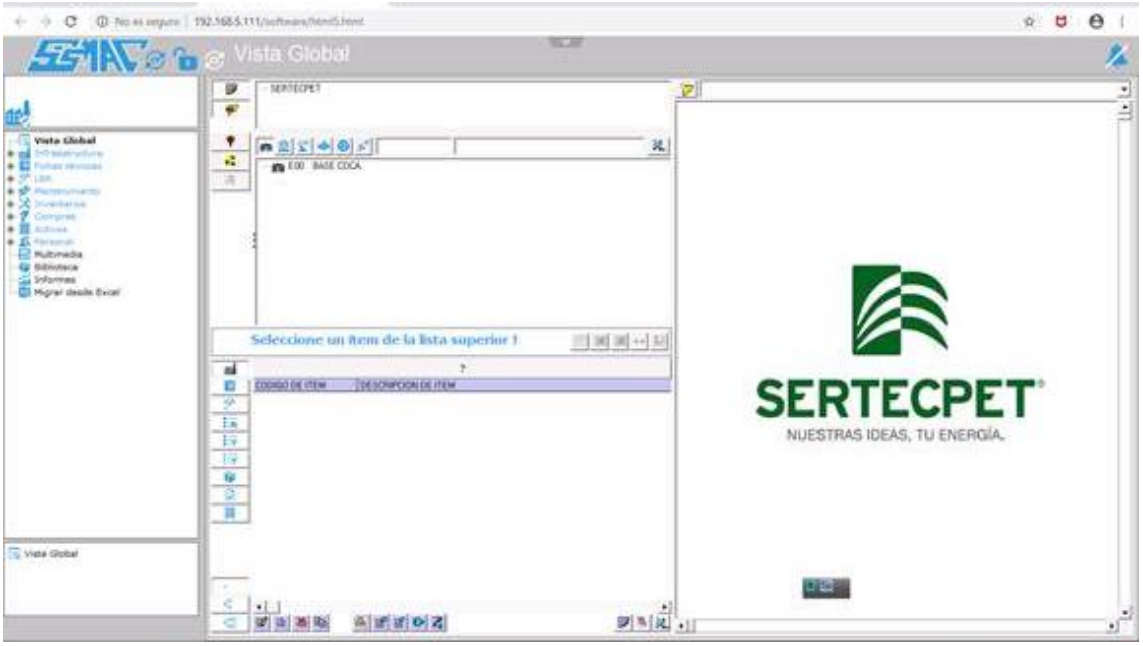
MERCAPITAL
casa de valores s.a

Annex 45 Maintenance Plan





Annex 46 Maintenance Software



Annex 47 Environmental Policies

SERTECPE

POLÍTICA DE SEGURIDAD, SALUD OCUPACIONAL Y AMBIENTE

CÓDIGO: EC.GI.SI.PO.001
REVISIÓN: 02
FECHA: 2018-06-29
USO PÚBLICO

SERTECPET es una industria ecuatoriana constituida el 03 de octubre de 1990 como una compañía generadora de Soluciones Integrales para el sector energético con tecnología de punta. El respaldo de la organización se cimienta en una sólida formación profesional, experiencia, creatividad, grandes retos, profundos valores personales y corporativos y, fundamentalmente una clara proyección de futuro.

SERTECPET cuenta con 4 áreas de negocios: Exploración y Producción de Gas y Petróleo, Facilidades para Gas y Petróleo y Servicio de Levantamiento Artificial, Área Industrial y Área de Proyectos IPCM. Se caracteriza por generar soluciones a la medida del requerimiento del cliente.

Cuenta con un sólido sistema de gestión integrado de Calidad, Ambiente y Salud y Seguridad Ocupacional bajo normas: ISO 9001, ISO 14001; OHSAS 18001 otorgados por la Lloyd's Register en Reino Unido.

SERTECPET está comprometida con leyes, reglamentos, regulaciones vigentes y políticas claras para salvaguardar el ambiente y dotar las mejores condiciones de Seguridad y Salud Ocupacional a sus colaboradores bajo la filosofía de mejora continua, estableciendo estándares, programas e instructivos propios de la compañía, alineados a la Legislación Ecuatoriana y de acuerdo a las siguientes premisas:

- Evaluamos los impactos socio-ambientales y los riesgos de seguridad y salud ocupacional previa a la ejecución de las actividades en las instalaciones propias y/o locaciones del cliente.
- Al momento en que un colaborador identifique un acto o condición insegura, está plenamente autorizado para suspender las actividades.
- Utilizamos de manera racional los recursos naturales no renovables en nuestras actividades, productos o servicios.
- Participamos con todas las partes interesadas para tratar asuntos relacionados con Seguridad, Salud Ocupacional y Ambiente, SSA; facilitando de manera integral y ética los aspectos relevantes de las políticas y buenas prácticas de la empresa.
- Promovemos e implementamos acciones, estándares, normas y prácticas innovadoras para prevenir daños ambientales y buscar oportunidades de mejoramiento continuo en la eficiencia del uso de recursos naturales y energéticos.
- Garantizamos la provisión de recursos necesarios para la gestión de SSA en todas las actividades de la ejecución, provisión y prestación de servicios especializados de la empresa.
- Incentivamos la conciencia de prácticas Sociales y de Seguridad, Salud Ocupacional y Ambiental entre nuestros colaboradores y contratistas a través de programas de entrenamiento y actividades regulares.

