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Preamble

Development of this Document: The Roundtable on Responsible Soy Standard for Responsible Soy Production, version 1.0 (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 lead 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 (NTGs) 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.

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. In Version 1.0 of this standard, one criterion (criterion 4.4) needs to be reviewed within 2 years.

National Interpretation: Each soy-producing country is encouraged to make a national interpretation of the standard which, once endorsed by the RTRS, will 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 6: Guide for Applicable Laws in Brazil) must be followed. Groups carrying out national interpretation may not create requirements which are less stringent than the International RTRS Standard.

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.

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 with monitoring and review of trends over time. Producers are expected to commit to a process of continual improvement. For group certification, monitoring at the group level should be used where appropriate.

RTRS

Round Table on Responsible Soy Association

Principle 1: Legal Compliance and Good Business Practice

1.1 There is awareness of, and compliance with, all applicable local and national legislation.

Note: For group certification of small farms - group managers should provide training for group members on applicable laws and legal compliance.

- 1.1.1 Awareness of responsibilities, according to applicable laws can be demonstrated.
- 1.1.2 Applicable laws are being complied with.

1.2 Legal use rights to the land are clearly defined and demonstrable.

Note: Land use rights of traditional land users are considered in Criterion 3.2 which should be cross-referenced with this criterion.

1.2.1 There is documented evidence of rights to use the land (e.g. ownership document, rental agreement, court order etc.).

1.3 There is continual improvement with respect to the requirements of this standard.

Note: For group certification - continual improvement should be recorded and monitored at the group level.

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.

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.

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.

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.

1.3.3 The results of monitoring are reviewed and appropriate action is planned and taken when necessary to ensure continual improvement.

Principle 2: Responsible Labor Conditions

Note 1: The requirements of Principle 2 apply to both direct employees and to workers supplied by third parties.

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

2.1 Child labor, forced labor, discrimination and harassment are not engaged in or supported.

- 2.1.1 No forced, compulsory, bonded, trafficked or otherwise involuntary labor 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.
- 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.
- 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
- 2.1.6 There is no engagement in, support for, or tolerance of any form of discrimination.
- 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.



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 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.

2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written contract, in a language that they can understand.

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.

- 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.

2.3 A safe and healthy workplace is provided for all workers.

- 2.3.1 Producers and their employees demonstrate an 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 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.
- 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.
- 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.
- 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).

2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed on the farm.

- 2.5.1 Gross wages that comply with national legislation and sector agreements are paid at least monthly to workers.
- 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.
- 2.5.3 Normal weekly working hours do not exceed 48 hours. Weekly overtime hours do not exceed 12 hours.



2.5.4 If additional overtime hours are necessary the following conditions are met:

- a) It only occurs for limited periods of time (eg. peak harvest, planting).
- b) Where there is a trade union or representative organization the overtime conditions are negotiated and agreed with that organization.
- c) 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.
- 2.5.5 Working hours per worker are recorded by the employer.
- 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.
- 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.
- 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.
- 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.

Principle 3: Responsible Community Relations

3.1 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.

- 3.1.1 Documented evidence of communication channels and dialogue is available.
- 3.1.2 The channels adequately enable communication between the producer and the community.
- 3.1.3 The communication channels have been made known to the local communities.

3.2 In areas with traditional land users, conflicting land uses are avoided or resolved.

- 3.2.1 In the case of disputed use rights, a comprehensive, participatory and documented community rights assessment is carried out.
- 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 A mechanism for resolving complaints and grievances is implemented and available to local communities 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.

- 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.

3.4 Fair opportunities for employment and provision of goods and services are given to the local population.

3.4.1 Employment opportunities are made known locally.

Note: Not applicable for small farms.

3.4.2 There is collaboration with training programs for the local population.

Note: Small farms may participate in training programs where they exist. For 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.



Note: Not applicable for small farms.

Principle 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 mitigate any negative impacts.

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.

- 4.1.1 A social and environmental assessment 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.
- 4.1.3 The assessment is carried out in a comprehensive and transparent manner.
- 4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are documented and are being implemented.

4.2 Pollution is minimized and production waste is managed responsibly.

Note: Chemical use and disposal is dealt with under Principle 5.

