



# RTRS Standard for Responsible Soy Production Version 3.1

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The RTRS official languages are English, Spanish and Portuguese, however, in case of inconsistency between different versions of the same document, please refer to the English version as the official one.

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# Preamble

**Development of this Document:** The Roundtable on Responsible Soy Standard for Responsible Soy Production (RTRS Standard) is the result of a multi-stakeholder development process, which involved representatives from the three RTRS membership constituencies, and included several public consultation periods.

A two year multi-stakeholder process led to the publication of the RTRS Principles and Criteria for Responsible Soy Production: Field Testing Version, in May 2009. This version was used by National Technical Groups (NTG) in five countries to initiate national interpretation processes, and by producers and auditors for field trials carried out in a variety of soy producing countries.

In March 2010, the RTRS convened an International Technical Group (ITG) to review the Field Trial principles and criteria and produce a set of auditable Principles and Criteria for use with a certification scheme. As a part of their work, the multi-stakeholder group reviewed and took into account changes proposed by NTGs, public consultation comments on draft National Interpretations, guidance from the RTRS Executive Board on the issue of land clearance, and feedback from field trials and diagnosis audits. This group, made up of representatives from the three RTRS member constituencies, concluded their work at a meeting in São Paulo, Brazil, 24-27 March, 2010.

In September 2013, the Pesticides Working Group reviewed Criterion 5.6 and introduced changes.

In July 2015, the RTRS convened a Review Technical Working Group (RTWG) to perform a full review of Version 2 of the Standard. This Working Group received more than 260 comments during three Public Consultation Periods. These comments were reviewed and analysed during three face to face meetings. The RTWG made up of representatives from the three RTRS constituencies, concluded its work at a meeting in Buenos Aires, Argentina, on February 29 and March 1, 2016.

**Review:** The standard will be reviewed not less than once every five years and not more than once every three years unless exceptions are identified or unless the RTRS Executive Board or General Assembly determines otherwise.

**National Interpretation:** Each soy-producing country is encouraged to make a national interpretation of the standard, which, once endorsed by the RTRS, shall become the basis for certification in that country. National interpretation processes are required to meet the RTRS requirements for national interpretation related to process and content. When considering how to interpret this standard for national use, the Guidance for National Interpretation (Annex 7) must be followed. Groups carrying out national interpretation may not create requirements, which are less stringent than the International RTRS Standard.

**Inclusive Business Models:** They are applied whenever possible, providing opportunities to stakeholders, strengthening social cohesion, economic prosperity and more sustainable business.

**Scope of Application:** This standard applies to all kinds of soybeans, including conventionally grown, organic, and genetically modified (GM). It has been designed to be used for all scales of soy production and all the countries where soy is produced.

**Unit of Certification:** The unit of certification shall be the farm on which soy is cultivated and shall be limited by the farm boundaries. This includes fields where soy is cultivated, but also any non-soy growing areas, non-cultivated areas, infrastructure and facilities and other areas that form part of the farm (see Accreditation and Certification Requirements V4.0 - A 1.2.1 or the latest available version of this document).

**Transparency:** This standard has been designed to be used within a voluntary certification system. All those seeking certification should do so with a commitment to transparency with respect to the requirements of this standard, including a spirit of constructive engagement with stakeholders and sharing of non-commercially sensitive information. A publicly-available summary of information about the performance of each certified organization with respect to each Criterion will be produced. This will not contain commercially-sensitive information.

**Monitoring:** Where indicators require monitoring to be undertaken, a baseline should be established at the time of certification (unless otherwise specified in the requirements) with monitoring and review of trends over time. Producers are expected to commit to a process of continuous improvement. For group certification, monitoring at the group level should be used where appropriate.

**Guidance:** The guidance contained in this document must be followed by all users of the standard, including:

- i) Auditors, evaluating compliance against the RTRS Standard for Responsible Soy Production.
- ii) Soy growers using the RTRS Standard for Responsible Soy Production to implement good practice, and achieve certification.
- iii) Group managers using the RTRS Standard for Responsible Soy Production to achieve certification of a group of soy growers.

## Principle 1

# Legal Compliance and Good Business Practices

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Guidance Principle 1	
<p>1.1 There is awareness of, and compliance with, all applicable local and national legislation.</p> <p>Note: For group certification of small farms group managers should provide training for group members on applicable laws and legal compliance.</p>	
<p>1.1.1 Awareness of responsibilities, according to applicable laws can be demonstrated.</p> <p>1.1.2 Applicable laws are being complied with.</p>	<p>Guidance 1.1.1 – 1.1.2</p> <p>Producers need to have access to information, which enables them to know what the law requires them to do. Examples include having a register of laws, or access to relevant advice on legislation.</p> <p>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;</li> <li>• field observations.</li> </ul>
<p>1.2 Legal use rights to the land are clearly defined and demonstrable.</p> <p>Note: Land use rights of traditional land users are considered in Criterion 3.2, which should be cross-referenced with this Criterion.</p>	
<p>1.2.1 There is documented evidence of rights to use the land (e.g. ownership document, rental agreement, court order, etc.).</p>	
<p>1.3 There is continual improvement with respect to the requirements of this standard.</p> <p>Note: For group certification continual improvement may be recorded and monitored at the group level.</p>	
<p>1.3.1 From the assessment required in 4.1.1,</p>	Guidance 1.3.1 – 1.3.2 –

<p>those social, environmental and agricultural aspects of the operation (on and off farm) where improvement is desirable are identified.</p> <p><b>Note:</b> 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.</p>	<p><b>1.3.3</b></p> <p>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.</p>
<p><b>1.3.2</b> From these aspects identified in 1.3.1, 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.</p> <p><b>Note:</b> Producers are free to choose the continual improvement indicators that are relevant to them in order to prove that there is 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.</p>	
<p><b>1.3.3</b> The results of monitoring are reviewed and appropriate action is planned and taken when necessary to ensure continual improvement.</p>	

## Principle 2 Responsible Labour Conditions

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## Guidance Principle 2

Note 1: The requirements of Principle 2 apply to both direct employees and to workers supplied by third parties. The scope of the certification is the farm and its limits; therefore if there are any outsourced workers from third parties, this needs to be checked, considering such limits and the outsourced third-party workers hired to work on the certified farm.

Note 2: The principle applies also to migrant, seasonal and other contract labour.

Guidance for Principle 2: 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.

	<b>Guidance 2.1</b>  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 (e.g. it may not be appropriate or legal to ask for the religion of employees in some countries).
2.1 Child labour, forced labour, discrimination and harassment are not engaged in or supported.	<b>Guidance 2.1.1</b>  Personnel should be free to leave their workplace after their hours of work have been completed, and be free to terminate their employment provided that they give reasonable notice.  Reference: ILO Convention 29 on Forced Labour and 105 on Abolition of Forced Labour.
2.1.1 No forced, compulsory, bonded, trafficked or otherwise involuntary labour is used at any stage of production.	
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.	
2.1.3 Spouses and children of contracted workers are not obliged to work on the farm.	<b>Guidance 2.1.3</b>  Personnel should be free to leave their workplace after their hours of work have been completed, and be free to terminate their employment provided that they give reasonable notice.  Reference: ILO Convention 29 on Forced Labour and 105 on Abolition of Forced Labour.
2.1.4 Children and minors (below 18) do not	<b>Guidance 2.1.4 - 2.1.5</b>