Es responsabilidad de la Alta Gerencia, el conocimiento, desarrollo, instrucción, supervisión y gestión de los aspectos relacionados con esta declaración, así como también la comunicación de las prácticas y procedimientos que respalden todas las actividades de la empresa.

La Alta dirección tiene la responsabilidad de mantener y actualizar periódicamente la Política SSA.

Esta política está disponible a las partes interesadas que lo soliciten.

Econ. Bernardo Traversari
GERENTE

Annex 48 Punto Verde Certification

CERES
Certification of Environmental Standards GmbH

CERTIFICADO

En conformidad al MECANISMO DE CERTIFICACIÓN ECUATORIANA AMBIENTAL "PUNTO VERDE EN EL SECTOR ESTRATÉGICO"

N° de certificado: PV-007-2019

CERTIFICADORA ECUATORIANA DE ESTÁNDARES CERESECUADOR CIA. LTDA.* confirma que:

SERTECPET S.A.
Km 61/2 vía Coca – Lago Agrio. Puerto Francisco de Orellana, Orellana.

Puede ofrecer los siguientes servicios que cumplen con los requisitos del MECANISMO DE LA CERTIFICACIÓN ECUATORIANA AMBIENTAL "PUNTO VERDE":

Prestación de servicios y provisión de productos para la industria petrolera

Por los casos de Producción más Limpia comprobados: Según Anexo 1

Fecha de inspección: 08-11-2019
Este certificado es válido hasta: 20-11-2021

Guayaquil, 20-11-2019

Blgo. José Mancheno, CERESECUADOR CÍA. LTDA.

*CERESECUADOR CIA. LTDA confirma que la unidad arriba mencionada cumple con los requisitos del MECANISMO DE CERTIFICACIÓN ECUATORIANA AMBIENTAL "PUNTO VERDE" (Acuerdo Ministerial N° 140 publicado el Registro Oficial N° 387 del 04 de noviembre de 2015) La unidad certificada es responsable de salvaguardar el cumplimiento de las normas, no la agencia certificadora. El presente certificado no cubre otros aspectos de calidad, a más del cumplimiento de las exigencias del "PUNTO VERDE". El uso del logo "PUNTO VERDE" es propiedad exclusiva del Ministerio del Ambiente del Ecuador bajo la administración de la Subsecretaría de Calidad Ambiental.

593.5.8.10 EC v06.08.2018

CERESECUADOR CIA. LTDA.
www.ceresecuador-cert.com

Esquema de certificación aplicable: 6

ANEXOS: SI ☒ NO ☐

Ministerio del Ambiente

Servicio de Acreditación Ecuatoriano
Acreditación N° OAE OCP 07-C02
CERTIFICACIÓN DE PRODUCTOS

P113-2019

CERES
Certification of Environmental Standards GmbH

ANEXO 1 AL CERTIFICADO N° PV-007-2019, SERTECPET S.A.

CASOS DE PRODUCCIÓN MÁS LIMPIA COMPROBADOS:

PUNTO VERDE 1: Disminución del 7.9% de uso de combustibles por cambio de tecnología de MTU's de combustión interna a MTU's eléctricas.

Guayaquil, 20-11-2019

Blgo. José Mancheno,CERESECUADOR CÍA. LTDA.

"CERESECUADOR CIA. LTDA confirma que la unidad arriba mencionada cumple con los requisitos del MECANISMO DE CERTIFICACIÓN ECUATORIANA AMBIENTAL "PUNTO VERDE" (Acuerdo Ministerial N° 140 publicado el Registro Oficial N° 387 del 04 de noviembre de 2015) La unidad certificada es responsable de salvaguardar el cumplimiento de las normas, no la agencia certificadora. El presente certificado no cubre otros aspectos de calidad, a más del cumplimiento de las exigencias del "PUNTO VERDE". El uso del logo "PUNTO VERDE" es propiedad exclusiva del Ministerio del Ambiente del Ecuador bajo la administración de la Subsecretaría de Calidad Ambiental.

593.5.8.10 EC v06.08.2018

CERESECUADOR CIA. LTDA.
www.ceresecuador-cert.com

Ministerio del Ambiente

Servicio de Acreditación Ecuatoriano
Acreditación N° OAE OCP 07-C02
CERTIFICACIÓN DE PRODUCTOS

P113-2019

Annex 49 ISO14001:2015 Lloyd´s Certification

Lloyd's Register

Certificado de Aprobación

Certificamos que el Sistema de Gestión de :

SERTECPET S.A.

Av. Eloy Alfaro N37-25 y José Correa Quito, Ecuador

ha sido aprobado por LRQA de acuerdo con las siguientes normas:

ISO 14001:2015

Chris Koci - President, LRQA Americas

Emitido por: Lloyd's Register Central and South America Ltd

en nombre de: Lloyd's Register Quality Assurance Limited

Este certificado es válido sólo cuando va acompañado del anexo al certificado con el mismo número, en el que se detallan las delegaciones a las que se aplica esta aprobación.

