

## RTRS Standard for Responsible Soy Production

<b>Country/ Organization</b>	Roundtable on Responsible Soy Association (RTRS)	<b>Year and status</b>	Version 1.0 (2010); in operation
<b>Initiative</b>	RTRS Principles & Criteria		
<b>Membership</b>	Producers; industry, finance and trade; and civil society organizations		
<b>Governing bodies</b>	General Assembly; Executive Board; and Secretariat		
<b>Type and implementation approach</b>	Certification scheme	<b>Geographical coverage</b>	Global
<b>Feedstock(s) covered</b>	Soy	<b>Supply chain coverage</b>	Biofuel feedstock production, processing, trade and use
<b>Type(s) of biofuels covered</b>	Soy can be used to produce biodiesel		
<b>Link</b>	<a href="http://www.responsiblesoy.org">http://www.responsiblesoy.org</a>		

### Overview<sup>1</sup>.

The Roundtable on Responsible Soy Association (RTRS) is an international multistakeholder initiative that was established in 2006 to promote sustainable soy production, processing, trade and use through the development, implementation and verification of a global standard.

RTRS aims, in particular, to:

- facilitate a global dialogue on soy that is economically viable, socially equitable and environmentally sound;
- reach consensus among key stakeholders and players linked to the soy industry;
- act as forum to develop and promote a sustainability standard for the production, processing, trade and use of soy;
- act as an internationally recognized forum for monitoring the sustainability of global soy production; and
- organize international conferences on responsible soy production and involve new operators and NGOs.

Version 1.0 of the RTRS Standard for Responsible Soy Production is the result of a period of field testing as well as of three rounds of consultation on earlier drafts of the principles, criteria and verification mechanism. The final version was approved by the RTRS Executive Board in May 2010 and by the RTRS General Assembly in June 2010.

<sup>1</sup> The information included in this section was excerpted and adapted directly from the RTRS web-site: <http://www.responsiblesoy.org/>

The RTRS Standard consists of twenty-one criteria, including relevant indicators, which fall under the following five principles:

1. Legal Compliance and Good Business Practice;
2. Responsible Labour Conditions;
3. Responsible Community Relations;
4. Environmental Responsibility; and
5. Good Agricultural Practice.

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Ismail, M., Rossi, A., Geiger, N. 2011. *A Compilation of Bioenergy Sustainability Initiatives: Update*. Rome: Food and Agriculture Organization of the UN (FAO).

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
<b>1. ENVIRONMENTAL</b>			
<p>1.1 Land-use change (direct and/or indirect)</p> <p><a href="#">Back to table of content</a></p>	<p>4. Environmental Responsibility</p>	<p>4.4 Expansion of soy cultivation is responsible.</p> <p><i>Note: This criterion will be revised after June 2012 if RTRS-approved maps and system are not available.</i></p>	<p>4.4.1 After May 2009 expansion for soy cultivation has not taken place on land cleared of native habitat except under the following conditions:</p> <p>4.4.1.1 It is in line with an RTRS-approved map and system (see Annex 4.)</p> <p>or</p> <p>4.4.1.2 Where no RTRS-approved map and system is available:</p> <ul style="list-style-type: none"> <li>a) Any area already cleared for agriculture or pasture before May 2009 and used for agriculture or pasture within the past 12 years can be used for soy expansion, unless regenerated vegetation has reached the definition of native forest (see glossary).</li> <li>b) There is no expansion in native forests (see glossary)</li> <li>c) In areas that are not native forest (see glossary), expansion into native habitat only occurs according to one of the following two options: <ul style="list-style-type: none"> <li>Option 1. Official land-use maps such as ecological-economic zoning are used and expansion only occurs in areas designated for expansion by the zoning. If there are no official land use maps then maps produced by the government under the Convention on Biological Diversity (CBD) are used, and expansion only occurs outside priority areas for conservation shown on these maps.</li> <li>Option 2. A High Conservation Value Area (HCVA) assessment is undertaken prior to clearing and there is no conversion of High Conservation Value Areas.</li> </ul> </li> </ul> <p><i>Note: Where neither official land use maps nor CBD maps exist,</i></p>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.1 Land-use change (direct and/or indirect) (continued)	4. Environmental Responsibility (continued)	4.4 Expansion of soy cultivation is responsible. (continued)	<p><i>Option 2 must be followed.</i></p> <p><u>Guidance on 4.4.1.2 c):</u> Options 1 and 2 only apply for areas which are not native forest (as stated in 4.4.1.2 b and c). Therefore native forest cannot be deforested even if an official land use map (Option 1) permits this. Option 1: Maps used for this purpose have been subject to adequate and effective public consultation. Option 2: HCVA assessment should be undertaken using the existing guidance e.g. HCV Toolkit. The assessors should be recognized by RTRS or the HCV network.</p> <p>[Also relevant to aspect(s)/issue(s): <a href="#">1.2 Biodiversity and ecosystem services</a>]</p>
1.2 Biodiversity and ecosystem services  <a href="#">Back to table of content</a>	4. Environmental Responsibility	4.4 Expansion of soy cultivation is responsible.  <u>See <a href="#">note on criterion 4.4.</a></u>	See <a href="#">indicator 4.4.1</a> on <b>conservation of High Conservation Value Areas (HCVAs)</b> at aspect/issue 1.1 Land-use change (direct and/or indirect).
		4.5 On-farm biodiversity is maintained and safeguarded through the preservation of native vegetation.	4.5.1 There is a map of the farm which shows the native vegetation.
		<u>Guidance:</u> The map and plan should be appropriate to the size of the operation. In group certification the group manager can maintain the map	4.5.2 There is a plan, which is being implemented, to ensure that the native vegetation is being maintained (except areas covered under Criterion 4.4)  4.5.3 No hunting of rare, threatened or endangered species takes place on the property.