- 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:
 - a) Where there is a legal obligation to burn as a sanitary measure;
 - b) Where it is used for generation of energy including charcoal production and for drying crops;
 - c) Where only small-caliber residual vegetation from land clearing remains after all useable material has been removed for other uses.
- 4.2.2 There is adequate storage and disposal of fuel, batteries, tires, lubricants, sewage and other waste.
- 4.2.3 There are facilities to prevent spills of oil¹ and other pollutants.
- 4.2.4 Re-use and recycling are utilized wherever possible.
- 4.2.5 There is a residue management plan including all areas of the property.

4.3 Efforts are made to reduce emissions and increase sequestration of Greenhouse Gases (GHGs) on the farm.

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).

- 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.
- 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.
- 4.3.3 Soil organic matter is monitored to quantify change in soil carbon and steps are taken to mitigate negative trends.

Note: For group certification of small farms - the monitoring of soil carbon can be done using samples.

4.3.4 Opportunities for increasing carbon sequestration through restoration of native vegetation, forest plantations and other means are identified.

4.4 Expansion of soy cultivation is responsible.

Note: This criterion will be revised after June 2012 if RTRS-approved maps and system are not available.

¹ Oil refers to motor oil.



- 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:
 - 4.4.1.1 It is in line with an RTRS-approved map and system (see Annex 4: RTRS Approach to Responsible Conversion)
 - 4.4.1.2 Where no RTRS-approved map and system is available:
 - 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).
 - b) There is no expansion in native forests (see glossary)
 - c) In areas that are not native forest (see glossary), expansion into native habitat only occurs according to one of the following two options:
 - 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.
 - Option 2. A High Conservation Value Area (HCVA) assessment is undertaken prior to clearing and there is no conversion of High Conservation Value Areas.

Note: Where neither official land use maps nor CBD maps exist, Option 2 must be followed.

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.

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.
- 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.

Principle 5: Good Agricultural Practice

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 monitoring, appropriate to scale, to demonstrate that the practices are effective.
- 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 and best practice guidance (where this exists), and for measurement of water utilization.

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.

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.



5.3 Soil quality 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.

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.

5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation of systematic recognized Integrated Crop Management (ICM) techniques.

Note: See Annex 5: Integrated Crop Management (ICM) Measures and Practices in Soy Production for further information on ICM.

5.4.1 A plan for ICM is documented and implemented which addresses the use of preventive measures including rotation of active ingredients, biological and other non-chemical or selective chemical controls.

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.

- 5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.
- 5.4.3 Use of phytosanitary 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.
- 5.4.4 Records of monitoring of pests, diseases, weeds and natural predators are maintained.

5.5 All application of agrochemicals² 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 the application equipment used;
- e) weather conditions during application.
- 5.5.2 Containers are properly stored, washed and disposed of; waste and residual agrochemicals are disposed in an environmentally appropriate way.
- 5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.
- 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).

5.6 Agrochemicals listed in the Stockholm and Rotterdam Conventions are not used.

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)

² Note: Agrochemicals refers to all chemicals used including fertilizers and pesticides



5.6 1 There is no use of agrochemicals listed in the Stockholm and Rotterdam Conventions.

5.7 The use of biological control agents is documented, monitored and controlled in accordance with national laws and internationally accepted scientific protocols.

- 5.7.1 There is information about requirements for use of biological control agents.
- 5.7.2 Records are kept that demonstrate compliance with national laws, of all use of biological control agents.

5.8 Systematic measures are planned and implemented to monitor, control and minimize the spread of invasive introduced species and new pests.

- 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.
- 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.

5.9 Appropriate measures are implemented to prevent the drift of agrochemicals to neighbouring areas.

- 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.
- 5.9.2 Records of weather conditions (wind speed and direction, temperature and relative humidity) during spraying operations are maintained.
- 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, rivers, streams, lagoons, springs, lakes, reservoirs and ditches.

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 neighboring areas.

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: Guidance

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

- i) auditors, evaluating compliance against the RTRS Standard for Responsible Soy Production Version 1.0
- ii) soy growers using the RTRS Standard for Responsible Soy Production Version 1.0 to implement good practice, and achieve certification.
- iii) Group managers using the RTRS Standard for Responsible Soy Production Version 1.0 to achieve certification of a group of soy growers.