Fecha de emisión actual: 6 Abril 2018
Fecha de caducidad: 30 Agosto 2020
Número de certificado: 10071560

Aprobaciones Originales:
ISO 14001 – 31 Agosto 2005

Números de Aprobación: ISO 14001 – 0013138

El alcance de esta aprobación es aplicable a:
Fabricación y Reparación de Partes y Piezas de Equipo Petrolero de Fondo.
Renta (incluye la operación) y Venta de Equipo Petrolero, de Superficie y Herramientas de Fondo para Completamiento y Pruebas de Pozos Exploratorios y de Producción.
Diseño, Fabricación y Reparación de Recipientes a Presión de Acuerdo con el Código ASME BPVC, Estampe "U" y el Código National Board Inspection Estampe "R" & "NB" y de Tanques Metálicos de Almacenamiento.
Estudio, Diseño y Desarrollo de Proyectos de Ingeniería, Procura y Construcción en los Sectores de Hidrocarburos, Minería, Energía, industria, Abastecimiento de Agua y Tratamiento de Agua.

UKAS MANAGEMENT SYSTEMS
001

Lloyd's Register Group Limited, its affiliates and subsidiaries, including Lloyd's Register Quality Assurance Limited (LRQA), and their respective officers, employees or agents are, individually and collectively, referred to in this clause as 'Lloyd's Register'. Lloyd's Register assumes no responsibility and shall not be liable to any person for any loss, damage or expense caused by reliance on the information or advice in this document or howsoever provided, unless that person has signed a contract with the relevant Lloyd's Register entity for the provision of this information or advice and in that case any responsibility or liability is exclusively on the terms and conditions set out in that contract.
Emitido por: Lloyd's Register Central and South America Ltd, Calle Begonias N° 415, piso 11, oficina 1136, San Isidro, Lima, Peru en nombre de: Lloyd's Register Quality Assurance Limited, 1 Trinity Park, Bickenhill Lane, Birmingham B37 7ES, United Kingdom

Annex 50 ISO14001:2015 API Certification

EMS REGISTERED

Certificate of Registration

APIQR® REGISTRATION NUMBER

ISO-E0043

This certifies that the environmental management system of

SERTECPET
Av. Via Lago Agrio S/N Km 6 1/2
Francisco de Orellana, Orellana
Ecuador

has been assessed by the American Petroleum Institute Quality Registrar (APIQR®) and found it to be in conformance with the following standard:

ISO 14001:2015

The scope of this registration and the approved environmental management system applies to the

Provision of Evaluation Services for Oil Well Production with Jet Pumps and Down Hole Equipment; Design, Construction and Operation of Early Facilities Productions

No Exclusions Identified as Applicable

Effective Date:	AUGUST 16, 2019
Expiration Date:	AUGUST 16, 2022
Registered Since:	AUGUST 16, 2016

Vice President of Global Industry Services

Accredited by Member of the International Accreditation Forum Multilateral Recognition Arrangement for Environmental Management Systems

ANAB IAF

This certificate is valid for the period specified herein. The registered organization must continually meet all requirements of APIQR's Registration Program and the requirements of the Registration Agreement. Registration is maintained and regularly monitored through annual full system audits. Further clarifications regarding the scope of this certificate and the applicability of ISO 14001 standard requirements may be obtained by consulting the registered organization. This certificate has been issued from APIQR offices located at 200 Massachusetts Avenue, NW Suite 1100, Washington, DC 20001-5571, U.S.A., it is the property of APIQR, and must be returned upon request. To verify the authenticity of this certificate, go to www.api.org/compositelist.

QUALITY REGISTRAR

Annex 51 Safe Claw Card

SC - STP : 000000X

SOY PARTE DEL EQUIPO cero accidentes SAFE CLAW

Nombre del Observador: _____

Departamento del Observador: _____

Fecha (dd/mm/aaaa): ___/___/___

LUGAR
Locación: _____
Lugar Específico: _____

ACCIÓN		CONDICIÓN	

PERSONAL RELACIONADO CON LA OBSERVACIÓN

Sertecpet:	Departamento:
Contratista:	Área Relacionada:
Cliente:	Área Relacionada:

OBSERVACIÓN

TIPO DE INCUMPLIMIENTO	NO POSEE	ES INADECUADO
Equipo de Protección Personal		
Procedimientos de Trabajo		
Posiciones de las personas		
Orden y Limpieza		
Herramientas y Equipos		
Otros		

ACCIONES CORRECTIVAS

STATUS — Uso Exclusivo SSA

ABIERTA		CERRADA	

SERTECPET

Annex 52 OHSAS 18001:2007 Lloyd´s Certification

Lloyd's Register LRQA

Certificado de Aprobación

Certificamos que el Sistema de Gestión de :

SERTECPET S.A.

Av. Eloy Alfaro N37-25 y José Correa Quito, Ecuador

ha sido aprobado por LRQA de acuerdo con las siguientes normas:

OHSAS 18001:2007

Chris Koci
Emitido por: Lloyd's Register Central and South America Ltd en nombre de: Lloyd's Register Quality Assurance Ltd

Este certificado es válido sólo cuando va acompañado del anexo al certificado con el mismo número, en el que se detallan las delegaciones a las que se aplica esta aprobación.

Fecha de emisión actual: 31 Agosto 2017
Fecha de caducidad: 30 Agosto 2020
Número de certificado: 10028292

Aprobaciones Originales:
OHSAS 18001 – 31 Agosto 2005

Números de Aprobación: OHSAS 18001 – 0013139

El alcance de la aprobación se muestra en la página siguiente manteniendo el número de identificación del certificado.