<p>conduct hazardous work or any work that jeopardizes their physical, mental or moral well-being.</p> <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>Note: for family farms, see Guidance.</p>	<p>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 trafficked, bonded or forced labour.</p> <p>Reference: ILO Convention 138 on Minimum Age and 182 on Worst Forms of Child Labour.</p> <p>When considered as legal and essential on family farms (see Glossary), children between 13 and 15 years old may carry out light productive activities during the peak season, providing this does not exceed 14 hours per week and does not interfere with their schooling. The number of hours in which these children may carry out light productive activities on family farms in summer shall be defined at National Interpretation level.</p> <p>2.1.5 Participation in some agricultural activities is not always considered as child labour. Age-appropriate tasks that are of lower risk and that do not interfere with children schooling and leisure time can be a normal part of growing up in a rural environment. Especially in the context of family farming, small-scale fisheries and livestock husbandry, some participation of children in non-hazardous activities can be positive as it contributes to inter-generational transfer of technical and social skills and children food security. Higher self-confidence, self-esteem and work skills are attributes often detected in young people engaged in some aspects of farm work. Therefore, it is important to distinguish between light duties, that do no harm children and child labour, which is work that interferes with compulsory schooling and damage health and personal development, based on hours and work conditions, age, activities and hazards involved.</p> <p>Source:  <a href="http://www.ilo.org/ipec/areas/Agriculture/lang-en/index.htm">http://www.ilo.org/ipec/areas/Agriculture/lang-en/index.htm</a></p>
<p>2.1.6 There is no engagement in, support for, or tolerance of any form of discrimination.</p>	<p>Guidance 2.1.6-2.1.7</p> <p>Discrimination includes, but is not limited to, any distinction, exclusion, restriction or preference based on race, colour, social class, nationality, religion, disability, sex, sexual</p>

<p>2.1.7 All workers receive equal remuneration for work of equal value, equal access to training and benefits and equal opportunities for promotion and for filling all available positions.</p>	<p>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.</p> <p>Divergence in salary is not considered discriminatory when the company has a policy that is fully known by employees, which specifies different pay scales for different levels of qualifications, length of experience, etc.</p> <p>Reference: ILO Convention 100 on Equal Remuneration, and ILO Convention 111 on Discrimination.</p>
<p>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.</p>	
<p>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.</p>	<p><b>Guidance 2.2</b></p> <p>'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>In those countries where there are no requirements for formal labour agreements between worker and employer, alternative documented evidence of a labour relationship must be provided (e.g. registration of employees with social security/employment agency).</p>
<p>2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written agreement, in a language that they can understand.</p> <p>Note: The requirements of indicator 2.2.1 are recommended in all cases. However, for small farms where there</p>	

<p>are high illiteracy rates, group managers may implement alternative mechanisms to make collectively known and verify valid working relationships.</p>	
<p>2.2.2 Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) are available in the languages understood by the workers or explained carefully to them by a manager or supervisor.</p>	
<p>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.</p> <p>Note for 2.2.3: In case of Group Certification of smallholders, periodical training sessions for workers may be organized by group managers at group level.</p>	<p><b>Guidance 2.2.3</b></p> <p>If there are no regulations regarding frequency of health and safety-related training sessions, health and safety training shall be carried out at least on a yearly basis.</p>
<p><b>2.3 A safe and healthy workplace is provided for all workers.</b></p>	<p><b>Guidance 2.3</b></p> <p>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.</p> <p>The means of verification used should be appropriate to the size and scale of the</p>

	operation. E.g. (2.3.1) For operations with permanent employees there should be a documented health and safety policy in place. For small farms, can be demonstrated through verbal explanations.
2.3.1 Producers and their employees demonstrate awareness and understanding of health and safety matters.	
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.	
2.3.5 There are mechanisms in place that make sure that workers follow the safety requirements.	
2.3.6 Accident and emergency procedures exist and instructions are clearly understood by all workers.	<p><b>Guidance 2.3.6</b></p> <p>Accident and emergency procedures should include taking immediate steps to stop any operation where there is imminent and serious danger to safety and health, and to evacuate as appropriate.</p>

2.3.7 In case of accidents or illness, access to first aid and medical assistance is provided without delay.	
2.4 There is freedom of association and the right to collective bargaining for all workers.	
2.4.1 There is the right for all workers and sharecroppers to establish and/or join an organization of their choice.	<p><b>Guidance 2.4.1</b></p> <p>Reference ILO Convention 87 on Freedom of Association and Protection of the Right to Organize.</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 on request.	
2.4.3 All workers have the right to perform collective bargaining.	<p><b>Guidance 2.4.3</b></p> <p>Reference ILO Convention 98 on Right to Organize and to Collective Bargaining.</p>
2.4.4 Workers are not hindered from interacting with external parties outside working hours (e.g. NGOs, trade unions, labour inspectors, agricultural extension workers, certification bodies).	
2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed	<p><b>Guidance 2.5</b></p> <p>'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>on the farm.</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>	
<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> <li>c) Where there is no trade union or representative organization agreement the</li> </ul>	

<p>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>Guidance 2.5.5-2.5.6 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>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>	

2.5.9 Potable water is supplied to all employees inside the farm. If employees live on the farm, they additionally have access to affordable and adequate housing and food. 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.

## Principle 3 Responsible Community Relations

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Guidance Principle 3	
<p><b>3.1</b> Channels are available for communication and dialogue with the local community on topics related to the activities of the soy farming operation and its impacts.</p>	<p><b>Guidance 3.1</b></p> <p>Communication channels need to use local languages and appropriate means (e.g. Internet is not an appropriate mechanism for communication with communities that have no access to it).</p> <p>Communication requirements must be adequate for identifying any disputes with traditional land users as referred to in Criterion 3.2</p> <p>Where people on or adjacent to the property are demonstrated to be illegal (e.g. squatters), producers should try to engage in communication, but they are not obliged to maintain a dialogue.</p> <p>Local communities may be represented by legitimate representatives in communication or negotiation or in 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, especially groups such as the poor, illiterate, youth, women or indigenous groups.</p> <p>It is important to include interviews with members of the community to evaluate the existence of the communication channels and their appropriateness.</p>
<p><b>3.1.1</b> Documented evidence of communication channels and dialogue is available.</p>	<p><b>Guidance 3.1.1</b></p> <p>In the case of small farms, documented evidence is not required and is replaced by verbal evidence.</p>
<p><b>3.1.2</b> The channels adequately enable communication between the producer and the community.</p>	

3.1.3 The communication channels have been made known to the local communities.	<p><b>Guidance 3.1.3</b></p> <p>Evidence of compliance of this indicator may be notifications submitted to neighbours and adjacent local communities. Examples of communication channels maybe (but are not limited to): informing third parties on data such as the farm contact person, phone number and/or email, etc.).</p>
3.2 In areas with traditional land users, conflicting land uses are avoided or resolved.	<p><b>Guidance 3.2</b></p> <p>When applying for certification producers will identify local communities and traditional land users. Traditional land users will provide reasonable proof that they have been exercising use or access rights on the property area or on ecosystem services derived from the area over the last ten years, prior to May 2009. In the case of traditional indigenous communities, Articles 14-18 of ILO Convention 169 also apply.</p> <p>Traditional land users may be represented by legitimate representatives in communication, negotiation or audit situations. Where this is the case, this does not exempt producers or auditors from the responsibility of communicating with other members of the community.</p>
3.2.1 In the case of disputed use rights; a comprehensive, participatory and documented community rights assessment is carried out.	<p><b>Guidance 3.2.1</b></p> <p>Community rights assessment should aim at:</p> <ul style="list-style-type: none"> <li>a) identifying the individual and collective uses and rights of local communities and traditional land users;</li> <li>b) identifying uses of water resources (if available);</li> </ul>

	<p>c) identifying the places and landscape conditions needed to meet these rights;</p> <p>d) identifying the places/issues where there is conflict between property rights and traditional land use rights and ecosystem services;</p> <p>e) finding a solution to resolve possible conflicting land uses and/or agree on proposals for compensation.</p> <p>Where a legal judgment has been reached, the terms of this judgment will be respected. Should there be a litigation process, while this is sub judice (under litigation; decision pending), this will not hinder access to certification provided that guidance given by the judge is followed. In the absence of such guidance, traditional land users may continue exercising their rights until the case is resolved.</p>
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.	
3.2.3 Producers are required to respect the rights, customs and culture of indigenous peoples as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).	
3.2.4 Sites of special cultural, ecological, economic or religious significance and resources fundamental for satisfying the basic necessities of local communities and indigenous people (for livelihoods, health, nutrition, water, etc.) shall be clearly identified in cooperation with such people, and	

recognized and protected by farm managers.	
3.3 An effective mechanism for resolving complaints and grievances is implemented and available to local communities, employees and traditional land users.  Note: For group certification the complaints and grievances mechanism can be managed by the group manager and records of complaints and grievances can be maintained at the group level.	Guidance 3.3  Interviews with members of local communities are important in verifying compliance with this Criterion.
3.3.1 The complaints and grievances channel has been made known and is accessible to the communities and employees.	
3.3.2 Documented evidence of complaints and grievances received is maintained.	
3.3.3 Any complaints and grievances received are adequately dealt with in a timely manner.	Guidance 3.3.3  If the producer receives complaints, he/she is required to send an answer within 30 days of receiving such complaints to offer feedback of reception of such complaint and/or to start addressing the issue.
3.4 Fair opportunities for employment and provision of goods and services are given to the local population, irrespective of gender and race.	
3.4.1 Employment opportunities are made known locally.	Guidance 3.4.1  Evidence may include records kept of the proportion of local employees that have been employed in the farm.
3.4.2 Whenever possible, there is collaboration with training programs for the local population.  Note: Small farms may participate in training programs where they exist. For	Guidance 3.4.2  If it is not possible to apply this indicator, a justification shall be given to the auditor.