Criterion	Guidance
1.1	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.
	Legal compliance should be verified through:
	 checking publicly available data on compliance where available;
	 interviews with staff and stakeholders; and
	field observations
	Guidance for Producers and Auditors:
	In order to check the producers compliance with environmental legal requirements, the auditor will need to check:
	a) If the farmer has a Rural Environmental License.
	b) If the farmer has not an environmental License, then he/she must have a license and / or permit issued by the competent authority. For Example CAR or LAU issued by the Secretary of Environment, SEMA, in Mato Grosso State.
	c) If the farmer does not have the environmental License or the license and/or permit issued by competent authority, then the farmer must have already requested such permits.
	Applicable Laws:
	a)Consolidation of Labor Laws (CLT – Consolidação das Leis do Trabalho)
	b) Forestry Code (Law 4771, 1965) – Regulatory Standards
	c) See Annex 6: Guide for Applicable Laws in Brazil, with list of websites of applicable laws.
	Guideline for Auditors: Legal compliance must be verified by:
	- Checking documents in the property.
	- Checking publicly available data on compliance, if any.
	- Interviews with employees and stakeholders, and field observations.



Criterion	Guidance
1.2	Guideline for Producers and Auditors:
	Acceptable evidence of legal use rights to land and appropriate methods of proving such rights: deeds, rural property identification, lease contract, court order.
	When the owner does not have a deed or ownership identification and the property is subject to litigation, the property will only be certified after the conclusion of any judicial process related to the deed or to land ownership rights or when there is a ruling from a judge.
	Should there be a deed and a court injunction by a judge, the latter shall prevail.
	Should there be more than one deed or ownership identification for the same property under formal litigation, if there is no ruling from a judge, such property shall not be subject to certification.
	Guidance: Sharecropper and rental agreements
	A. A property that is being rented or under a sharecropper regime must comply with the RTRS criteria.
	B. When part of a property is leased or under a sharecropper agreement, it is the tenant's responsibility to include the commitment from the owner to regularize the situation in the rental agreement, as per Principles 4 and 5.
	Land use rights of traditional land users are considered in Criterion 3.2, which should be cross-referenced with this criterion.
1.3	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.
	Indicators of continuous improvement shall be collected by the producer himself (the effectiveness of the number of indicators submitted shall be analyzed by the auditor, having at least one indicator for each principle).
	E.g Principle 4: The number of APPs (Permanent Preservation Areas) restored every year is increasing until it reaches the legal requirements.
	Guideline for Producers and Auditors:
	For group certification, monitoring at group level must be applied where it is considered appropriate.
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.
2.1	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).
	2.1.1-2.1.3 Personnel should be free to leave their work place after their hours of work have been completed, and be free to terminate their work contract once they have given employment provided that they give reasonable notice.
	Reference: ILO Convention 29 on Forced Labor and 105 on Abolition of Forced Labor.
	2.1.4-2.1.5 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 labor.
	Reference: ILO Convention 138 on Minimum Age and 182 on Worst Forms of Child Labor.



Criterion	Guidance
	Minors (Ages between 16 and 18, incomplete) can be hired for urban and rural activities provided that:
	-They are enabled to attend basic schooling;
	-No habitual overtime is done by them;
	-They receive equal remuneration as adults;
	-They do not work during night shifts;
	-They do not work under hazardous, unsafe, unhealthy or hard conditions
	Locations or services classified as hazardous or unhealthy derive from the principle of overall protection of children and minors. Workers older than 18 shall not be within the scope of this indicator.
	Technical or clerical work is allowed, provided it is done outside areas considered as hazardous for health and safety.
	This prohibition shall be eliminated by means of technical advice, signed by a professional duly certified in safety and health at the workplace, who should prove non-exposure to hazards that might jeopardize the health and safety of adolescents. Such advice shall be submitted to the decentralized unit of the Ministry of Labor of the relevant district.
	Whenever there is controversy over the effective protection of adolescents involved in the activities mentioned in such advice, this shall be analyzed by the official Labor Auditor, who shall consider the corresponding legal measures.
	Reference: ILO Convention 138 on Minimum Age, 182 on Worst Forms of Child Labor and Law 5889/73.
	2.1.6-2.1.7 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.
	Divergence in salary is not considered discriminatory when the company has a policy, which is fully known to the employees and that specifies different pay scales for different levels of qualifications, length of experience etc.
	Guidance for auditors: Documented evidence of relevant personal data of workers must be verified (e.g. sex and date of birth).
	Reference: ILO Convention 111 on Discrimination and ILO Convention 100 on Equal Remuneration, definition of the Public Ministry of Labor. See in the glossary definition of "Discrimination"
	The criteria 2.1 also applies to migrant, seasonal or other contract labor.
2.2	'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.
	Guideline for Producers and Auditors:
	Requirements of indicator 2.2.1 are also recommended for small producers/family producers, but are not mandatory.
	The expression "Workers indirectly employed on the farm" refers to employees of service providers who carry out services directly related to the production process, for example: Purchases of inputs/seeds/diesel oil/parts/pesticides; Land preparation; Sowing; Crop treatment (seed immunization; aerial and land spraying); Harvest.
	In those countries where there are no requirements for formal labor agreements between worker and employer, alternative documented evidence of a labor