UKAS MANAGEMENT SYSTEMS
001

Lloyd's Register Group Limited, its affiliates and subsidiaries, including Lloyd's Register Quality Assurance Limited (LRQA), and their respective officers, employees or agents are, individually and collectively, referred to in this clause as 'Lloyd's Register'. Lloyd's Register assumes no responsibility and shall not be liable to any person for any loss, damage or expense caused by reliance on the information or advice in this document or howsoever provided, unless that person has signed a contract with the relevant Lloyd's Register entity for the provision of this information or advice and in that case any responsibility or liability is exclusively on the terms and conditions set out in that contract.
Emitido por: Lloyd's Register Central and South America Ltd, Calle Begonias N° 415, piso 11, oficina 1136, San Isidro, Lima, Peru en nombre de: Lloyd's Register Quality Assurance Ltd, 1 Trinity Park, Bickenhill Lane, Birmingham B37 7ES, United Kingdom

Annex 53 OHSAS 18001:2007 API Certification

OHSMS REGISTERED

Certificate of Registration

APIQR® REGISTRATION NUMBER
OHSAS-0032

This certifies that the occupational health and safety management system of

SERTECPET
Av. Via Lago Agrio S/N Km 6 1/2
Francisco de Orellana, Orellana
Ecuador

has been assessed by the American Petroleum Institute Quality Registrar (APIQR®) and found it to be in conformance with the following standard:

OHSAS 18001:2007

The scope of this registration and the approved occupational health and safety management system applies to the

Provision of Evaluation Services for Oil Well Production with Jet Pumps and Down Hole Equipment; Design, Construction and Operation of Early Facilities Productions

No Exclusions Identified as Applicable

Effective Date:	**AUGUST 16, 2019**
Expiration Date:	**AUGUST 16, 2022**
Registered Since:	**AUGUST 16, 2016**

Vice President of Global Industry Services

This certificate is valid for the period specified herein. The registered organization must continually meet all requirements of APIQR's Registration Program and the requirements of the Registration Agreement. Registration is maintained and regularly monitored through annual full system audits. Further clarifications regarding the scope of this certificate and the applicability of OHSAS 18001 requirements may be obtained by consulting the registered organization. This certificate has been issued from APIQR offices located at 200 Massachusetts Avenue, NW Suite 1100, Washington, DC 20001-5571, U.S.A., it is the property of APIQR, and must be returned upon request. **To verify the authenticity of this certificate, go to www.api.org/compositelist.**

QUALITY REGISTRAR

Annex 54 Power BI and SYAL

Annex 55 Data Protection Policy

SERTECPET®
NUESTRAS IDEAS TU ENERGÍA

POLITICA INTEGRAL PARA TECNOLOGIA DE LA INFORMACION Y SISTEMAS

CÓDIGO: EC.GC.TI.PO.001
REVISIÓN: 00
FECHA: 2016-06-01
USO INTERNO

1. GENERALIDADES

La seguridad informática ha tomado gran auge, debido a las cambiantes condiciones y nuevas plataformas tecnológicas disponibles. La posibilidad de interconectarse a través de redes, ha abierto nuevos horizontes a las empresas para mejorar su productividad y poder explorar más allá de las fronteras nacionales, lo cual lógicamente ha traído consigo, la aparición de nuevas amenazas para los sistemas de información. Estos riesgos que se enfrentan han llevado a que se desarrolle un documento de directrices que orientan en el uso adecuado de estas destrezas tecnológicas y recomendaciones para obtener el mayor provecho de estas ventajas, y evitar el uso indebido de las mismas, lo cual puede ocasionar serios problemas a los bienes, servicios y operaciones de la empresa.

En este sentido, las políticas de seguridad informática definidas partiendo desde el análisis de los riesgos a los que se encuentra propensa la empresa, surgen como una herramienta organizacional para concienciar a los colaboradores de la organización sobre la importancia y sensibilidad de la información y servicios críticos que permiten a la empresa crecer y mantenerse competitiva. Ante esta situación, el proponer nuestra política de seguridad requiere un alto compromiso con la organización, agudeza técnica para establecer fallas y debilidades en su aplicación, y constancia para renovar y actualizar dicha política en función del dinámico ambiente que rodea a la organización.

Annex 56 External Auditing Report

EVALUACIÓN DEL AMBIENTE DE PROCESAMIENTO

Hemos realizado una revisión general de los controles y seguridades del ambiente de procesamiento automatizado de datos de Sertecpet S.A., para determinar el grado de confiabilidad de la información financiera procesada en el entorno computacional.

A continuación, se detallan las principales novedades identificadas:

CONTROLES GENERALES DE TI

1. NOVEDADES EN ADMINISTRACIÓN DE USUARIOS EN SISTEMAS

Antecedente - Los sistemas Dynamics AX 2009 y SquareNet comparten la misma infraestructura tecnológica: base de datos y sistema operativo.

El sistema Dynamics AX 2009 es propiedad de Microsoft por lo que se enlaza automáticamente con el Directorio Activo de forma que utiliza los parámetros de seguridad de contraseña y bloqueo que están configurados desde este último.