groups the collaboration with training programs may occur at the group level.	
3.4.3 Opportunities for supply of goods and services are offered to the local population.	<p><b>Guidance 3.4.3</b></p> <p>This refers to goods and services, which are central to the production activities.</p> <p>Evidence includes quotations for services from local suppliers.</p>

## Principle 4

### Environmental Responsibility

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Guidance Principle 4	
Guidance 4.1	
<p><b>4.1 On and off site social and environmental impacts have been assessed and appropriate measures taken to minimize and mitigate any negative impacts.</b></p> <p>Note: For group certification of small farms, Indicators 4.1.1, 4.1.2, 4.1.3, 4.1.4 and 4.1.5 may be part of the ICS, and fulfilled at group level.</p>	<p>The assessment should be appropriate to the scale of the operation.</p> <p>In case of group certification of small producers, different groups located in similar areas and having similar issues may exchange information in order to prepare and/or carry out the assessment, however, reports shall be prepared at group level.</p> <p>Where there are national requirements for impact assessments, which are adequate for meeting this Criterion (identified by the NTG), these shall be followed. Where there are no national requirements, auditors shall verify whether an adequate process has been followed (for instance "The Equator Principles' Social and Environmental Assessment Procedure".</p>
<p><b>4.1.1 An initial social and environmental assessment is carried out prior to the first certification audit<sup>1</sup> (see also Indicator 1.3.1).</b></p>	<p><b>Guidance 4.1.1</b></p> <p>Endemic, rare, threatened or endangered species shall be identified in this assessment (see also Indicator 4.5.3).</p>
<p><b>4.1.2 The assessment is carried out by someone who is adequately trained and experienced for this task.</b></p>	
<p><b>4.1.3 The assessment is carried out in a comprehensive and transparent manner.</b></p>	
<p><b>4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are being documented, implemented and monitored.</b></p>	
<p><b>4.1.5 A summary of the social and environmental assessment report shall be made available upon request.</b></p>	

<sup>1</sup> In case of certified producers, this assessment is carried out prior to the next surveillance or re-certification audit (what happens first).

<p><b>4.2 Pollution is minimized and production waste is managed responsibly.</b></p> <p>Note: Chemical use and disposal is dealt with under Principle 5.</p>	
<p>4.2.1 There is no burning on any part of the property of crop residues, waste, or as part of vegetation clearance, except under one of the following conditions:</p> <ul style="list-style-type: none"> <li>a) where there is a legal obligation to burn as a sanitary measure;</li> <li>b) where it is used for generation of energy including charcoal production and for drying crops;</li> <li>c) where only small-caliber residual vegetation from land clearing remains after all useable material has been removed for other uses.</li> </ul>	
<p>4.2.2 There is adequate storage and disposal of fuel, batteries, tires, lubricants, sewage and other waste.</p>	
<p>4.2.3 There are facilities to prevent spills of oil<sup>2</sup> and other pollutants.</p>	
<p>4.2.4 Re-use and recycling are utilized wherever possible.</p>	
<p>4.2.5 There is a residue management plan including all areas of the property.</p>	<p><b>Guidance 4.2.5</b></p> <p>For large and medium producers, this should be documented. For small farms or family farms, producers only need to know which residues are generated on their farms and what will be done with each one of them.</p>
<p><b>4.3 Efforts are made to reduce emissions and increase sequestration of Greenhouse Gases (GHGs) on the farm.</b></p> <p>Note: Other issues, which are relevant to GHG emissions are covered in other principles including: Use of fertilizers (Criterion 5.5), Land-use change (Criterion 4.4).</p>	

<sup>2</sup> Oil refers to motor oil

<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><b>Guidance 4.3.1</b></p> <p>With farms which produce multiple crops, an estimate of the use of fossil fuel for soy production should be made.</p> <p>'Activities related to soy production' include: field operations and on-farm transportation, whether this is supplied by producers or by third parties.</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>Note: For group certification of small producers, Indicators 4.3.1 and 4.3.2 may be part of the ICS, at group level.</p>	<p><b>Guidance 4.3.2</b></p> <p>There may be annual fluctuations in the intensity of fossil fuel usage caused by natural yield variations. The trend should be monitored over a period of several years.</p> <p>An example of a justification for an increase in the intensity in the use of fossil fuel use may be when a planting was lost due to drought and needed to be replanted.</p> <p>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, the equivalent fossil fuel savings should be quantified.</p>
<p>4.3.3 Soil organic matter is monitored to quantify change in soil carbon and steps are taken to improve it or, at least, to mitigate negative trends.</p> <p>Note For 4.3.3: for individual small producers, complying with Criterion 5.3 is considered as enough. In case of Group Certification of small producers the monitoring of soil carbon applies, but this may be done using samples.</p>	
<p>4.3.4 Opportunities for increasing carbon sequestration through restoration of native vegetation, forest plantations and other means are identified and, when possible, implemented.</p>	<p><b>Guidance 4.3.4</b></p> <p>If producers cannot apply the identified opportunities for increasing carbon sequestration, a justification shall be given</p>

	<p>to the auditor.</p>
<p><b>4.4 Expansion of soy cultivation is responsible.</b></p>	<p><b>Guidance 4.4 for Certification Bodies</b></p> <p>Data capture requirements for future Payment for Environmental Services (PES) schemes: the date of registration of the producer for certification purposes is recorded by the Certification Body. During the certification audit, the area and type of vegetation of all voluntary reserves of native vegetation (above the legal requirement) are recorded. Following certification, details of the date of registration for certification purposes and the area and type of vegetation of voluntary reserves are added to an RTRS register. When an RTRS PES scheme is developed, payments are available retroactively to the date of registration.</p>
<p>4.4.1 The following areas have not been cleared or converted from May 2009 onwards:</p> <p>4.4.1.a Where RTRS maps are available: All areas included in Category 1 of the maps<sup>3</sup>.</p> <p>4.4.1.b Where RTRS maps are not available the following areas:</p> <ul style="list-style-type: none"> <li>a) native forests,</li> <li>b) riparian vegetation,</li> <li>c) natural wetlands,</li> <li>d) steep slopes,</li> <li>e) areas designated by law to serve the purpose of native conservation and/or cultural and social protection.</li> </ul> <p>4.4.1.c Where there is an unresolved land use claim by traditional land users under litigation, without any agreement from both parties.</p>	<p><b>Guidance 4.4.1.c</b></p> <p>Traditional land users will provide reasonable proof that they have been exercising use or access rights on the area of the property over the last 10 years prior to May 2009.</p>

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<sup>3</sup> See Annex 4

<p>4.4.2 After 3rd June 2016, no conversion is allowed in any natural land (see Glossary), steep slopes and in areas designated by law to serve the purpose of native conservation and/or cultural and social protection.</p>	
<p><b>4.5 On-farm biodiversity is maintained and safeguarded through the preservation of native vegetation.</b></p>	
<p>4.5.1 There is a map of the farm, which shows the native vegetation, production areas and water courses (see 5.2.1).</p>	<p><b>Guidance 4.5.1</b> The map and plan should be appropriate to the size of the operation. For group certification the group manager may maintain the map centrally and may be responsible for maintaining and developing a plan for conservation.</p>
<p>4.5.2 There is a plan, which is being implemented and monitored to ensure that the native vegetation and wildlife are being maintained.</p>	<p><b>Guidance 4.5.2</b> The plan needs to include at least the following:</p> <ul style="list-style-type: none"> <li>• identification of on-farm native vegetation and wildlife;</li> <li>• indicators and baseline of the status of native vegetation and wildlife;</li> <li>• measures to preserve native vegetation and wildlife;</li> <li>• monitoring.</li> </ul> <p>Annex 5 provides an example of how a plan could be developed for this Indicator.</p>
<p>4.5.3 Rare, threatened or endangered species permanently or temporary present at the property are protected. Hunting or collecting of these species is not allowed.</p>	

4.5.4 For farms that have less than 10% of native vegetation (but in compliance with 4.4 and 5.2 and other related indicators), producers are required to implement and promote conservation activities in, out or around the farm, in order to promote wildlife and restoration of native vegetation.