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<b>ASPECTS/ISSUES</b>	<b>PRINCIPLES</b>	<b>CRITERIA</b>	<b>INDICATORS</b>
1.2 Biodiversity and ecosystem services  <a href="#">Back to table of content</a>	4. Environmental Responsibility (continued)	centrally and 14 RTRS Standard for Responsible Soy Production Version 1.0 Criterion Guidance can be responsible for maintaining and developing a plan for conservation.	
	5. Good Agricultural Practice	See <a href="#">criterion 5.2</a> on <b>natural vegetation areas near springs and natural watercourses</b> at aspects/issues 1.5 Water availability and quality.	
		5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation of <b>systematic, recognized Integrated Crop Management (ICM) techniques</b> .	See <a href="#">indicator 5.4.4</a> on records of monitoring of pests, diseases, weeds and natural predators at aspect/issue 1.4 Crop management and agrochemical use.
		See <a href="#">note and guidance on criterion 5.4</a> .	
		See <a href="#">criterion 5.7</a> on the <b>use of biological control agents</b> at aspect(s)/issue(s) 1.4 Crop management and agrochemical use.	
	5.8 Systematic measures are planned and implemented to <b>monitor, control and minimize the spread of invasive</b>	5.8.1 Where there are institutional systems in place to identify and monitor invasive introduced species and new pests, or major outbreaks of existing pests, producers follow the requirements of these systems, to minimize their spread.	

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.2 Biodiversity and ecosystem services (continued)	5. Good Agricultural Practice (continued)	<b>introduced species</b> and new pests.	5.8.2 Where such systems do not exist, incidences of new pests or invasive species and major outbreaks of existing pests are communicated to the proper authorities and relevant producer organizations or research organizations.  <i>Note: For group certification - the group manager is responsible for communicating to the authorities and relevant organizations.</i>
1.3 Productive capacity of land  <a href="#">Back to table of content</a>	5. Good Agricultural Practice	5.3 <b>Soil quality</b> is maintained or improved and erosion is avoided by good management practices.	5.3.1 Knowledge of techniques to maintain soil quality (physical, chemical and biological) is demonstrated and these techniques are implemented.
			5.3.2 Knowledge of techniques to control soil erosion is demonstrated and these techniques are implemented.
			5.3.3 Appropriate monitoring, including soil organic matter content, is in place.  <i>Note: For group certification - Monitoring of soil fertility and soil quality should be part of the internal control system and can be carried out on a sampling basis within the group.</i>
		See <a href="#">criterion 5.9</a> on appropriate measures to <b>prevent the drift of agrochemicals</b> at aspect(s)/issue(s) 1.4 Crop management and agrochemical use.	

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.3 Productive capacity of land (continued)  <a href="#">Back to table of content</a>	5. Good Agricultural Practice (continued)	5.10 Appropriate measures are implemented to allow for <b>coexistence of different production systems</b> .  Guidance: When a change in soybean production practices is introduced which could impact on neighboring production systems, it is the responsibility of the producer making the change to implement a buffer strip of 30 m (e.g. in areas where production is generally GM, it is the responsibility of an organic or non-GM farmer to maintain the buffer around his own production. In areas where production is mainly non-GM or organic, a farmer planting GM or using chemicals should maintain a buffer).	5.10.1 Measures are taken to prevent interference in production systems of neighbouring areas.
		5.11 <b>Origin of seeds is controlled</b> to improve production and prevent introduction of new diseases.	5.11.1 All purchased seed must come from known legal quality sources.  5.11.2 Self-propagated seeds may be used, provided appropriate seed production norms are followed and legal requirements regarding intellectual property rights are met.  [Also relevant to aspect(s)/issue(s): <a href="#">3.1 Compliance.</a> ]



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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.4 Crop management and agrochemical use  <a href="#">Back to table of content</a>	5. Good Agricultural Practice	The <b>quality and supply of surface and ground water</b> is maintained or improved	See <a href="#">indicator 5.1.1</a> on good agricultural practices to minimize effects of chemical residues or fertilizers at aspect/issue 1.5 Water availability and quality.
		5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation of <b>systematic, recognized Integrated Crop Management (ICM) techniques</b> .  <i>Note: See Annex 5 for further information on ICM.</i>	5.4.1 A plan for ICM is documented and implemented which addresses the use of prevention, and biological and other non-chemical or selective chemical controls.  <i>Note: For group certification of small farms - (particularly those who are not literate) the development and documentation of the ICM plan should be undertaken by the group manager, together with support for implementation.</i>
		<u>Guidance:</u> Surface and ground water includes lakes, rivers, lagoons, marshes, swamps, ground water sources, aquifers/water tables. Take into account scale and context especially for small farms – this relates to both the level of ICM expected and the records maintained.  [Also relevant to aspect(s)/issue(s): <a href="#">1.5</a> Water availability and quality.]	5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.  <u>Guidance:</u> <ul style="list-style-type: none"> <li>• The parameters that are monitored include the number of applications of phytosanitary products per crop cycle, volume of phytosanitary product used per hectare and toxicological class of product.</li> <li>• The level of potential harmfulness of a phytosanitary product can be determined from its toxicological class for the purposes of this criterion.</li> <li>• Where targets are not met, documented evidence is presented to justify this.</li> </ul> 5.4.3 Use of phytosanitary products follows professional recommendations (or, if professional recommendations are not available, manufacturer’s recommendations) and includes rotation of active ingredients to prevent resistance.