Observaciones - En la revisión realizada a los usuarios que tienen acceso activo a los sistemas Dynamics AX 2009, SquareNet, Directorio Activo y bases de datos de dichos sistemas, se identificaron las siguientes novedades:

- Usuarios activos que pertenecen a personal que dejó de laborar en la Compañía:

Sistema	Cantidad	Referencia
Directorio Activo	8	Anexo A – Usuarios Ex empleados
Base de Datos Dynamics	1	

- Usuarios administradores que pertenecen a personal que dejó de laborar en la Compañía:

Sistema	Cantidad	Referencia
Directorio Activo	2	Anexo B – Usuario Administrativo Ex empleados

- Usuarios genéricos sin un responsable formalmente asignado ni documentado para su uso:

Sistema	Cantidad	Referencia
SquareNet	5	Anexo C – Usuarios genéricos
Directorio Activo	195	
Base de Datos Dynamics	14	
Base de Datos SquareNet	1	

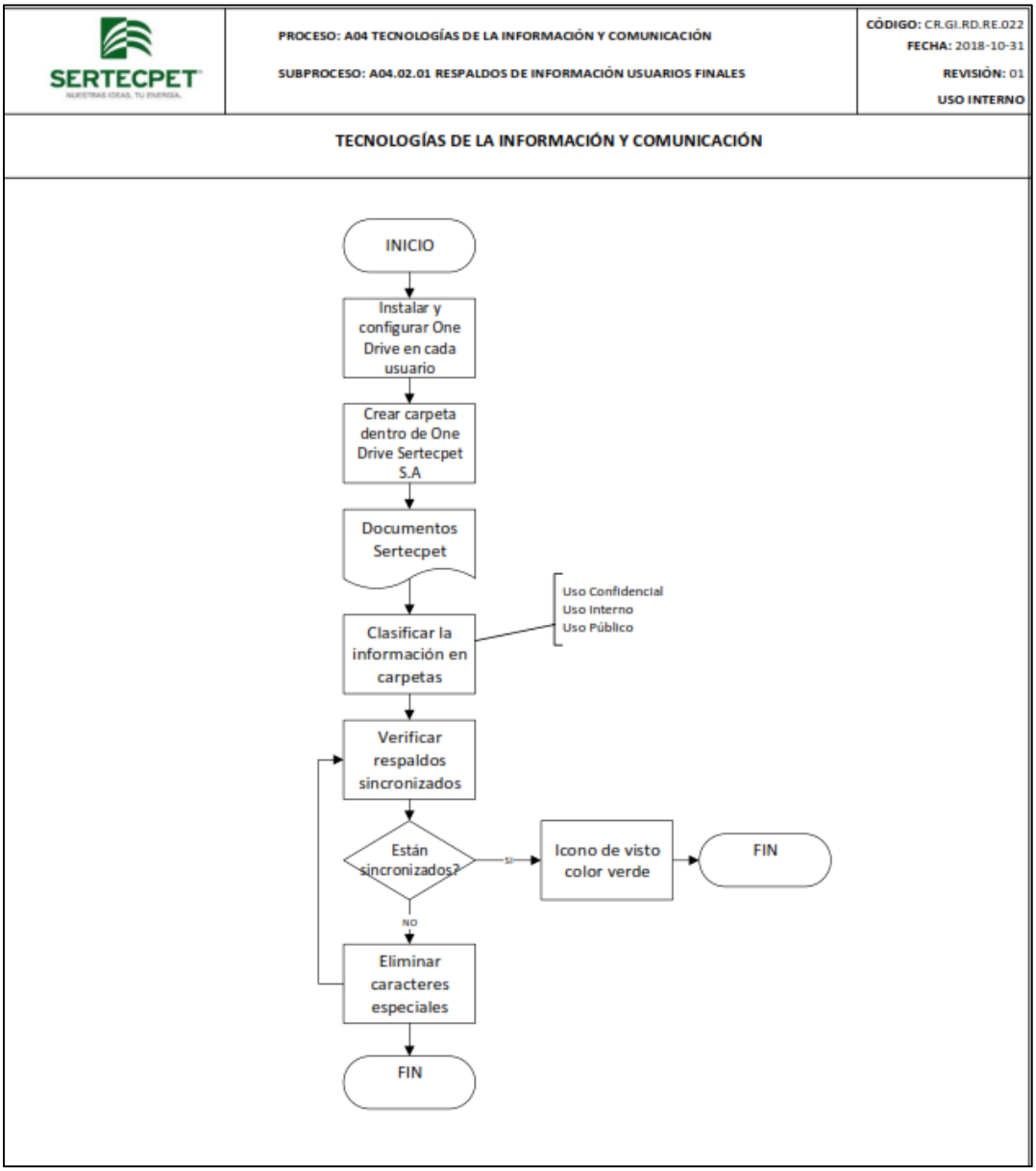
- Usuarios genéricos administradores sin asignación formal de personal:

Sistema	Cantidad	Referencia
Directorio Activo	35	Anexo D - Usuarios Genéricos Administradores
SquareNet	1	
Dynamics AX 2009	3	