Criterion	Guidance
	relationship must be provided (e.g. Registration of employees with social security / employment agency)
	* CLT (Consolidation of Labor Laws) permits tacit agreements, yet, registration in the CTPS (Employment Record Card) is considered necessary.
2.3	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.
	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.
	Guideline for Producers and Auditors:
	2.3.3. Immediate measures are adopted for prohibiting any operation where serious or imminent hazards are present that may jeopardize health and safety and for the appropriate evacuation from the property.
	2.3.4 whenever applicable, activities must be carried out by duly trained personnel.
	2.3.5 Employers who receive IPE (Individual Protection Equipment) shall sign a term of reception and a commitment of use of such equipment. A record of these documents shall be kept.
	Guidance for all the criteria: producers must be in compliance with regulation NR31
	2.3.6 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.
	It is not mandatory for small producers (see glossary) to have manuals and written procedures, but they must prove their awareness of and compliance with applicable safety procedures.
2.4	2.4.1 Reference: ILO Convention 87 on Freedom of Association and Protection of the Right to Organize.
	2.4.3 Reference: ILO Convention 98 on Right to Organize and Collective Bargaining.
2.5	2.5 See Glossary for 'definition of <i>Workers indirectly employed on the farm</i> '.2.5.5 and 2.5.6 Reference: ILO Convention 1 on Hours of Work.
	Guidance for auditors
	2.5.1 Minimum wage is defined by labor-union agreements or, in case there are no such agreements, by the national minimum wage in force.
	Guidance: 2.5.3 the work period in Brazil is 44 hours per week. Weekly overtime shall not exceed 12 hours and it must be eventual overtime.
	For services directly related to the production process, see indicator 2.2
3.1	3.1.1 The communication requirements must be adequate to identify any disputes with traditional land users as referred to in Criterion 3.2.
	In the case of small farms documented evidence is not required and is substituted by verbal evidence.
	It is important to include interviews with members of the community to evaluate the existence of the communication channels and their appropriateness.
	3.1.1 Guideline for Producers and Auditors:
	Examples of documented evidence: Information plates/signboards with telephone number of the farm or of persons responsible for receiving or submitting claims or via the local rural labor union.



Criterion	Guidance
	The farm notifies the rural workers union on the name of contact person and his/her telephone number for eventual claims.
	3.1.2 Communication channels need to use local languages and appropriate mediums (e.g. the internet is not an appropriate mechanism for communication with communities that have no access to the internet).
	3.1.3 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 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.
3.2	3.2.1 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 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.
	3.2.1 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
	 reach a solution to resolve possible conflicting land uses and/or agree proposals for compensation.
	3.2.1 Where a legal judgment has been reached the terms of this judgment will be respected. If there is litigation in process, while this is <i>sub judice</i> (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.
	Case 1 A Producer with a deed / property identification with a formal claim of traditional communities over land use rights. Should there be a judicial injunction in favor of the community, the property shall not be certified until the final ruling of the judge.
	Case 2 A Producer with a deed / property identification with a formal claim of traditional communities over land use rights. Should there NOT be a judicial injunction in favor of the community, the property can be certified until the final ruling of the judge.
	Local communities may be represented by legitimate representatives in communications or negotiations or in audit situations. Where this is the case, Producers or Auditors are not exempted from the responsibility of communicating with other members of the community.
3.3	3.3.1 and 3.3.3 Guidance for auditors:
	Interviews with members of local communities and their representatives are important in verifying compliance with this criterion. These interviews shall be randomized and non-targeted