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.4 Crop management and agrochemical use (continued)  <a href="#">Back to table of content</a>	5. Good Agricultural Practice (continued)	5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation of <b>systematic, recognized Integrated Crop Management (ICM) techniques.</b> (continued)	5.4.4 Records of monitoring of pests, diseases, weeds and natural predators are maintained.  <u>Guidance:</u> Both local and national legislation should be taken into account.  [Also relevant to aspect(s)/issue(s): <a href="#">1.2 Biodiversity and ecosystem services.</a> ]
		5.5 All <b>application of agrochemicals</b> is documented and all handling, storage, collection and disposal of chemical waste and empty containers, is monitored to ensure compliance with good practice.	5.5.1 There are records of the use of agrochemicals, including: a) products purchased and applied, quantity and dates; b) identification of the area where the application was made; c) names of the persons that carried out the preparation of the products and field application; d) identification of application equipment used; e) weather conditions during application.  <u>Guidance:</u> <ul style="list-style-type: none"> <li>Records are maintained for at least 5 years. This does not apply to records from years prior to certification.</li> <li>Scale and context, especially for small farms, should be taken into account. Exceptions (e.g. for maintaining invoices) may be allowed for small farms in a group, provided that the group has a mechanism for assuring compliance with the criterion.</li> </ul>
			5.5.2 Containers are properly stored, washed and disposed of; waste and residual agrochemicals are disposed in an environmentally appropriate way.  <u>Guidance:</u> Washing of containers should be carried out using triple rinsing principles (including re-use of the rinse water in the tank mix) or using highpressure techniques associated with mechanical

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
<p>1.4 Crop management and agrochemical use (continued)</p> <p><a href="#">Back to table of content</a></p>	<p>5. Good Agricultural Practice (continued)</p>	<p>5.5 All <b>application of agrochemicals</b> is documented and all handling, storage, collection and disposal of chemical waste and empty containers, is monitored to ensure compliance with good practice. (continued)</p>	<p>application.</p> <p>5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.</p> <p><u>Guidance:</u> Areas used for the storage and distribution of agrochemicals, flammable and toxic substances are designed, constructed and equipped to reduce the risks of accidents and negative impacts on human health and the environment.</p> <p>[Also relevant to aspect(s)/issue(s): <a href="#">2.5 Human health and safety.</a>]</p> <p>5.5.4 The necessary precautions are taken to avoid people entering into recently sprayed areas.</p> <p>5.5.5 Fertilizers are used in accordance with professional recommendations (provided by manufacturers where other professional recommendations are not available).</p>
		<p>5.6 <b>Agrochemicals listed in the Stockholm and Rotterdam Conventions are not used.</b></p> <p><i>Note: During the next 3 years, the RTRS will review the use of other chemicals, particularly the following 3 chemicals: Endosulfan (WHO Class II), Paraquat (Class II), Carbofuran (Class Ib)</i></p>	<p>5.6.1 There is no use of agrochemicals listed in the Stockholm and Rotterdam Conventions.</p>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.4 Crop management and agrochemical use (continued)  <a href="#">Back to table of content</a>	5. Good Agricultural Practice (continued)	5.7 The <b>use of biological control agents</b> is documented, monitored and controlled in accordance with national laws and internationally accepted scientific protocols.  <u>Guidance:</u> Records of use of biological control agents should be used as evidence of compliance with this criterion.  [Also relevant at aspect(s)/issue(s): <a href="#">3.1</a> Compliance; <a href="#">1.2</a> Biodiversity and ecosystem services.]	5.7.1 There is information about requirements for use of biological control agents.  5.7.2 Records are kept of all use of biological control agents that demonstrate compliance with national laws.  <u>Guidance:</u> Scale and context, especially for small farms, should be taken into account.
		5.9 Appropriate measures are implemented to <b>prevent the drift of agrochemicals to neighbouring areas.</b>  [Also relevant at aspect(s)/issue(s): <a href="#">1.2</a> Biodiversity and ecosystem services; <a href="#">2.5</a> Human health and safety.]	5.9.1 There are documented procedures in place that specify good agricultural practices, including minimization of drift, in applying agrochemicals and these procedures are being implemented.  <u>Guidance:</u> <ul style="list-style-type: none"> <li>• Factors that influence drift include among others wind speed and direction, temperature, equipment utilized and topography,</li> <li>• Requirements for small farms should be appropriate to scale and context.</li> <li>• For group certification of small farms - group managers may provide documented procedures and maintain records of weather conditions.</li> </ul>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
<p>1.4 Crop management and agrochemical use (continued)</p> <p><a href="#">Back to table of content</a></p>	<p>5. Good Agricultural Practice (continued)</p>	<p>5.9 Appropriate measures are implemented to <b>prevent the drift of agrochemicals to neighbouring areas.</b> (continued)</p>	<p>5.9.2 Records of weather conditions (wind speed and direction, temperature and relative humidity) during spraying operations are maintained.</p> <p><u>Guidance</u></p> <ul style="list-style-type: none"> <li>• Requirements for small farms should be appropriate to scale and context.</li> <li>• For group certification of small farms - group managers may provide documented procedures and maintain records of weather conditions.</li> </ul>
			<p>5.9.3 Aerial application of pesticides is carried out in such a way that it does not have an impact on populated areas. All aerial application is preceded by advance notification to residents within 500m of the planned application.</p> <p><i>Note: 'Populated areas' means any occupied house, office or other building.</i></p>
			<p>5.9.4 There is no aerial application of agrochemicals in WHO Class IA, IB and II within 500m of populated areas or water bodies.</p>
			<p>5.9.5 There is no application of agrochemicals within 30m of any populated areas or water bodies.</p> <p><i>Note: 'Water bodies' includes, but is not limited to, water courses, rivers, streams, lagoons, springs, lakes, reservoirs and ditches.</i></p> <p><u>Guidance:</u></p> <p>There may be an exception for manual application of chemicals not classified as WHO Ia, Ib, or II, if adequate measures are taken to prevent drift (e.g. use of backpack applicators with shields) and it is permitted by the law and manufacturer's</p>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.5 Water availability and quality  <a href="#">Back to table of content</a>	5. Good Agricultural Practice	5.1 The <b>quality and supply of surface and ground water</b> is maintained or improved.	recommendations.
			5.1.1 Good agricultural practices are implemented to minimize diffuse and localized impacts on surface water quality from chemical residues, fertilizers, erosion or other sources and to promote aquifer recharge.  [Also relevant to aspect(s)/issue(s): <a href="#">1.4. Crop management and agrochemical use.</a> ]
			5.1.2 There is monitoring, appropriate to scale, to demonstrate that the practices are effective.  <u>Guidance:</u> <ul style="list-style-type: none"> <li>• Where appropriate there should be monitoring of parameters such as pH, temperature, dissolved oxygen, turbidity and electrical conductivity. Monitoring should be considered at watershed level.</li> <li>• Where there are wells these should be used to monitor ground water.</li> </ul>
			5.1.3 Any direct evidence of localized contamination of ground or surface water is reported to, and monitored in collaboration with, local authorities
			5.1.4 Where irrigation is used, there is a documented procedure in place for applying best practices and acting according to official guidance (where this exists), and for measurement of water utilization.  <i>Note: For group certification of small farms - Where irrigation is used for crops other than soy but is not done according to best practice, a plan is in place and is being implemented to improve practices. The group manager is responsible for documentation.</i>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.5 Water availability and quality (continued)	5. Good Agricultural Practice (continued)	5.1 The <b>quality and supply of surface and ground water</b> is maintained or improved. (continued)	<p><u>Guidance:</u> When using irrigation attention should be paid to other potential uses such as household use or use by other food crops and if there is a lack of water priority should be given to human consumption.</p> <p>[Also relevant to aspect(s)/issue(s): <a href="#">4.3</a> Food utilization.]</p>
		5.2 <b>Natural vegetation areas around springs and along natural watercourses</b> are maintained or re-established.	<p>5.2.1 The location of all watercourses has been identified and mapped, including the status of the riparian vegetation.</p> <p>5.2.2 Where natural vegetation in riparian areas has been removed there is a plan with a timetable for restoration which is being implemented.</p> <p>5.2.3 Natural wetlands are not drained and native vegetation is maintained.</p>
		[Also relevant to aspect(s)/issue(s): <a href="#">1.2</a> Biodiversity and agrochemical use.]	
		See <a href="#">criterion 5.4</a> on the negative environmental and health impacts of phytosanitary products on surface and ground water.	
1.6 GHG emissions  <a href="#">Back to table of content</a>	4. Environmental Responsibility	<p>4.3 Efforts are made to reduce emissions and increase sequestration of <b>Greenhouse Gases (GHGs)</b> on the farm.</p> <p><i>Note: Other issues which are relevant to GHG emissions are covered in other principles including: Use of fertilizers (<a href="#">Criterion 5.5</a>),</i></p>	<p>4.3.1 Total direct fossil fuel use over time is recorded, and its volume per hectare and per unit of product for all activities related to soy production is monitored.</p> <p>4.3.2 If there is an increase in the intensity of fossil fuel used, there is a justification for this. If no justification is available there is an action plan to reduce use.</p> <p><u>Guidance:</u> There may be annual fluctuations in the intensity of fossil fuel use, due to natural yield variations. The trend should be</p>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.6 GHG emissions (continued)  <a href="#">Back to table of content</a>	4. Environmental Responsibility (continued)	<i>Land-use change</i> ( <a href="#">Criterion 4.4</a> ).	monitored over a period of several years.
		<p><u>Guidance:</u> On farms which produce multiple crops an estimate of the use of fossil fuel for soy production should be calculated. 'Activities related to soy production' include: field operations and on-farm transport, whether this is done by the producer or by third parties. An example of a justification for an increase in the intensity of fossil fuel use may be if a planting was lost due to drought and had to be replanted. The use of renewable energy (biofuels, biogas, solar and wind energy etc) on the farm is encouraged. In the case of renewable energy replacing electricity, quantify the equivalent fossil fuel saving.</p> <p>[Also relevant to aspect(s)/issue(s): <a href="#">2.6</a> Energy security and access.]</p>	<p>4.3.3 Soil organic matter is monitored to quantify change in soil carbon and steps are taken to mitigate negative trends.</p> <p><i>Note: For group certification of small farms - the monitoring of soil carbon can be done using samples.</i></p> <p>4.3.4 Opportunities for increasing carbon sequestration through restoration of native vegetation, forest plantations and other means are identified.</p>