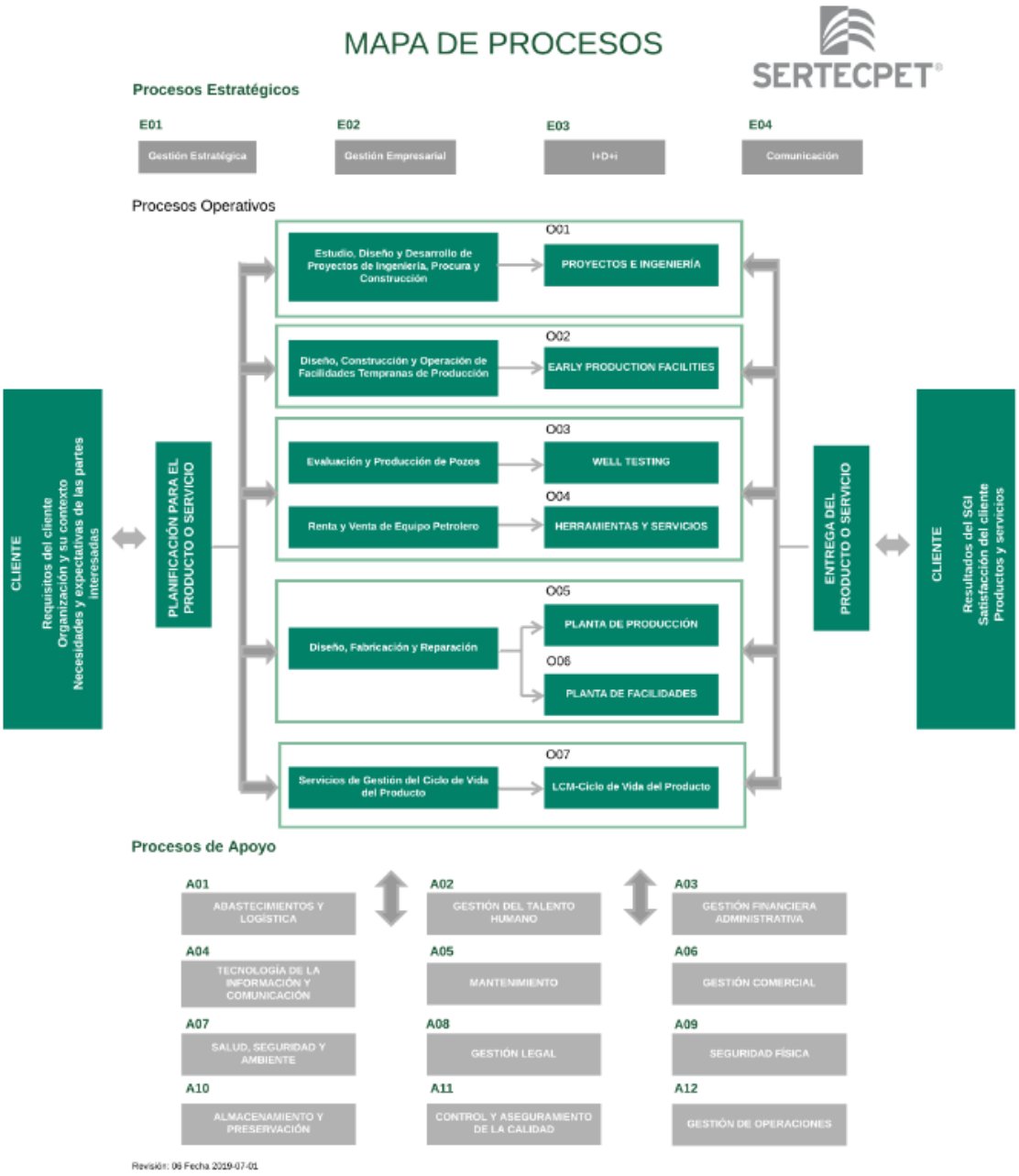
- Usuarios no identificados en la nómina del personal, inventarios de usuarios externos ni otros reportes provistos por la compañía:

INFORME FINAL

Annex 57 Digital Information Backups



Annex 58 Process Map



Annex 59 Balanced Score Card

		META	RESULTADO	% CUMPLIMIENTO	META	RESULTADO	% CUMPLIMIENTO
Financiera	Cumplir o superar las metas de ingresos	66.26	89.05	134.39%	82.89	86.08	103.85%
	Reducir costos y gastos	50.64	76.81	65.92%	23.35	30.28	77.11%
	Superar la meta de utilidad operacional	15.63	12.24	78.33%	59.55	55.81	93.72%
Cliente	Aumentar la satisfaccion del cliente externo del producto / servicio	5.000	4.69	93.80%	5.000	4.810	96.20%
	Aumentar la satisfaccion del cliente interno (5)	5.00	3.82	76.40%	5.00	3.87	77.40%
	Reducir el 50% el número de quejas y reclamos del cliente	N/A	N/A		N/A	N/A	
Procesos Internos	Alcanzar las metas de la planificación operativa (POA)	100.00	93.28	93.28%	100.00	92.15	92.15%
	Cumplir las metas de los indicadores claves de proceso	100.00	91.87	91.87%	100.00	90.28	90.28%
	Reducir el índice de frecuencia	0.36	0.88	40.91%	0.36	0.25	143.05%
	Reducir el índice de gravedad	6.12	6.11	100.16%	6.12	7.33	83.49%
	Reducir el volumen impactante acumulado	3.00	5.18	57.92%	3.00	4.49	66.82%
GTH & TIC	Alcanzar el nivel de competencia	94.00	97.00	103.19%	90.00	N/A	
	Obtener el nivel de empleabilidad	N/A	N/A		N/A	N/A	
	Cumplir con el plan de capacitación (e-Learning)	N/A	N/A		N/A	N/A	
	Aumentar 10% la evaluación del clima laboral	73.50	72.00	97.96%	79.20	N/A	
	Ejecutar plan de accion para mejoramiento del clima laboral	100.00	100.00	100.00%	100.00	N/A	
	Alcanzar el índice de rotación voluntaria del personal	0.01	0.009	112.15%	0.80	0.600	133.33%