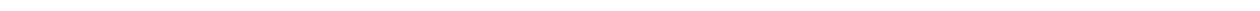
#### Guidance 4.5.4

Activities that could be carried out by producers to comply with this indicator are (but are not limited to) as follows: leaving corridors or restoring borders of fences or paths, restoring degraded or unproductive areas, supporting conservation or restoration activities outside the boundaries of the farm (but related to local wildlife and native vegetation). This support may be given through funding or through the supply of resources, materials, personnel, etc.

Producers may set up groups to comply with this indicator. Producers may organize activities together in order to promote conservation activities inside, outside or around the farm.

## Principle 5 Good Agricultural Practices

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Guidance Principle 5	
5.1 The quality and supply of surface and ground water is maintained or improved.	
5.1.1 Good agricultural practices are implemented to minimize diffuse and localized impacts on surface and ground water quality from chemical residues, fertilizers, erosion or other sources, and to promote aquifer recharge.	
5.1.2 There is a plan that includes monitoring and mitigation measures according to risks that have been identified and it is applicable to the scale.	<p><b>Guidance 5.1.2</b></p> <p>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.</p> <p>Where there are wells, these should be used for monitoring ground water.</p>
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 legislation.  Note: For group certification of small farms, where irrigation is used for crops other than soy, but is not done according to best practices, a plan is in place and is being implemented to improve practices. The group manager is responsible for documentation.	<p><b>Guidance 5.1.4</b></p> <p>When using irrigation, attention should be paid to other potential uses such as household use or use for other food crops, and, if there is lack of water, priority should be given to human consumption. For new irrigation systems, an environmental impact assessment is required.</p>
5.2 Natural vegetation areas around springs and along natural watercourses are maintained or re-established.	

5.2.1 The location of all watercourses has been identified and mapped, including the status of the riparian vegetation.	
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.	
5.2.3 Natural wetlands are not drained and native vegetation is maintained.	<p><b>Guidance 5.2.3</b></p> <p>Cut-off date for natural wetlands is May 2009.</p> <p>For group certification of small farmers, group managers may maintain maps centrally and may be responsible for maintaining and developing restoration plans.</p>
<p><b>5.3 Soil quality is maintained or improved and erosion is avoided by good management practices.</b></p> <p>Note: For group certification of small producers - 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.</p>	
5.3.1 Appropriate monitoring of soil quality including taking soil fertility samples (soil organic matter) is in place.	<p><b>Guidance 5.3.1</b></p> <p>Identify appropriate indicators for monitoring, which need to be based on key issues according to production type and region. Any selected monitoring indicators should be straightforward and supply reliable information. Suggestions include: analysis of organic matter, total nitrogen (N) (total N can be estimated as 5% of organic matter), phosphorous (P), pH, electrical conductivity, measurement of surface residues (quality and quantity 30 days before the mean sowing date with a</p>

	tolerance of +\ - 10 days).
5.3.2 Knowledge of techniques to maintain soil quality (physical, chemical and biological) is demonstrated and these techniques are implemented.	<p><b>Guidance 5.3.2</b></p> <p>Techniques for maintaining soil quality may include:</p> <ul style="list-style-type: none"> <li>• Conservation agriculture</li> <li>• Crop rotation</li> <li>• Balanced fertilization</li> </ul> <p>Techniques for controlling soil erosion may include:</p> <ul style="list-style-type: none"> <li>• Management of on-farm roads</li> <li>• Management of sloping areas</li> <li>• Maintenance of permanent soil cover</li> <li>• Zero tillage (no-till farming)</li> </ul>
5.3.3 Knowledge of techniques to control soil erosion is demonstrated and these techniques are appropriately implemented.	
<p>5.3.4 A crop rotation plan shall be implemented to prevent soy from being planted immediately over soy and to promote a time gap on the same field. During this gap, a second crop or pasture should be cultivated or, at least, land shall be left fallow or under cover vegetation for regeneration purposes.</p> <p>This plan shall consider adapting specific climate and agro-ecological regional conditions.</p>	
<p>5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation of systematic, recognized Integrated Crop Management (ICM) techniques.</p> <p>Note: See Annex 6 for further information on ICM.</p>	<p><b>Guidance 5.4</b></p> <p>Take into account scale and context especially for small farms - this relates to both the level of ICM expected and the records maintained.</p>
<p>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.</p> <p>Note: For group certification of small</p>	

<p>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.</p>	
<p>5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.</p>	<p><b>Guidance 5.4.2</b>  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.  Levels of potential harmfulness of a phytosanitary product may be determined from its WHO class for the purposes of this Criterion.  Where targets are not met, documented evidence is presented to justify this.</p>
<p>5.4.3 Only original and genuine agrochemical products, which comply with local registration requirements, must be used to prevent risks for farmers, consumers and the environment.</p>	
<p>5.4.4 Use of agrochemical products follows legal requirements and professional recommendations (or, if professional recommendations are not available, manufacturer's recommendations) and includes rotation of active ingredients to prevent resistance.</p>	<p><b>Guidance 5.4.4</b>  Both local and national legislation should be taken into account.</p>
<p>5.4.5 Records of monitoring of pests, diseases, weeds and natural predators are maintained.  Note: for group certification of small farmers, records may be included in the ICS at group level.</p>	
<p><b>5.5 All application of agrochemicals<sup>4</sup> is documented and all handling,</b></p>	

<sup>4</sup> Note: Agrochemicals refers to all chemicals used including fertilizers and pesticides

<p>storage, collection and disposal of chemical waste and empty containers, is monitored to ensure compliance with good practice.</p>	
<p>5.5.1 There are records of the use of agrochemicals, including:</p> <ul style="list-style-type: none"> <li>a) products purchased and applied, quantity and dates;</li> <li>b) identification of the area where the application was made;</li> <li>c) names of the persons that carried out the preparation of the products and field application;</li> <li>d) identification of the application equipment used;</li> <li>e) weather conditions during application.</li> </ul>	<p><b>Guidance 5.5.1</b></p> <p>Records are maintained for at least 5 years. This does not apply to records from years prior to certification.</p> <p>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 in place for assuring compliance with the Criterion.</p>
<p>5.5.2 Containers are properly stored, washed and disposed of; waste and residual agrochemicals are disposed in an environmentally appropriate way.</p>	<p><b>Guidance 5.5.2</b></p> <p>Washing of containers should be carried out using triple rinsing principles (including re-use of the rinse water in the tank mix) or using high-pressure techniques associated with mechanical 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><b>Guidance 5.5.3</b></p> <p>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. Suggestions for reducing the risk of accidents and negative impact may be: restricted access, waterproof floor, barrier containment, storage area, safety data sheets, instructions for accidents, protection equipment, fire extinguishers, first aid, spillage elements, minimum</p>

	<p>ventilation and/or forced ventilation, housekeeping, separation of seeds, fertilizers and products.</p> <p>Legal requirements shall be followed for all farm sizes.</p>
5.5.4 The necessary precautions are taken to avoid people entering into recently sprayed areas.	
5.5.5 Fertilizers are used in accordance with professional recommendations (provided by manufacturers where other professional recommendations are not available).	
<b>5.6 Responsible Use of Agrochemicals</b>	
5.6.1 There is no use of agrochemicals listed in the Stockholm and Rotterdam Conventions.	
5.6.2 In countries where Paraquat can be used legally in agricultural production, producers are required to implement a program of progressive reduction of Paraquat over time. The implemented Integrated Crop Management Plan (see indicator 5.4.2) shall specify reduction targets for Paraquat and its phase out, which shall be implemented as soon as possible and not later than 2020. The use of Paraquat is prohibited from January 2021.	
5.6.3 From January 2018 to December 2020, RTRS will have also a Non-Paraquat module in the platform during this phase out period.	
<b>5.7 The use of biological control agents is documented, monitored and controlled in accordance with national laws and internationally accepted scientific protocols.</b>	<p><b>Guidance 5.7</b></p> <p>Records of use of biological control agents should be used as evidence of compliance with this Criterion.</p>
5.7.1 There is information about requirements for use of biological control agents.	