Criterion	Guidance
	3.3.2 Guidance for Producers and Auditors:
	In the case of Group Certification, documented evidence of complaints and grievances can be kept at group level.
	3.3.3 Guidance for indicator :Promptness: Submittal shall be made within a 30-day period.
3.4	3.4.1 Evidence may include records kept of the proportion of local employees.
	3.4.3 This refers to goods and services which are central to the production activities.
	3.4.3 Evidence includes quotations for services from local suppliers.
	3.4.1-3.4.3 Guidance for auditors and farmers:
	Whenever there is no population around the farm, local population refers to the population in the nearest municipal district.
4.1	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 these are followed. Where not, the auditors must verify that an adequate process has been followed.
	4.1.1. The environmental state agency is formally consulted on the need or lack of need for a social and environmental assessment in the case of the implementation of new infrastructures.
	4.1.2. The assessment required in 4.1 is undertaken by a professional expert, adequately trained for this task, whose qualifications are accepted by the relevant environmental state agency (OEMA).
	Large infrastructures include: on-farm silos, storage areas, structures, roads, bridges and dams. Structural constructions subject to environmental impact assessments are defined by resolution of the CONAMA (Conselho Nacional do Meio Ambiente).
	Reference: CONAMA Resolution 001, January 23, 1986. This resolution defines the activities that are subject to the undertaking of the Environmental Impact Assessment (EIA) and the corresponding Environmental Impact Report (RIMA – Relatório de Impacto Ambiental). In the above mentioned resolution, the basic general guidelines for the undertaking of the EIA can be consulted, as well as the minimum technical activities that must be undertaken for the environmental diagnosis of the area, forecast and analysis of environmental impact, definition of mitigating measures and follow-up and monitoring activities.
4.2	4.2.5 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.
	4.2.4 There is appropriate waste disposal (when there is no reutilization / recycling) and waste storage areas on the farm and their location as per applicable laws (in Principle 5, agrochemical containers and sprayer cleaning are mentioned).
	Recycling programs:
	The INPEV is the National Institute for Processing Empty Containers, it is a non- profit organization that represents the Crop Protection Industry in their responsibility to provide proper disposal for the empty containers of crop protection products.Website: <u>http://www.inpev.org.br/</u>
	4.2.5 it is necessary to describe the type, quantity and destination of waste.
	Reference: Law 12.305/2010 (Lei Ordinaria), National Policy on Solid Waste
	Note for Producers and Auditors:



Criterion	Guidance
	1. The use and disposal of agrochemicals is discussed in Principle 5.
	2.In the case of item 4.2.5 for small producers and family producers, the waste management plan can be made in groups.
	3. Waste management plan activities must be consistent with the types and quantities of waste that are generated.
4.3	4.3.1: Records must be kept. Whenever there is outsourcing, records shall be kept of the hours-machine used. All Producers must have a record.
	The number of machine-hours is an indicator that can be applied on farms of all dimensions.
	On farms which produce multiple crops, an estimate of the use of fossil fuel for soy production should be calculated.
	Limitations of GHG Inventory: "Activities related to soy production" include: Soil preparation, sowing, on-farm transportation (in the property), application and harvest. Including all the activities undertaken by outsourced parties.
	The use of agricultural techniques of conservation (zero tillage) must be acknowledged as means for reducing GHG emissions.
	Data gathered on GHG may be used for creating standard indicators per region, to be used in the auditor's assessment.
	4.3.2 There may be annual fluctuations in the intensity of fossil fuel use, due to natural yield variations. The trend should be monitored over a period of several years.
	E.g.: 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.
	4.3.4 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.
	Guideline for Producers and Auditors:
	-Other issues that are relevant to GHG emissions are covered in other principles, including:
	-Use of fertilizers, included in Criterion 5.5.
	-Conservation of carbon levels in soil: Conservation and monitoring of carbon contents in soil are discussed in Criterion 5.3.
	-Emissions derived from changes in the use of land are identified, positive or negative.
4.4	4.4.1.2 c) 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.
	4.4.1.2 c) Option 1: Maps used for this purpose have been subject to adequate and effective public consultation.
	4.4.1.2 c) Option 2: HCVA assessment should be undertaken using the existing guidance e.g. HCV Toolkit. The assessors should be recognized by HCV network, by RSPO or they may submit for RTRS approval4.4.2 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.
	Data capture requirements for future Payment for Environmental Services (PES) schemes: The date of registration of the producer for certification 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 and the area and type of vegetation of voluntary reserves are added to an RTRS register. When an RTRS PES scheme is