Annex 60 Sertecpet Marketing Plan

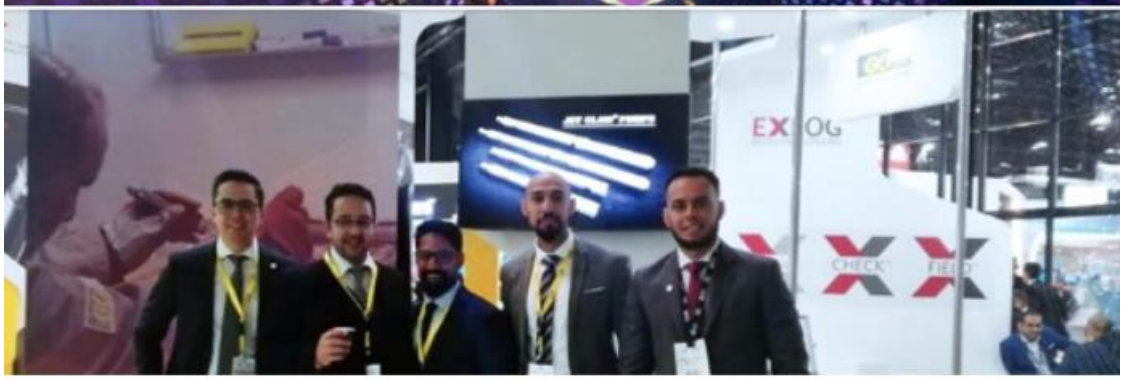
Annex 61 Workshops and Fairs

SERTECPET

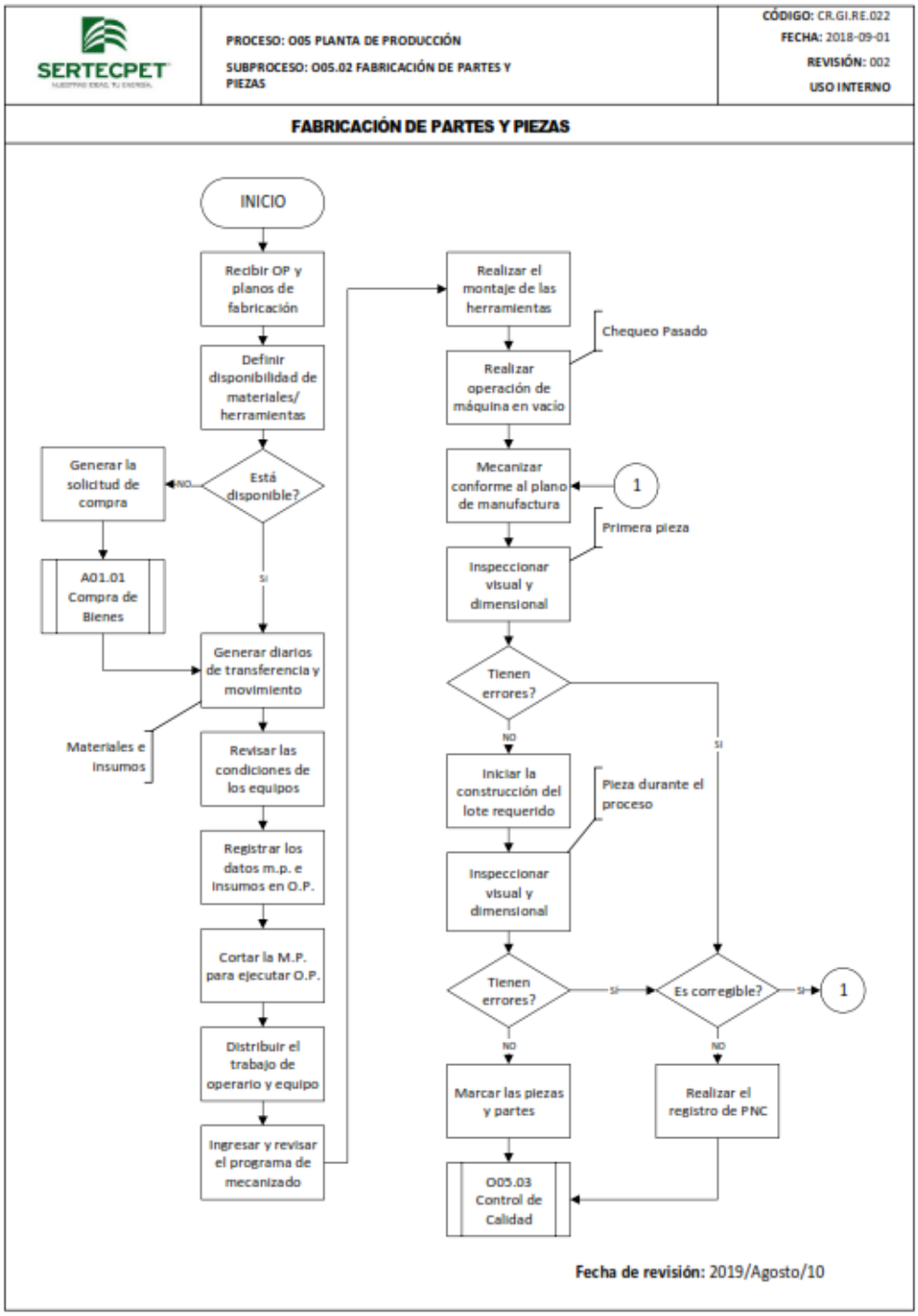
Publicado por Fabian Gonzalez [?] · 13 de enero ·

Más de 13.500 personas registradas en este primer día de la EXPO Dhahran en Arabia Saudita donde Sertecpet junto a su aliado GoTech están presentes en el Stand #56 - Hall 4 para exponer y compartir su know how y experiencia en artificial lift.