<p>5.7.2 Records are kept of all use of biological control agents that demonstrate compliance with national laws.</p>	<p><b>Guidance 5.7.2</b> Scale and context, especially for small farms, should be taken into account.</p>
<p>5.8 Systematic measures are planned and implemented to monitor, control and minimize the spread of invasive introduced species and new pests.</p>	
<p>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.</p>	
<p>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.  Note: For group certification, the group manager is responsible for communicating to the authorities and relevant organizations.</p>	
<p>5.9 Appropriate measures are implemented to prevent the drift of agrochemicals to neighbouring areas.</p>	
<p>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.</p>	<p><b>Guidance 5.9.1</b> Factors that influence drift include, among others, wind speed and direction, temperature, equipment utilized and topography.</p>
<p>5.9.2 Records of weather conditions (wind speed and direction, temperature and relative humidity) during spraying operations are maintained.</p>	<p><b>Guidance 5.9.1– 5.9.2</b> Requirements for small farms should be appropriate to scale and context.  For group certification of small farms - group managers may provide documented procedures and maintain</p>

	records of weather conditions.
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.  Note: 'Populated areas' means any occupied house, office or other building.	
5.9.4 There is no aerial application of pesticides in WHO Class Ia, Ib and II within 500m of populated areas or water bodies.	
5.9.5 There is no application of pesticides within 30m of any populated areas or water bodies.  Note: 'Water bodies' includes, but is not limited to, water courses, intermittent rivers, rivers, streams, lagoons, springs, lakes, reservoirs and ditches (see Glossary).	Guidance 5.9.5  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 if it is permitted by Law and by manufacturer's recommendations.
5.10 Appropriate measures are implemented to allow for coexistence of different production systems.	
5.10.1 Measures are taken to prevent interference in production systems of neighbouring areas.	Guidance 5.10.1  When a change in soybean production practices is introduced, which could impact on neighbouring 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,

	<p>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, farmers planting GM or using chemicals should maintain a buffer strip).</p> <p>In countries or regions where it is proven than a buffer strip smaller than 30 meters is enough for preventing contamination and maintaining the purity of the neighbouring systems, the buffer strip may be smaller and defined according to national level practices.</p>
5.11 Origin of seeds is controlled 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.	

# Annex 1 - Chain of Custody Requirements for Producers



Any certified producer growing soy and making RTRS claims about the soybeans they supply **must** follow these additional requirements.

## 1. Scope

### 1.1. Applicability of the General Chain of Custody System Requirements for Producers

1.1.1. The General Chain of Custody System Requirements for Producers shall apply to any organization growing soy and making RTRS claims about the soybeans they supply.

1.1.2. Where organizations growing soy also purchase and handle soy grown by third parties, they shall apply the General Chain of Custody System Requirements for the Supply Chain instead of the General Chain of Custody System Requirements for Producers.

## 2. Handling of RTRS Certified Material

### 2.1. Identification of Output

2.1.1. The organization shall ensure that all invoices<sup>5</sup> issued for soybeans supplied with RTRS claims include the following information:

- Identification of the organization (e.g. name, address, other relevant information);
- identification of the customer (e.g. name, address, other relevant information);
- date when the document was issued;
- description of the product;
- quantity of the products sold;
- the organization's RTRS Chain of Custody certificate number.

2.1.2. If separate transport documents are issued, information sufficient to link the invoice and related transport documentation to each other is available

2.1.3. The organization shall include the same information as required in clause 2.1.1 in the related transport documentation, if the invoice (or copy of it) is not included with the shipment of the product.

## 2.2. Volume summaries

2.2.1. The organization shall prepare annual volume summaries of the RTRS certified soybeans harvested and supplied to customers.

## 2.3. Records

2.3.1. The organization shall maintain complete and up-to-date records covering all applicable requirements of the Chain of Custody Requirements for Producers.

2.3.2. The organization shall implement a record keeping system for all records and reports, including purchase and sales documents, training records, production records and volume summaries. The record retention period shall be specified by the organization and shall be at least five (5) years.

## 2.4. Products supplied with RTRS claims

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<sup>5</sup> Invoices: include other kind of support documentation.

2.4.1. The organization shall ensure that RTRS certified products are always supplied with the corresponding RTRS claim on their sales and transport documentation, as set out in the RTRS Communication and Claims Policy.

## Annex 2

### List of Acronyms

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GM	Genetically Modified
HCV	High Conservation Value
HCVA	High Conservation Value Area
ICM	Integrated Crop Management
ILO	International Labour Organization
ITG	International Technical Group
NGO	Non Governmental Organization
NTG	National Technical Group
P&C	Principles and Criteria
PES	Payments for Environmental Services
RTRS	Round Table on Responsible Soy Association
SA8000	Social Accountability International (SAI) international standard on workers' rights, working conditions and management systems.
WHO	World Health Organization

## Annex 3

# Glossary of Terms

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<b>Baseline</b>	Data, information or indicator used as a basis for comparison.
<b>Biological Control</b>	A method of controlling pests that relies on predation, parasitism, herbivory, or other natural mechanisms, rather than agrochemicals.
<b>Chain of Custody System</b>	The type of chain of custody controls an organization is implementing, for example, a mass balance system or a segregated system.
<b>Criteria</b>	The 'content' level of a standard. Conditions that need to be met in order to achieve a Principle.
<b>Company</b>	An organization with operational control, including the right to manage and implement changes at a site-level and responsibility for the management and implementation of operational systems. This may include, for example, legal entities and their majority owned subsidiaries or joint ventures.
<b>Continual Improvement</b>	The on-going process of improving performance through establishment of objectives, the use of monitoring, audit findings and management reviews; analyzing information and implementing corrective and preventive actions.
<b>Endemic Species</b>	A species, which is, found exclusively in a particular region or location and not found naturally anywhere else.
<b>Family Farm</b>	A farm operated and mostly owned by a family, that produces soy, sometimes simultaneously with other crops and where the family provides the majority of the labour used. Such farms provide the main source of income. Work by children is acceptable on family farms, under adult supervision; when not interfering with education programs; when children are part of the family and when they are not exposed to hazardous working conditions.
<b>The Equator Principles</b>	A financial industry benchmark developed by private sector banks for determining, assessing and managing social and environmental risk in project financing. The Principles apply to all new project financings

globally with total project capital costs of US\$10 million or more, and across all industry sectors.

**The Equator Principles' Social and Environmental assessment**

An assessment that determines the social and environmental impacts and risks (including labour, health, and safety) of a proposed project in its area of influence. It is an adequate, accurate and objective evaluation and presentation of the issues, whether prepared by the producer, consultants or external experts. The assessment should also propose mitigation and management measures relevant and appropriate to the nature and scale of the proposed project. See Principle 2 and Exhibit II of the Equator Principles at [www.equator-principles.com](http://www.equator-principles.com) for further details.

**Forest**

See native forest.

**High Conservation Values**

Is a biological, ecological, social or cultural value of outstanding significance or critical importance. There are six categories of HCV.

HCV1. Concentrations of biological diversity including endemic species, and rare, threatened or endangered species, significant at global, regional or national levels.

HCV2. Intact forest landscapes and large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of most of the naturally occurring species in natural patterns of distribution and abundance.

HCV3. Rare, threatened, or endangered ecosystems, habitats or refugia.

HCV4. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.

HCV5. Sites and resources fundamental for meeting the basic necessities of local communities or indigenous peoples (livelihoods, health, nutrition, water, etc.), identified through engagement with such communities or indigenous peoples.

HCV6. Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultural identity of local communities or indigenous peoples, identified through engagement with such local communities or indigenous

peoples.