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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.7 Air quality	4. Environmental Responsibility	4.2 Pollution is minimized and production waste is managed responsibly.  <i>Note: Chemical use and disposal is dealt with under Principle 5.</i> 4.2 Pollution is minimized and production waste is managed responsibly. (continued)	4.2.1 There is <b>no burning of crop residues or waste</b> , except under one of the following conditions: <ul style="list-style-type: none"> <li>• where there is a legal obligation to burn as a sanitary measure;</li> <li>• Where it is used for generation of energy including charcoal production and for drying crops;</li> <li>• Where only small-caliber residual vegetation from land clearing remains after all useable material has been removed for other uses.</li> </ul> <p>[Also relevant to aspect(s)/issue(s): <a href="#">1.8</a> Waste management; and <a href="#">2.6</a> Energy security and access.]</p>
1.8 Waste management	4. Environmental Responsibility	4.2 Pollution is minimized and <b>production waste is managed responsibly.</b>  See <a href="#">note on criterion 4.2.</a>	See <a href="#">indicator 4.2.1</a> on burning of crop residue or waste at aspect/issue 1.7 Air quality.
			4.2.2 There is adequate storage and disposal of fuel, batteries, tires, oil and lubricants, sewage and other waste.
			4.2.4 Re-use and recycling is utilized wherever possible
			4.2.5 There is a residue management plan including all areas of the property.  <u>Guidance:</u> For large and medium producers this should be documented. For small farms it is sufficient that the producer knows what residues are produced and what will be done with each one.
1.9 Environmental sustainability (cross-cutting)  <a href="#">Back to table of content</a>	4. Environmental Responsibility	4.1 On and off site social and environmental impacts of large or high risk new infrastructure have been assessed and appropriate measures taken to minimize and	4.1.1 A <b>social and environmental assessment</b> is carried out prior to the establishment of large or high risk new infrastructure. 4.1.2 The assessment is carried out by someone who is adequately trained and experienced for this task.