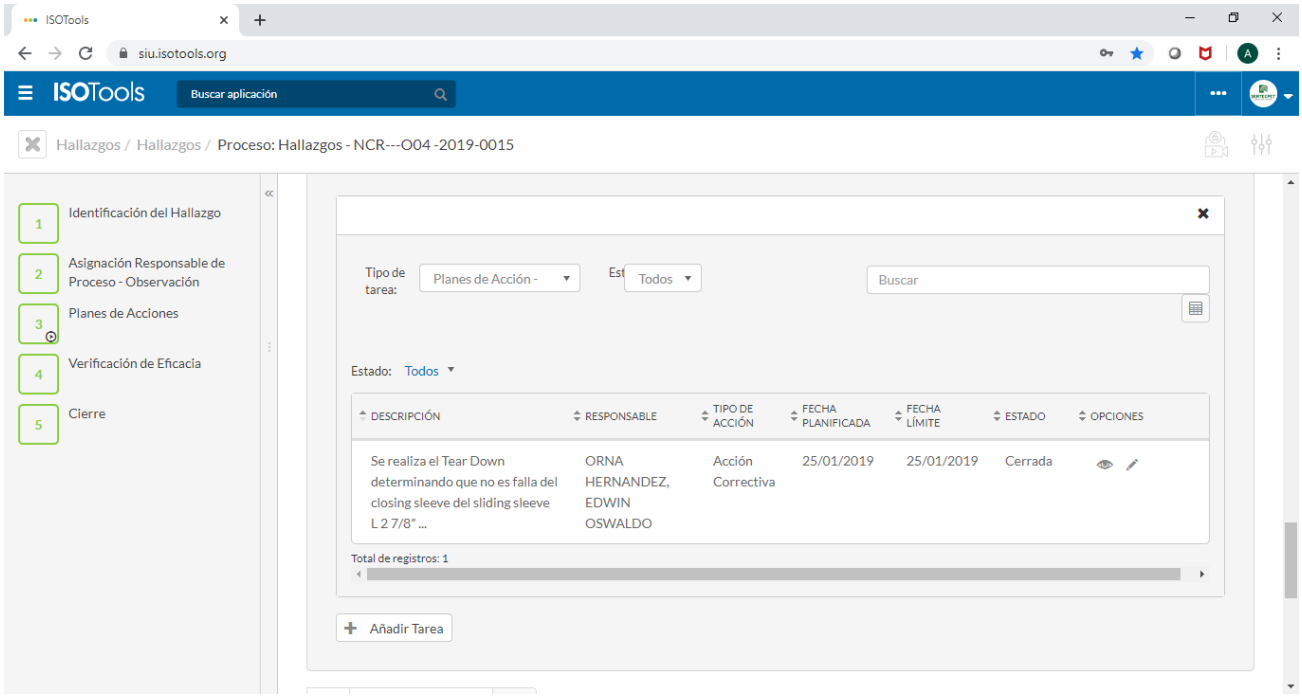
#SertecpetGlobal #IPTC2020 #DhahranEXPO



Annex 62 Flowchart of Production Plant



Annex 63 ISOTools Findings

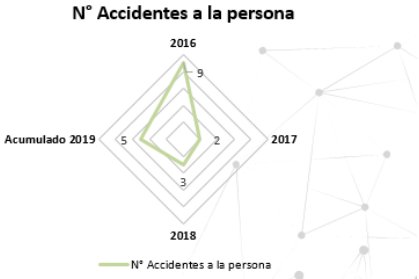


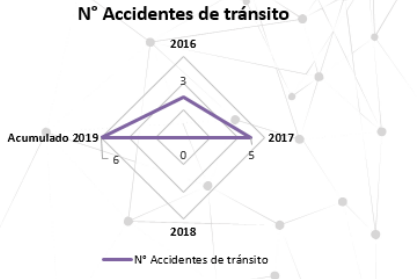
Annex 64 QHSE Report

REPORTES QHSE (Salud, Seguridad y Ambiente) 2019

SERTECPET®

ESTADÍSTICAS				
Año	2016	2017	2018	Acumulado 2019
Horas-Hombre/Mujer	2.523.916	2.464.380	3.268.660	3.097.204
N° De colaboradores	870	887	1262	1367
N° Accidentes a la persona	9	2	3	5
N° Accidentes de tránsito	3	5	0	6





Annex 65 Brand Diffusion Mechanisms

Medios de comunicación	Clientes
- Comunicados de Prensa - Desayunos informativos / Reuniones de trabajo - Eventos Corporativos - Visitas corporativas - Alimentación Página Web	- Material informativo de recordación - Página Web - Visitas corporativas - Reuniones de trabajo - Eventos Corporativos
Gobierno	**Comunidad**
-Publicaciones y artículos en medios de comunicación - Página Web - Visitas corporativas - Reuniones de trabajo - Eventos Corporativos	- Medios de comunicación - Visitas corporativas a las comunidades - Reuniones de trabajo con la comunidad

SERTECPET®

We are a team of collaborators committed to excellence, we have solid processes and strong values that guarantee the best results for all stakeholders.