<b>Indicators</b>	The 'operational' level of a standard expressed in measurable statements, which allow assessment of conformance.
<b>Indirectly Employed Workers</b>	Workers indirectly employed on the farm refers in this standard to employees of service providers who carry out services directly related to the production process.  Further definition of those ' <i>services directly related to the production process</i> ' should be carried out by national interpretation processes.
<b>Integrated Crop Management</b>	A system of crop production which conserves and enhances natural resources while producing a crop on an economically viable and sustainable foundation. A whole-farm, long-term strategy incorporating both new technologies and traditional knowledge and practices. See Annex 6 for further details.
<b>Local Communities</b>	Groups of people and families legitimately living or working on or near to the property to be certified, or between properties in case of multi-site or group certification, and influenced by or influencing the activities of the property.
<b>Output material</b>	Soy, soy-derivates or soy-products supplied to customers by the organization. This may also include embedded soy products.
<b>Native Forest</b>	Areas of native vegetation of 1ha or more with canopy cover of more than 35 % and where some trees (at least 10 trees per hectare) reach 10m in height (or are able to reach these thresholds <i>in situ</i> (i.e. In that soil/climate combination).
<b>Natural Lands</b>	All land with natural, native vegetation, including, but not limited to, native forests (according to RTRS definition), riparian vegetation, natural wetlands, grasslands, savannahs, prairies, cerrado and woodlands.
<b>Natural Wetlands</b>	The marine and coastal wetlands classified as Categories: A-Permanent shallow marine waters in most cases less than six metres deep at low tide; includes sea bays and straits; B- Marine subtidal aquatic beds; includes kelp beds, sea-grass beds, tropical marine meadows; C- Coral reefs; D- Rocky marine shores; includes rocky offshore islands, sea cliffs; E- Sand, shingle or pebble shores; includes sand bars, spits and sandy islets; includes dune systems and humid dune slacks; F- Estuarine waters; permanent

water of estuaries and estuarine systems of deltas; G- Intertidal mud, sand or salt flats; H- Intertidal marshes; includes salt marshes, salt meadows, salttings, raised salt marshes; includes tidal brackish and freshwater marshes; I- Intertidal forested wetlands; includes mangrove swamps, nipah swamps and tidal freshwater swamp forests; J- Coastal brackish/saline lagoons; brackish to saline lagoons with at least one relatively narrow connection to the sea; K- Coastal freshwater lagoons; includes freshwater delta lagoons; ZKA- Karst and other subterranean hydrological systems. And as inland wetlands (categories L- Permanent inland deltas, M- Permanent riversstreams/creeks, includes waterfalls; N- Seasonal/intermittent/irregular riversstreams/creeks; O- Permanent freshwater lakes (over 8 ha); includes large oxbow lakes; P- Seasonal/intermittent freshwater lakes (over 8 ha); includes floodplain lakes; Q- Permanent saline/brackish/alkaline lakes and flats; R- Seasonal/intermittent saline/brackish/alkaline lakes and flats; S- Permanent saline/brackish/ alkaline marshes/pools; S-Seasonal/intermittent saline/brackish/ alkaline marshes/pools; Tp Permanent freshwater marshes/pools, ponds (below(8ha), marshes and swamps on inorganic soils, with emergent vegetation water-logged for at least most of the growing season; T- Seasonal/intermittent freshwater marshes/pools, on inorganic soils, includes sloughs, potholes, seasonally flooded meadows, sedge marshes; U- Non forested peatlands, includes shrub or open bogs, swamps, fens; V- Alpine wetlands; includes alpine meadows, temporary waters from snowmelt; V- Tundra wetlands, includes tundra pools, temporary waters from snowmelt; W- Shrub-dominated wetlands, shrub swamps, shrub-dominated freshwater marshes, shrub carr, alder thicket on inorganic soils; X- Freshwater, tree-dominated wetlands, includes freshwater swamp forests, seasonally flooded forests, wooded swamps on inorganic soils; X- Forested peatlands, peatswamps forests; Y- Freshwater springs, oasis; Z- Geothermal waters; ZKB- Karst and other subterranean hydrological systems, inland.

#### No-Tillage

A way of growing crops from year to year without disturbing the soil through ploughing. Also known as direct drilling, zero tillage and conservation tillage.

#### Pesticides

Pesticides include herbicides, fungicides, rodenticides and insecticides.

<b>Phytosanitary Products</b>	Agrochemicals used for controlling pests and weeds including herbicides, fungicides and pesticides.
<b>Principles</b>	The 'intent' level of the standard, expressed in fundamental statements about a desired outcome.
<b>Producer</b>	An organization growing e.g. a farmer
<b>Quantity</b>	<p>The quantity of the material as measured by volume or weight.</p> <p>For product transported by ship, this is the volume or weight at ship loading.</p> <p>For products transported by truck or train, this is the volume or weight at the weighbridge or scale.</p>
<b>Sharecroppers</b>	A type of tenant farmer who is allowed by the owner to use the land in return for a share of the crop produced on the land.
<b>Standard</b>	Standards are documents containing technical specifications or other precise criteria which are used as rules, or guidelines and form the requirements to be met.
<b>RTRS claims</b>	The text used to communicate that a product is RTRS certified. RTRS claims differ based on the specific Chain of Custody System used by the organization, as set out in the RTRS Communication and Claims Policy.
<b>Traditional Land Users</b>	Communities (or individuals where population is very sparse) that have been exercising use or access rights on the property being certified for an extended period of time.
<b>Wetlands/Surface Water/Superficial Water/Water Bodies</b>	Areas of marsh, fen, peatland or water, whether natural or artificial, permanent or temporary, with water that is static or flowing, fresh, brackish or salt, including areas of marine water the depth of which at low tide does not exceed six meters (Ramsar Convention).
<b>Wildlife</b>	All animals, vertebrates, mammals or just big and more charismatic animals, that have not been domesticated or tamed and that usually live in a natural environment.
<b>Workers</b>	Where used in this document 'workers' includes permanent, temporary and seasonal workers and sharecroppers.
<b>Zoning</b>	The classification of allowable or preferred land use.



## Annex 4 - RTRS Guidelines for Responsible Soy Expansion

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The guidelines were developed according to Annex 4 of the RTRS Standard for Responsible Soy Production Version 2.0.

The macro-scale maps and their categories show a first approach to a specific area categorizing them according to one of the four categories defined by RTRS as follows:

- **Category 1 Areas** (red areas) = areas critical for biodiversity (hotspots), where stakeholders agree there should be no conversion of native vegetation into responsible soy production.
- **Category 2 Areas** (yellow areas) = areas with high importance for biodiversity where, according to version 2 of the standard, expansion of soy is only carried out after a HCVA assessment that identifies areas for conservation and areas where expansion may occur. For Version 3 of the standard, conversion without an HCVA assessment is permitted until June 2016. After June 2016, no conversion of natural lands is allowed.
- **Category 3 Areas** (dark green areas) = areas where existing legislation is adequate for controlling responsible expansion until June 2016 (usually areas highly important for agriculture and not important for conservation). After June 2016, no conversion of natural lands is permitted.
- **Category 4 Areas** (light green areas) = areas already used for agricultural purposes and where there is no remaining native vegetation except for legal reserves and, hence, no further expansion is made. After June 2016, no conversion of natural land is permitted.

Because of their macro-scale condition (1:250,000 or 1:500,000), maps are guiding tools that do not exclude on-farm scenarios where producers are able to prove fulfilment of RTRS Standard requirements regarding expansion. In areas under Category 3 and Category 4, there may be on-farm scenarios that, due to the scale approach or to other factors, may not be mapped (e.g. small wetlands, cultural value areas, etc.).

The guidelines for using maps according to farm categories are:

**Category 1:** Not certifiable, unless producers can demonstrate in any other reliable way that the opening occurred prior to May 2009 (\*).

**Categories 2, 3 and 4:** Land legally converted until June 2016 (\*\*) is certifiable. After June 2016, no conversion of natural lands is permitted.

(\*) In Category 1, producers may prove that farms were converted before May 2009 by means of other auditable tools and/or their combinations (e.g. maps of use of land prior to 2009, tillage invoices, consignment notes or waybills with origin on the farm, etc.)