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.9 Environmental sustainability (cross-cutting) (continued)  <a href="#">Back to table of content</a>	4. Environmental Responsibility	mitigate any negative impacts.	4.1.3 The assessment is carried out in a comprehensive and transparent manner.
	(continued)	<p><i>Note: For group certification – this also applies to large new infrastructure projects developed by the entity holding the group certificate, where the infrastructure is used by certified group members or the certified soy they produce.</i></p> <p><u>Guidance:</u>            The assessment should be appropriate to the scale of the operation and the new infrastructure. Where there are existing national requirements for impact assessments which are adequate to meet this criterion (identified by the NTG) these are followed. Where not, the auditors must verify that an adequate process has been followed. 13 RTRS Standard for Responsible Soy Production Version 1.0 Criterion Guidance Where no adequate legislation exists and national interpretation is not available, the Equator Principles' Social and Environmental assessment procedure should be</p>	4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are documented and are being implemented.

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
1.9 Environmental sustainability (cross-cutting) (continued)	4. Environmental Responsibility (continued)	followed.  [Also relevant to aspect(s)/issue(s): <a href="#">2.8</a> Social sustainability (cross-cutting)]	
		4.2 <b>Pollution is minimized</b> and production waste is managed responsibly.  See <a href="#">note of criterion 4.2</a> .	4.2.3 There are facilities to prevent spills of oil and other pollutants.*  *Oil refers to motor oil.
<b>2. SOCIO-ECONOMIC</b>			
2.1 Land tenure/access and displacement  <a href="#">Back to table of content</a>	1. Legal Compliance and Good Business Practice	1.2 <b>Legal use rights to the land</b> are clearly defined and demonstrable.	1.2.1 There is documented evidence of rights to use the land (e.g. ownership document, rental agreement, court order etc).
	3. Responsible Community Relations	3.2 In areas with <b>traditional land users</b> , conflicting land uses are avoided or resolved.  <u>Guidance:</u> When applying for certification the producer will identify traditional land users. Traditional land users will provide reasonable proof that they have been exercising use or access rights on the area of the property over the 10 years prior to May 2009 (the 'cut-off date') . In the case of traditional indigenous communities, articles 14-18 of	3.2.1 In the case of disputed use rights, a comprehensive, participatory and documented community rights assessment is carried out.  <u>Guidance:</u> The community rights assessment should aim to: a) identify the individual and collective uses and rights of traditional land users; and b) identify the places and landscape conditions needed to satisfy these rights. c) identify the places/issues where there is conflict between the property rights and the traditional land use rights d) reach a solution to resolve possible conflicting land uses and/or agree proposals for compensation. Where a legal judgment has been reached the terms of this judgment will be respected. If there is litigation in process, while

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	3. Responsible Community Relations (continued)	ILO convention 169 also apply. Traditional land users may be represented by legitimate representatives in communication, negotiation or audit situations. Where this is the case, this does not exempt the producer or the auditor from the responsibility of communicating with other members of the community.	this is sub judice (under litigation; decision pending) this will not prejudice access to certification provided that guidance provided by the judge is followed. In the absence of such guidance, the traditional land user can continue to exercise the claimed rights until the case is resolved.  [Also relevant to aspect(s)/issue(s): <a href="#">3.1 Compliance.</a> ]
2.1 Land tenure/access and displacement (continued)  <a href="#">Back to table of content</a>		[Also relevant to aspect/issue: <a href="#">3.2 Participation and transparency.</a> ]  3.3 A <b>mechanism for resolving complaints and grievances</b> is implemented and available to local communities and traditional land users.  <i>Note: For group certification - the complaints and grievances mechanism can be managed by the group manager and records</i>	3.2.2 Where rights have been relinquished by traditional land users there is documented evidence that the affected communities are compensated subject to their free, prior, informed and documented consent.  3.3.1 The complaints and grievances mechanism has been made known and is accessible to the communities. 3.3.2 Documented evidence of complaints and grievances received is maintained. 3.3.3 Any complaints and grievances received are dealt with in a timely manner.

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
2.1 Land tenure/access and displacement (continued)	3. Responsible Community Relations (continued)	<p><i>of complaints and grievances can be maintained at the group level.</i></p> <p><u>Guidance:</u> Interviews with members of local communities and their representatives are important in verifying compliance with this criterion.</p> <p>[Also relevant to aspect(s)/issue(s): <a href="#">3.2</a> Participation and transparency.]</p>	
	4. Environmental Responsibility	<p>4.4 Expansion of soy cultivation is responsible.</p> <p>See <a href="#">note on criterion 4.4.</a></p>	4.4.2 There is no conversion of land where there is an unresolved land use claim by traditional land users under litigation, without the agreement of both parties.
2.2 Rural and social development  <a href="#">Back to table of content</a>	3. Responsible Community Relations	3.4 <b>Fair opportunities for employment and provision of goods and services</b> are given to the local population.	3.4.1 Employment opportunities are made known locally.  <i>Note: Not applicable for small farms.</i>
			<p><u>Guidance:</u> Evidence may include records kept of the proportion of local employees.</p> <p>3.4.3 Opportunities for supply of goods and services are offered to the local population.</p> <p><i>Note: Not applicable for small farms.</i></p> <p><u>Guidance:</u></p>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
2.2 Rural and social development (continued)	3. Responsible Community Relations (continued)		<ul style="list-style-type: none"> <li>• This refers to goods and services which are central to the production activities.</li> <li>• Evidence includes quotations for services from local suppliers.</li> </ul>
2.4 Employment, wages and labor conditions (continued)  <a href="#">Back to table of content</a>	2. Responsible Labor Conditions  <u>General guidance:</u> <i>In relation to compliance of these requirements by third parties (Note 1): Operations are expected to have a mechanism in place which enables them to adequately verify the compliance of their service providers. Auditors should evaluate the verification mechanism of the operations, to determine whether a sample of service providers should also be assessed by the auditors.</i>	2.1 Child labor, forced labor, discrimination and harassment are not engaged in or supported.  <i>Note 1: The requirements of Principle 2 apply to both direct employees and to workers supplied by third parties.</i>  <i>Note 2: The principle applies also to migrant, seasonal and other contract labor.</i>  <u>Guidance:</u> Documented evidence of relevant personal data of workers should be verified (e.g. sex and date of birth). The data collected should be locally appropriate and legal (eg. it may not be appropriate or legal to ask for the religion of employees in some countries).	2.1.1 No forced, compulsory, bonded, trafficked or otherwise involuntary labor is used at any stage of production.  <u>Guidance:</u> <ul style="list-style-type: none"> <li>• Personnel should be free to leave their work place after their hours of work have been completed, and be free to terminate their employment provided that they give reasonable notice.</li> <li>• Reference: ILO Convention 29 on Forced Labor and 105 on Abolition of Forced Labor.</li> </ul> 2.1.2 No workers of any type are required to lodge their identity papers with anyone and no part of their salary, benefits or property is retained, by the owner or any 3rd party, unless permitted by law.  See <b>guidance for indicator 2.1.2</b> above at indicator 2.1.1 2.1.3 Spouses and children of contracted workers are not obliged to work on the farm.  See <b>guidance on indicator 2.1.3</b> above at indicator 2.1.1 2.1.4 Children and minors (below 18) do not conduct hazardous work or any work that jeopardizes their physical, mental or moral well being.  <u>Guidance:</u> Children and minors (below 18) do not work in dangerous locations, in unhealthy situations, at night, or with dangerous substances or equipment, nor do they carry heavy loads. They are not exposed to any form of abuse and there is no evidence of