Criterion	Guidance
	developed, payments are available retroactively to the date of registration for certification to all producers on the register.
	Definition of native forest:
	Areas of native vegetation of 1 hectare or more, with 35% of canopy cover, where some trees (at least 10 native trees) reach 10 m in height (or are able to reach these thresholds under local conditions (i.e. with that soil and weather combination).
	This criteria applies to native vegetation in all biomes.
	4.4.2. follow guideline of indicator 1.2.1 on the right of use of land, in case of litigation.
4.5	4.5.1 The map and plan should be appropriate to the size of the operation.
	In group certification the group manager can maintain the map centrally and can be responsible for maintaining and developing a plan for conservation.
	4.5.3: Hunting is forbidden in Brazil. Reference: Law 5197
5.1	5.1.1 Farms have a mapping of their water resources and of water resources actually used on them;
	5.1.1 Farms keep a record of the volume of water used in their production operations throughout the year;
	5.1.1 Farms must not pour waste waters, industrial waters or household waters into natural watercourses.
	There is monitoring of water during soy growing.
	Guideline for Producers and Auditors on 5.1.2: Where appropriate, there could be monitoring of parameters such as pH, temperature, dissolved oxygen, turbidity and electrical conductivity. Monitoring should be considered at watershed level. Kits of basic analyses are available for measuring parameters such as pH, dissolved oxygen, nitrogen and phosphorous.
	5.1.2 Where there are wells these should be used to monitor ground water.
	5.1.4 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.
5.2	5.2.2: At least % 17 of the riparian vegetation must be restored within 5 years. If riparian vegetation (APPs) is degraded, the owner signs a legal commitment to restore riparian vegetation from competent authority (for example TAC/PRAD Environmental Licensing) with the state agency and this legal commitment is inspected on an annual basis. If the owner has not restored the vegetation, his/her environmental license shall be removed and, consequently, he/she shall lose the certification.
	The producer should demonstrate 17% of restoration of riparian vegetation within 5 years period untill complete restoration or present the legal commitment to restore riparian vegetation (for example PRAD).
	5.2.2: For small producers / family producers,10% of riparian vegetation must be restored within 5 years.
	Riparian vegetation is:
	Any vegetation along watercourses at their highest level, whose minimum width shall be:
	- 30 m for watercourses with less than 10 m width;
	- 50 m for watercourses with 10 to 50 m width;
	- 100m for watercourses with 50 to 200m width;
	- Headwaters, even if intermittent, with a 50 m width radium;



Criterion	Guidance
	- Around natural or artificial lakes and lagoons, 100 m width.
5.3	Techniques for maintaining soil quality could include:
	- Crop Rotation
	- Balanced Fertilization
	- Maintenance of crop residues on soil surface.
	- Conservation agriculture
	Techniques for preventing soil erosion could include:
	- Localization and conservation of on-farm roads.
	- Management of sloping areas (above 5%)
	- Maintenance of permanent soil cover (it is desirable having measurement of surface residues - quality and quantity, 30 days before the main sowing date with a tolerance of +/- 10 days)
1	-Water infiltration rate or evidence of non-stagnation of water after rains
	Analyses of organic matter, total nitrogen, available phosphorous, pH and measurement of surface residues (quality and quantity) and soil coverage (in %) are undertaken.
5.4	Surface and ground water includes lakes, rivers, lagoons, marshes, swamps, ground water sources, aquifers/water tables.
	5.4.1 Small producers are not required to comply with this indicator.
	5.4.2 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.
	5.4.2 The level of potential harmfulness of a phytosanitary product can be determined from its toxicological class for the purposes of this criterion.
	5.4.2 Where targets are not met, documented evidence is presented to justify this.
	5.4.4 Both local and national legislation should be taken into account.
	Guidance for auditors:
	Take into account scale and context especially for small farms – this relates to both the level of ICM expected and the records maintained.
5.5	5.5.1 Records are maintained for at least 5 years. This does not apply to records from years prior to certification.
	Guidance for producers and auditors for indicator 5.5.1
	Additional information required:
	a) Supply details of brand name and active ingredient of the product.
	b) Match volume purchased, volume applied and recommended dose on the area of sown soy.
	c) Purchase documents (receipt/invoice) are submitted.
	5.5.2 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.
	Guideline for Producers and Auditors on 5.5.2:
	In compliance with Law 9974/2000, should there be no reception facilities, resellers shall be responsible for receiving empty containers (relevant regulatory standards can be consulted in the Ministry of Labor).
	5.5.2 Containers are stored as per regulations NR31 and NR9843 and guidance for manufacturers. Containers are washed using the triple rinsing principles. Water