(\*\*) In Categories 2, 3 and 4, producers may prove that farms were converted before June 2016 by means of other auditable tools and/or their combinations (e.g. maps of use of land prior to June 2016, tillage invoices, consignment notes or waybills with origin on the farm, etc.)

Note: For all the different categories, legal compliance prevails over any other classification.

At this first stage, maps will be available at: <http://arcg.is/1GYcL1F>

(The system requires computers with 4 Gigabytes of RAM or +).

# Annex 5 – Example Developing a Plan for Ensuring Preservation of On-Farm Native Vegetation and Wildlife

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The purpose of this guidance is to provide an example to producers on how to develop a plan under the scope of application of Indicator 4.5.2 of the RTRS standard. However, Producers may develop other plans with different formats or techniques as long as they comply with the basic content required in the guidance for 4.5.2.

Some aspects of this guidance may also be considered for the implementation of other indicators of the standard where a plan and monitoring are required.

**The plan can be developed following these four steps:**

1. Identification of on-farm native vegetation and wildlife
  2. Indicators and baseline of status of native vegetation and wildlife
  3. Measures for preserving native vegetation and wildlife
  4. Monitoring and adaptive management
- 
1. Identification of on-farm native vegetation and wildlife.
    - The map required in Indicator 4.5.1 may be used for identifying native vegetation on the farm.
    - Native vegetation identified in this map should be classified into different vegetation units, using local ecosystem names such as, *caldén forest*, *espartillar*, *aibal*, or saline lowlands. Based on this first identification, a quick consultation with a local expert or literature at hand may provide a description of each environment, including key species, threats, and any other information useful for defining Steps 2 and 3. In the case of

degraded areas or areas under restoration, the description should contain information about status of degradation<sup>6</sup>.

## 2. Indicators and Baseline of the Status of Native Vegetation and Wildlife

For each one of these identified ecosystems and species, at least one indicator of their current status should be selected.

Indicators should be chosen strategically; they should be easy to measure and they should provide relevant information for an adaptive management.

When applying this guidance, indicators may describe the status of:

- a) the vegetation unit,
- b) a key species, or
- c) a threat to either one of them.

**Table 1: Examples of Indicators**

Nº	Indicators of Preservation of a Vegetation Unit	Measurement Methodology	Units
1	Surface <sup>7</sup>	Satellite Image Tools, Geometric Calculation	ha
2	Canopy Cover	Satellite Image Tools, Grid Analysis	%
3	Distance to the nearest patch/es of Native Vegetation <sup>8</sup>	Satellite Image Tools, Geometric Calculation	m, km
4	Border length with other Patches of Native Vegetation	Satellite Image Tools, Geometric Calculation	m, km
5	Bare Soil	Sampling with Circles	%
6	Species x <sup>9</sup> Cover	Sampling with Circles	%
7	Number of Plants per Species y <sup>10</sup> per m <sup>2</sup>	Sampling with Circles/Grid Sampling	#
8	Number of Plants per Species y per m	Sampling with Transects	#
Nº	Preservation Indicators of a Key Species	Measurement Methodology	Units

<sup>6</sup> Areas with severe degradation or even with anthropic transformation may be restored into native vegetation. In such cases, the target ecosystem should also be identified and described.

<sup>7</sup> Only when the management plan aims at incrementing the surface

<sup>8</sup> Only when the management plan aims at incrementing connectivity

<sup>9</sup> This indicator is usually used for grassland ecosystems. Specie x could be a native grass or plant, characteristic of the vegetation unit, or indicative of its health, or the one that we are reintroducing in a restoration plan. It also can be an invasive plant that we are trying to reduce in the management plan.

<sup>10</sup> Species y could be a key species or a group of species, whether native or invasive, or also new plants or plants of certain sizes.

9	Number of Observations of the Species or of its Traces <sup>11</sup>	Sampling with transects or grid, Counting of individuals in a given colony, Register of spontaneous Observation per time unit	#
Nº	Threat or Pressure Indicators	Measurement Methodology	units
10	Number of Signs <sup>12</sup> of Invasive Human Activities (hunting, gathering, logging)	Sampling with Transects or Grid, Record of Spontaneous Observation per Time Unit	#
11	Amount of Pollutants in Water Bodies/Water Courses	Sampling and Laboratory Analyses	ppm
12	Biochemical Demand of Oxygen (BDO) in Water Bodies/Water Courses	Sampling and Laboratory Analyses	mg/ l
13	Amount of Suspended Sediments in Water Bodies/Water Courses	Sampling and Laboratory Analyses	mg/l
14	Number of Fire Spots	Record of Fire Alarms per Year/Season	#
15	Number of Spots/Impacts on Spraying Control Cards	Spraying Control Cards in the Border of Native Vegetation Areas	Spots per

The first measurement of all the indicators will be considered the baseline for identifying future trends.

### 3. Measures for Preserving Native Vegetation and Wildlife

This part of the plan should describe the actions to be taken in order to preserve or enhance native vegetation or wildlife. The description of native vegetation and wildlife on a farm (Step 1), their threats and conservation problems, are the main input to decide on the appropriate actions to be taken.

Actions may be determined for having a direct impact on any Vegetation Unit or Species, or for mitigating the pressure caused by farm operations. A list of examples is shown in Table 2.

Table 2: Examples of Measures linked with Issues and Indicators

Problem/Risk	Action	Indicator
Low Extension of Native Ecosystems	Restore Native Vegetation in Key Places	1, 2

<sup>11</sup> Feces, nests, burrows, footprints, bird singing, etc.

<sup>12</sup> Traps, poaching camps, logging residues.

Degraded Vegetation in Native Ecosystems <sup>13</sup>	Restore Native Vegetation in Key Places Treatments against Invasive Plants Buffer Zone for Spraying and other Farm Activities	2, 5, 6, 7, 8, 15
Fragmentation, Lack of Connectivity	Re-Design of Native Vegetation Patches and Corridors	3, 4
Desertification, Erosion	Conservation Tillage, Terraces, Wind or Runoff Barriers, Re-Vegetation and Restoration	5, 13
Human Invasive Activities	Educational Activities for Staff and Local Communities Control of Trespassing	10
Contamination or Eutrophication of Water Bodies	Buffer Zone for Spraying Re-vegetation or Setting of Barriers in Buffer Zone Specific Good Agricultural Practices Close to Water Bodies	11, 12, 13
Fire Risk	Setting of Fire Barriers Fire Alarm System Controlled burning of Dry Biomass Capacity Building for Staff and Local Communities	14
Degraded Habitat for Key Species	Any of the Previous Ones Specific Actions to Increase Population <sup>14</sup>	9

#### 4. Monitoring and Adaptive Management

This includes the implementation of the monitoring plan, plus the analysis of the results. Identification of positive or negative trends, meeting or not meeting desired targets. If the results are not the desired ones, adjustments should be made to the plan.

##### Some possible causes:

- The indicator is not appropriate for the scenario.
- The methodology or mechanism for data gathering is not accurate: sampling methodology, lack of training, etc.
- Actions are not well implemented.

<sup>13</sup> Lack of key species, or group of species, lack of land cover, presence of invasive species, effects of agrochemical application.

<sup>14</sup> Controlling predators, setting up drinking troughs, re-introducing specific food or habitat resources (certain trees or fruits), creating connectivity between specific ecosystems, etc. These actions need to be defined in consultation with local experts.

- Actions are effectively implemented, but they are not effective (they do not bring about the expected results).

## Annex 6 - Integrated Crop Management (ICM) Measures and Practices in Soy Production

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The approach of RTRS towards Integrated Crop Management (ICM) is the voluntary adoption of an increasing number of ICM measures and sub-measures over time, according to a plan that is devised with professional guidance, which in the case of group certification may be provided by the group manager to individual group members. The table below presents a non-exhaustive list of measures and practices that can be used in the development and auditing of the ICM plan developed by the producer or producer group.