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
<p>2.4 Employment, wages and labor conditions (continued)</p> <p><a href="#">Back to table of content</a></p>	<p>2. Responsible Labor Conditions (continued)</p>	<p>2.1 Child labor, forced labor, discrimination and harassment are not engaged in or supported. (continued)</p>	<p>trafficked, bonded or forced labor.</p> <ul style="list-style-type: none"> <li>Reference: ILO Convention 138 on Minimum Age and 182 on Worst Forms of Child Labor.</li> </ul>
			<p>2.1.5 Children under 15 (or higher age as established in national law) do not carry out productive work. They may accompany their family to the field as long as they are not exposed to hazardous, unsafe or unhealthy situations and it does not interfere with their schooling.</p> <p>See <a href="#">guidance on indicator 2.1.5</a> at indicator 2.1.4..</p>
			<p>2.1.6 There is no engagement in, support for or tolerance of any form of discrimination.</p> <p><u>Guidance:</u></p> <ul style="list-style-type: none"> <li>Discrimination includes, but is not limited to: any distinction, exclusion, restriction or preference based on race, color, social class, nationality, religion, disability, sex, sexual orientation, pregnancy, HIV status, union membership or political association, with the purpose or effect of annulling, affecting or prejudicing the recognition, fruition or equal exercise of rights or liberties at work, be it in the process of contracting, remuneration, access to training, promotion, lay-offs or retirement.</li> </ul> <p>Divergence in salary is not considered discriminatory when the company has a policy, which is fully known to the employees, which specifies different pay scales for different levels of qualifications, length of experience etc.</p> <ul style="list-style-type: none"> <li>Reference: ILO convention 100 on Equal Remuneration, and ILO Convention 111 on Discrimination.</li> </ul>
			<p>2.1.7 All workers receive equal remuneration for work of equal value, equal access to training and benefits and equal</p>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
2.4 Employment, wages and labor conditions (continued)  <a href="#">Back to table of content</a>	2. Responsible Labor Conditions (continued)	2.1 Child labor, forced labor, discrimination and harassment are not engaged in or supported. (continued)	opportunities for promotion and to fill all positions.  See <b>guidance on indicator 2.1.7</b> above at indicator 2.1.6..
		2.2 Workers, directly and indirectly employed on the farm, and sharecroppers, are adequately informed and trained for their tasks and are aware of their rights and duties.  <u>Guidance:</u> 'Workers indirectly employed on the farm' refers here to employees of service providers who carry out services directly related to the production process. The scope of 'services directly related to the production process' will be defined by national interpretations. In those countries where there are no requirements for formal labor agreements between worker and employer, alternative documented evidence of a labor relationship must be provided (eg. Registration of employees with social security/employment agency).	2.1.8 Workers are not subject to corporal punishment, mental or physical oppression or coercion, verbal or physical abuse, sexual harassment or any other kind of intimidation  2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written contract, in a language that they can understand.  <i>Note: The requirements of indicator 2.2.1 are recommended in all cases. However, for small farms where there are high illiteracy rates group managers may implement alternative mechanisms to make collectively known and verify valid working relationships.</i>  2.2.2 Labor laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g., working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc) are available in the languages understood by the workers or explained carefully to them by a manager or supervisor.  2.2.3 Adequate and appropriate training and comprehensible instructions on fundamental rights at work, health and safety and any necessary guidance or supervision are provided to all workers.