Criterion	Guidance
	must be added to the spraying broth and containers are sent to reception facilities belonging to the INPEV (Instituto Nacional de Processamento de Embalagens). The residual spraying broth must be diluted 10 times and applied in fallow areas, trails or banksides distant from watercourses and areas with high human traffic.
	5.5.3 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.
	5.5.3 Transportation and storage of agrochemicals as per regulation NR31 and all the precaution procedures applicable to health, safety and the environment are implemented following the product and manufacturer's label (FISPQ – Information Sheet of Chemical Products- and the product information sheet for emergencies).
	5.5.4 Follow the label instructions on re-entry (Instruction by ANVISA – Agência Nacional de Vigilância Sanitária)
5.6	Reference for 5.6:
	Rotterdam Convention:
	http://www.pic.int/home.php?type=t&id=29&sid=30
	Stockholm Convention on Persistent Organic Pollutants (POPs)
	http://chm.pops.int/Convention/ThePOPs/tabid/673/language/en-US/Default.aspx
	Also, for the Brazilian National Interpretation it was decided that Endosulfan must not be used from June 2013 and the use of Carbofuran and Paraquat will be reviewed in June 2013
5.7	5.7.1 Biological control is used for both organic and conventional production.
	The law that regulates the use of biological control in organic production is "Instrução Normativa 64 de 18.12.2008 substâncias e práticas permitidas para manejo e controle de pragas e doenças nos vegetais em sistemas orgânicos de produção" and the Decree nº 6.913, 23 July ,2009, that creates a new group of phytosanitary products for organic production
	The Laws that regulates the use of biological control in conventional production is National Law 7802/89 (Agrotoxics' law) that includes biological control
	For both types of production, an authorization must be requested to OAC or OCS,
	OAC: Organismo de Avaliação da Conformidade.
	OCS: Organização de Controle Social.
	5.7.2 Records of use of biological control agents should be used as evidence of compliance with this criterion.
5.8	5.8.2 The Producer should communicate to the Departments of Agriculture of the municipalities and with EMBRAPA any new pest or invasive species and major outbreak of existing pests.
	Producers have a procedure that tests monitoring and communications to the relevant authorities.



5.9	Guideline for Producers and Auditors:
	See glossary for definition of watercourses
	5.9.1 Factors that influence drift include ,among others, wind speed and direction, temperature, equipment utilized and topography,
	5.9.1. The Best Practices of application comply with label instructions of products.
	Guideline for Producers and Auditors: Irrespective of scale.
	5.9.1 and 5.9.2 For group certification of small farms - group managers may provide documented procedures and maintain records of weather conditions.
	5.9.2: In the Management Plan of the ICM(Ministério da Indústria e do Comércio) there must be a description of procedures for aerial spraying as per IN-02 (January 3, 2008).
	- Aerial spraying of agro-toxics shall be done on areas located at a minimum distance of:
	- 500 m from villages, cities, towns, neighborhoods, water springs for the supply of populations, and,
	- 250 m from water springs, isolated households and herds of animals.
	Reference: SISLEGIS website, Regulation N° 2, January 3, 2008
	http://extranet.agricultura.gov.br/sislegis- consulta/consultarLegislacao.do?operacao=visualizar&id=18434
	5.9.4: in Brazil, WHO classes Ia, Ib and II correspond to toxicological classification I & II. (See Annex 8: WHO classes Ia, Ib and II)
	Factors that have an impact on drift are, among other, wind speed and direction, temperature inversion, temperature at the time of application, equipment used and topography.
	5.9.5: Does not apply 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 recommendations.
	Communications can be made according to local possibilities (radio, SMS, fireworks).
5.10	5.10.1 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 Guideline for Producers and Auditors:
	1. In situations where there is interference with the production systems of adjacent areas and where no consensus has been reached among parties, claimants may:
	a. resort to official procedures (or class procedures, e.g. unions) for conflict settlement;
	b. send a formal claim to the certifying body.
	Reference for GM-Soy sowing:
	Decree 5591, November 22, 2005, that regulates provisions to Law 11105, March 24, 2005.
5.11	5.11.1 Reference: Law 10711 (August 5, 2003)
	Definition of "known legal quality sources": Invoices/receipts are required