Measure	Practices
1. Prevention	1a. Conservation tillage (including zero tillage, zero tillage sowing, contour ploughing, etc.). 1b. Mechanical control practices to prevent weed seeds from germinating or spreading. 1c. Maintaining vegetative or residue soil cover in between crops. 1d. Crop rotation (including 1c.). 1e. Choice of seed variety: choose resistant variety against the main pest. 1f. Monitor and record harmful and beneficial organisms. 1g. Buffer zones and refuges for biodiversity (e.g. hedges, riparian vegetation, etc.).
2. Technical measures for cultivation	2a. Sowing date/timing. 2b. Scouting in field to assess damage-threshold for all pests (proven by daily record keeping). 2c. Use of fertilizer with evidence of need provided by professional soil/fertilization specialist. 2d. Manual weed removal/intercultural operations. 2e. Mechanical weed removal/intercultural operations which are not detrimental to soil structure, organic matter content or other soil and water values.
3. Systems for early warning and advise	3a. Use of weather information to determine applications. 3b. Use of pest traps. 3c. Use of decision support systems or manuals.

<b>Measure</b>	<b>Practices</b>
	3d. Use of warning systems or services for pests and diseases such as soy bean rust.
4. Non-chemical crop protection	4a. Use of naturally occurring beneficial insects by maintenance of buffer zones/natural vegetation. 4b. Use of biological control agents. 4c. Use of crop protection substances of natural origin. 4d. Use of inoculants (symbiotic bacteria) to promote Nitrogen uptake.
5. Chemical crop protection and application techniques	5a. Rotation of active ingredient. 5b. Application of phytosanitary products only when the economical damage threshold is reached. 5c. Use of selective and low human toxicity and low ecotoxicity phytosanitary products. 5d. Use of narrow spectrum phytosanitary products. 5e. Use of spot wise/precision application.
6. Emission reduction	6a. Use of adequate and well calibrated equipment. 6b. Spray-free zone towards principal water courses in accordance with professional agrochemical specialist's advice. 6c. In the use of aerial spraying there is no application where a temperature inversion or other unfavourable meteorological condition (high wind speed, etc.) occurs.

## Annex 7 - Guidance for National Interpretations

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This guidance **must** be followed by RTRS National Technical Groups<sup>15</sup> when developing National Interpretations of the RTRS Standard for Responsible Soy Production.

Criterion reference	Guidance for National Interpretations
1.1	Provide guidance on what the applicable laws are. List applicable laws in the national interpretation document and on the RTRS website.
1.2	<p>Provide further definition of what constitutes acceptable evidence of <i>legal use rights to land</i> and appropriate methods of proving rights.</p> <p>Provide guidance on how to deal with situations where the legal process for resolving land tenure and use rights is very long.</p> <p>Address rental and sharecropper agreements where applicable. Consider also if a minimum holding of the property (lease period) is applicable.</p>
1.3	Produce a list of possible indicators, which can voluntarily be selected by the producer (certification applicant) to demonstrate continual improvement; e.g. soil carbon content, use of agrochemicals, state of riparian vegetation, etc.
2.1	2.1.4-2.1.5 Where legal and considered essential, national interpretations may consider including that on family farms, children between 13 and 15 years old may carry out light productive activities during the peak season, providing this does not exceed 14 hours per week and does not interfere with their schooling. The number of hours during which these children may carry out light productive activities on family farms in summer shall be defined at National Interpretation level.
2.2	<p>Define the scope of '<i>services directly related to the production process</i>' (See Guidance for Criterion 2.2).</p> <p>In those countries where there are no requirements for formal labour agreements between worker and employer, define the alternative documented evidence of a labour relationship that must be provided (e.g. registration of employees with social security/employment agency).</p>
2.5	<p>Define the scope of '<i>services directly related to the production process</i>' (See Guidance for Criterion 2.5).</p> <p>Establish whether the minimum wages stipulated by national legislation or sector agreements are adequate to meet basic needs. Where they are not adequate, provide clear guidance as to:</p> <ul style="list-style-type: none"> <li>a) What is acceptable in order to meet basic needs (e.g. reference values) (Reference ILO Convention131 Minimum Wage</li> </ul>

<sup>15</sup> Or any group recognized by RTRS as carrying out official RTRS National Interpretation.

Criterion reference	Guidance for National Interpretations
	<p>Fixing).</p> <p>b) The methodology to be used to stipulate this (e.g. SA8000 calculation).</p> <p>c) A methodology to achieve basic needs (eg. step by step approach of SA8000-2008 version).</p> <p>National interpretations may include additional indicators in relation to this point.</p>
3.3	Provide guidance on an appropriate interpretation of ' <i>timely manner</i> '.
4.1	<p>Identify whether existing national legislation for impact assessments is adequate to meet the requirements of this Criterion.</p> <p>If not:</p> <p>a) Define 'large and high risk new infrastructure' for the country/region. Examples of new infrastructure may include: silos, storage areas, buildings, roads, bridges and dams;</p> <p>b) Define the appropriate professional qualifications or experience of person(s) carrying out the assessment of impacts.</p> <p>National interpretations may also produce templates or guidance on how impact assessment should be carried out.</p>
4.2	<p>4.2.2 It is required that the NTG define the meaning of adequate storage and disposal of the elements as listed in 4.2.2.</p> <p>4.2.4 Provide information on existing programs for re-using or recycling waste products.</p>
4.3	<p>4.3.1 Provide guidance on how to deal with the situation where operations by machine on a farm are outsourced.</p> <p>4.3.1 Evaluate the appropriateness of the records requirement for smallholders.</p>
4.4	<p>4.4.1.2 c) Option 1 Compile a list of appropriate official maps</p> <p>National interpretations should:</p> <ol style="list-style-type: none"> <li>1. Further elaborate the definition of native forest including identifying the biomes which meet this definition.</li> <li>2. Not establish requirements less stringent than the generic definition.</li> <li>3. Provide guidance on how these areas can be identified.</li> </ol>
4.5	<p>For countries where on-farm reserves are required by law, NI's must specify acceptable means of verification for compliance with these laws: e.g. Via satellite images, registration of the area in the land registry.</p> <p>In countries where soy is native, develop indicators related to protecting genetic diversity of soy.</p>
5.1	<p>5.1.2 Provide guidance on what needs to be measured and monitored, including the supply of water.</p> <p>5.1.2 Provide information on how the monitoring can be carried out.</p>
5.2	Develop more specific guidance regarding restoration plans which are adapted to the national situation taking into account the scale of operation, differences between biomes within countries and different

Criterion reference	Guidance for National Interpretations
	<p>legal requirements.</p> <p>Define the width of the riparian strip to be maintained or restored. This should depend on the width of the watercourse.</p> <p>Clarify requirements for small farms.</p>
5.4	<p>Take into account scale and context especially for small farms- this relates to both the level of ICM expected and the records maintained.</p>
5.5	<p>5.5.1 Take into account scale and context, especially for small farms.</p> <p>5.5.3 Identify whether national regulation is sufficient for the indicator. Clarify additional requirements, where these are necessary.</p>
5.6	<p>Provide lists of chemicals listed in the Rotterdam and Stockholm Conventions and any country-specific banned agrochemicals.</p>
5.7	<p>Translate relevant laws and protocols into understandable guidance for different types of procedures. Add additional indicators referring to the guidance to be followed. (e.g. guidance from international protocols).</p> <p>5.7.2 Take into account scale and context, especially for small farms.</p>
5.8	<p>5.8.1 Provide guidance on which institutions provide the systems mentioned.</p> <p>5.8.2 Provide guidance on how communication is to be carried out, e.g. what means of communication are appropriate.</p>
5.9	<p>5.9.1 Define good agricultural practices for agrochemicals application.</p> <p>Provide a list with all WHO Ia, Ib and II agrochemicals including local or trade names.</p> <p>5.9.1 and 5.9.2 requirements for small farms should be appropriate to scale and context.</p> <p>5.9.3 define how people should be informed about spraying for each country or region. This may be, for example, by radio, by SMS or by a warning rocket</p> <p>5.9.3 – 5.9.5 clarify the main national legal requirements and limits related to applications of agrochemicals and any additional requirements for the standard, including minimum distances of application if not established by law.</p>
5.10	<p>Provide guidance on the relevant coexistence situations and the measures associated with them.</p> <p>In countries or regions where it is proven than a buffer strip smaller than 30 meters is enough for preventing contamination and maintaining the purity of the neighbouring systems, the buffer strip may be smaller and defined at national level practices.</p>
5.11	<p>Define 'known legal quality sources'.</p>

# Annex 8 - Members of the Review Technical Working Group: April 2015 – March 2016

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