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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
<p>2.4 Employment, wages and labor conditions (continued)</p> <p><a href="#">Back to table of content</a></p>	<p>2. Responsible Labor Conditions (continued)</p>	<p>2.4 There is freedom of association and the right to collective bargaining for all workers.</p>	<p>2.4.1 There is the right for all workers and sharecroppers to establish and/or join an organization of their choice.</p> <p><u>Guidance:</u> Referenc: ILO Convention 87 on Freedom of Association and Protection of the Right to Organize.</p>
		<p>2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed on the farm.</p>	<p>2.4.2 The effective functioning of such organizations is not impeded. Representatives are not subject to discrimination and have access to their members in the workplace.</p>
		<p><u>Guidance:</u> 'Workers indirectly employed on the farm' refers here to employees of service providers who carry out services directly related to the production process. The scope of 'services directly related to the production process' will be defined by national interpretations.</p>	<p>2.4.4 Workers are not hindered from interacting with external parties outside working hours (e.g. NGOs, trade unions, labor inspectors, agricultural extension workers, certification bodies).</p>
			<p>2.5.1 Gross wages that comply with national legislation and sector agreements are paid at least monthly to workers.</p>
			<p>2.5.2 Deductions from wages for disciplinary purposes are not made, unless legally permitted. Wages and benefits are detailed and clear to workers and workers are paid in a manner convenient to them. Wages paid are recorded by the employer.</p>
			<p>2.5.3 Normal weekly working hours do not exceed 48 hours. Weekly overtime hours do not exceed 12 hours.</p>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
<p>2.4 Employment, wages and labor conditions (continued)</p> <p><a href="#">Back to table of content</a></p>	<p>2. Responsible Labor Conditions (continued)</p>	<p>2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed on the farm. (continued)</p>	<p>2.5.4 If additional overtime hours are necessary the following conditions are met:</p> <ul style="list-style-type: none"> <li>a) It only occurs for limited periods of time (e.g. peak harvest, planting).</li> <li>b) Where there is a trade union or representative organization the overtime conditions are negotiated and agreed with that organization.</li> </ul> <p>Where there is no trade union or representative organization agreement the average working hours in the two-month period after the start of the exceptional period still do not exceed 60 hours per week.</p> <p>2.5.5 Working hours per worker are recorded by the employer.</p> <p><u>Guidance:</u> Reference: ILO Convention 1 on Hours of Work.</p> <p>2.5.6 Overtime work at all times is voluntary and paid according to legal or sector standards. In case overtime work is needed, workers receive timely notification. Workers are entitled to at least one day off following every six consecutive days of work.</p> <p>See guidance for indicator 2.5.6 under indicator 2.5.5.</p> <p>2.5.7 Salaried workers have all entitlements and protection in national law and practice with respect to maternity. Workers taking maternity leave are entitled to return to their employment on the same terms and conditions that applied to them prior to taking leave and they are not subject to any discrimination, loss of seniority or deductions of wages.</p> <p>2.5.8 If workers are paid per result, a normal 8 hour working day allows workers, (men and women), to earn at least the national or sector established minimum wage.</p>

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ASPECTS/ISSUES	PRINCIPLES	CRITERIA	INDICATORS
2.4 Employment, wages and labor conditions (continued)	2. Responsible Labor Conditions (continued)		2.5.1 Gross wages that comply with national legislation and sector agreements are paid at least monthly to workers.  2.5.9 If employees live on the farm, they have access to affordable and adequate housing, food and potable water. If charges are made for these, such charges are in accordance with market conditions. The living quarters are safe and have at least basic sanitation.  [Also relevant to aspect(s)/issue(s): <a href="#">2.5</a> Human health and safety; <a href="#">4.2</a> Food access; and <a href="#">4.3</a> Food utilisation.]
	3. Responsible Community Relations	3.4 <b>Fair opportunities for employment</b> and provision of goods and services are given to the local population.	3.4.2 There is collaboration with training programs for the local population.  <i>Note: Small farms may participate in training programs where they exist. For groups the collaboration with training programs may occur at the group level.</i>
2.5 Human health and safety  <a href="#">Back to table of content</a>	2. Responsible Labor Conditions	2.3 A <b>safe and healthy workplace</b> is provided for all workers.	2.3.1 Producers and their employees demonstrate an awareness and understanding of health and safety matters.
	See <a href="#">general guidance on principle 2</a> .	<u>Guidance:</u> References: ILO convention 155 on Occupational Safety and Health; ILO Convention 184 on Safety and Health in Agriculture; ILO Recommendation 192 on Safety and Health in Agriculture.	2.3.2 Relevant health and safety risks are identified, procedures are developed to address these risks by employers, and these are monitored.
			2.3.3 Potentially hazardous tasks are only carried out by capable and competent people who do not face specific health risks.
			2.3.4 Adequate and appropriate protective equipment and clothing is provided and used in all potentially hazardous operations such as pesticide handling and application and mechanized or manual operations.

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2.5 Human health and safety (continued)  <a href="#">Back to table of content</a>	2. Responsible Labor Conditions (continued)	The means of verification used should be appropriate to the size and scale of the operation. E.g. (2.3.1) For operations with permanent employees there should be a documented health and safety policy. For small farms this can be demonstrated through verbal explanations.	2.3.5 There is a system of warnings followed by legally-permitted sanctions for workers that do not apply safety requirements. 2.3.6 Accident and emergency procedures exist and instructions are clearly understood by all workers.  <u>Guidance:</u> Accident and emergency procedures should include taking immediate steps to stop any operation where there is an imminent and serious danger to safety and health, and to evacuate as appropriate. 2.3.7 In case of accidents or illness, access to first aid and medical assistance is provided without delay.
		2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed on the farm.	See <a href="#">indicator 2.5.9</a> on <b>adequate safe housing with basic sanitation, food and potable water</b> for employees living on the farm at aspect/issue 2.4 Employment, wages and labor conditions.
	5. Good Agricultural Practice	5.5 All <b>application of agrochemicals</b> is documented and all handling, storage, collection and disposal of chemical waste and empty containers, is monitored to ensure compliance with good practice.	See <a href="#">indicator 5.5.3</a> on safety considerations during transportation and storage of agrochemicals at aspect/issue 1.4 Crop management and agrochemical use.
		See <a href="#">criterion 5.9</a> on appropriate measures to <b>prevent the drift of agrochemicals to populated areas</b> at aspect(s)/issue(s) 1.4 Crop management and agrochemical use.	

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2.6 Energy security and access	4. Environmental Responsibility	4.2 Pollution is minimized and production waste is managed responsibly.	See <a href="#">indicator 4.2.1</a> on <b>burning of crop residues or waste for generation of energy</b> at aspect(s)/issue(s) 1.7 Air quality.
		See <a href="#">criterion 4.3</a> on efforts being made to reduce emissions on the farm, specifically regarding the encouragement to use renewable energies at aspect(s)/issue(s) 1.6. GHG emissions.	
2.7 Good management practices and continuous improvement  <a href="#">Back to table of content</a>	1. Legal Compliance and Good Business Practice	1.3 There is continual improvement with respect to the requirements of this standard.  <i>Note: For group certification - continual improvement should be recorded and monitored at the group level.</i>	1.3.1 A review process is carried out which identifies those social, environmental and agricultural aspects of the operation (on and off farm) where improvement is desirable.  <i>Note: The producer is expected to be aware of the social and environmental context in which he/she is operating and the existing and possible future impacts of the operation.</i>
		<u>Guidance:</u> It is recognized that sometimes there may not be improvement for specific continual improvement indicators due to circumstances beyond the control of the certificate holder.	1.3.2 A number of indicators are selected and a baseline is established to be able to monitor continual improvement on those aspects where desired improvements have been identified.  <i>Note: Producers are free to choose the continual improvement indicators that are relevant to them to demonstrate continual improvement with respect to the requirements of this standard; e.g. Soil carbon content, use of agrochemicals, state of riparian vegetation etc. The baseline year is the year of first certification assessment.</i>
			1.3.3 The results of monitoring are reviewed and appropriate action is planned and taken when necessary to ensure continual improvement.
2.8 Social sustainability (cross-cutting)	4. Environmental Responsibility	4.1 On and off site <b>social and environmental impacts</b> of large	See <a href="#">indicator 4.1.1-4.1.4</a> on social and environmental assessment at aspect/issue 1.9 Environmental sustainability (cross-cutting).

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2.8 Social sustainability (cross-cutting) (continued)		<p>or high risk new infrastructure have been assessed and appropriate measures taken to minimize and mitigate any negative impacts.</p> <p>See <a href="#">note and guidance on criterion 4.1</a>.</p>	
<b>3. GOVERNANCE</b>			
3.1 Compliance <a href="#">Back to table of content</a>	1. Legal Compliance and Good Business Practice	<p>1.1 There is awareness of, and compliance with, all applicable local and national legislation.</p> <p><i>Note: For group certification of small farms - group managers should provide training for group members on applicable laws and legal compliance.</i></p> <p><u>General Guidance:</u> Producers need to have access to information which enables them to know what the law requires</p>	1.1.1 Awareness of responsibilities, according to applicable laws can be demonstrated.
			1.1.2 Applicable laws are being complied with.

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3.1 Compliance (continued)		<p>them to do. Examples include having a register of laws, or access to relevant advice on legislation. Legal compliance should be verified through:</p> <ul style="list-style-type: none"> <li>• checking publicly available data on compliance where available;</li> <li>• interviews with staff and stakeholders; and</li> <li>• field observations</li> </ul>	
	3. Responsible Community Relation	3.2 In areas with <b>traditional land users</b> , conflicting land uses are avoided or resolved.	See <a href="#">indicator 3.2.1</a> on community rights assessments taking into account <b>property rights</b> at aspect/issue 2.1 Land tenure/access and displacement.
	5. Good Agricultural Practice	<p>See <a href="#">criterion 5.7</a> on national laws for use of <b>biological control agents</b> at aspect(s)/issue(s)</p> <p>1.4 Crop management and agrochemical use.</p> <p>5.11 <b>Origin of seeds is controlled</b> to improve production and prevent introduction of new diseases.</p>	See <a href="#">indicator 5.11.2</a> on self-propagated seeds and <b>legal requirements of intellectual property rights</b> at aspect/issue 1.3 Productive capacity of land.
3.2 Participation and transparency  <a href="#">Back to table of content</a>	3. Responsible Community Relations	3.1 Channels are available for <b>communication and dialogue with the local community</b> on topics related to the activities of	<p>3.1.1 Documented evidence of communication channels and dialogue is available.</p> <p>3.1.2 The channels adequately enable communication between the producer and the community.</p>

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<p>3.2 Participation and transparency</p> <p><a href="#">Back to table of content</a></p>	<p>3. Responsible Community Relations (continued)</p>	<p>the soy farming operation and its impacts.</p> <p><u>Guidance:</u> Communication channels need to use local languages and appropriate mediums (eg. the internet is not an appropriate mechanism for communication with communities that have no access to internet). The communication requirements must be adequate to identify any disputes with traditional land users as referred to in Criterion 3.2.</p>	<p>3.1.3 The communication channels have been made known to the local communities.</p>
	<p>3. Responsible Community Relations (continued)</p>	<p>Where people on or adjacent to the property are demonstrated to be illegal (for example illegal squatters), producers should try to engage in communication but they are not obliged to maintain a dialogue. Local communities may be represented by democratically established representatives in communication or negotiation or in audit situations. Where this is</p>	



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3.2 Participation and transparency (continued)		<p>the case, this does not exempt the producer or the auditor from the responsibility of communicating with other members of the community, especially groups such as the poor, illiterate, youth, women or indigenous groups.</p> <p>In the case of small/family producers documented evidence is not required and is substituted by verbal evidence.</p> <p>It is important to include interviews with the community to evaluate the existence of the communication channels and their appropriateness.</p>	
	3. Responsible Community Relation	See criterion <a href="#">3.2</a> on traditional land users concerning <b>legitimate representation</b> at aspect(s)/issue(s) 2.1 Land tenure/access and displacement.	
<b>4. FOOD SECURITY</b>			
4.2 Food access	2. Responsible Labor Conditions  See <a href="#">general guidance on principle 2</a> .	2.5 <b>Remuneration at least equal to national legislation and sector agreements</b> is received by all workers directly or indirectly employed on the farm	See <a href="#">indicator 2.5.9</a> on <b>food and potable water</b> for employees living on the farm at aspect/issue 2.4 Employment, wages and labor conditions.
4.3 Food utilization  <a href="#">Back to table of content</a>	2. Responsible Labor Conditions  See <a href="#">general guidance on</a>	2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly	See <a href="#">indicator 2.5.9</a> on <b>potable water</b> for employees living on the farm, as well as safe adequate <b>housing with at least basic sanitation</b> at aspect/issue 2.4 Employment, wages and labor conditions.

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4.3 Food utilization  <a href="#">Back to table of content</a>	<a href="#">principle 2.</a>	employed on the farm.  <b>5.1 The quality and supply of surface and ground water is maintained or improved.</b>	See <a href="#">indicator 5.1.4</a> on the use of irrigation that gives priority to water use for human consumption such as for household and food crops at aspect(s)/issue(s) 1.5 Water availability and quality.