5.11.2 Reference: Law 9456 (April 25, 1997).
Exception for small producers, as defined by the article 10 of the Law 9456, that simultaneously meet the following requirements:
I-explores parcel of land as its owner, leaseholder, tenant or partner; II - keeps up to two permanent employees, being admitted the eventual help of others, when the seasonal nature of farming requires; III - does not hold in any capacity, an area more than four modules determined according to law; IV - has at least eighty percent of annual gross income from the agricultural or extractive exploitation; and V - resides in the property or nearby urban or rural,

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Round Table on Responsible Soy Association

Annex 2: List of Acronyms

GM	Genetically Modified
HCV	High Conservation Value
HCVA	High Conservation Value Area
ICM	Integrated Crop Management
ILO	International Labor 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
SA8000	Social Accountability International (SAI) international standard on workers' rights, working conditions and management systems.
WHO	World Health Organization

Annex 3: Glossary of Terms

A method of controlling pests that relies on predation, parasitism, herbivores, or Biological Control other natural mechanisms, rather than agrochemicals. It could include the use of diseases to control plagues or weed, including BT (transgenic or similar), inoculation with fungi and bacteria that control weed and soil plagues and also the introduction of insects or nematode parasitoids (Note: do not consider inoculants of nitrogen fixation, this is not considered as a biological control). Criteria The 'content' level of a standard. Conditions that need to be met in order to achieve a Principle. The on-going process of improving performance through establishment of Continual Improvement objectives, the use of monitoring, audit findings and management reviews; analyzing information and implementing corrective and preventive actions. 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 hiring, remuneration, access to training, promotion, lay-offs or retirement. Endemic species A species which is found exclusively in a particular region or location and not found naturally anywhere else. The Equator A financial industry benchmark developed by private sector banks for determining, Principles 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. An assessment that determines the social and environmental impacts and risks The Equator Principles' Social (including labor, health, and safety) of a proposed project in its area of influence. It and is an adequate, accurate and objective evaluation and presentation of the issues, Environmental whether prepared by the producer, consultants or external experts. The assessment 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 for further details. Forest See Native forest. High High Conservation Value Areas are critical areas in a landscape which need to be Conservation appropriately managed in order to maintain or enhance High Conservation Values Value Areas (HCVs). There are six main types of HCV Area. Based on the definition originally developed by the Forest Stewardship Council for certification of forest ecosystems, but now increasingly expanded to apply to other credible assessments of other ecosystems. HCV1. Areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia). HCV2. Globally, regionally or nationally significant large landscape-level areas where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance. HCV3. Areas that are in or contain rare, threatened or endangered ecosystems. HCV4. Areas that provide basic ecosystem services in critical situations (e.g. watershed protection, erosion control). HCV5. Areas fundamental to meeting basic needs of local communities (e.g. subsistence, health). HCV6. Areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).



Indicators	The 'operational' level of a standard expressed in measurable statements which allow assessment of conformance.		
Indirectly employed	Workers indirectly employed on the farm refer in this standard to employees of service providers who carry out services directly related to the production process.		
workers	Further definition of those ' <i>services directly related to the production process</i> ' should be carried out by national interpretation processes.		
Integrated Crop Management	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 5 for further details.		
Local Communities	Groups of people and families legitimately living or working on or near to the property to be certified, or between properties in case of multiple or group certification, and influenced by or influencing the activities of the property.		
Native forest	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 in situ (ie. In that soil/climate combination)).		
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.		
Phytosanitary products	Agrochemicals used for controlling pests and weeds including herbicides, fungicides and pesticides.		
Principles	The 'intent' level of the standard, expressed in fundamental statements about a desired outcome.		
Sharecroppers	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.		
Small Producers	Law 4771 of the Forestry Code: Small rural properties or rural land ownership are those exploited by the personal labor of their owner and his/her family, with some eventual help from outsourced parties, whose area shall not exceed:		
	150 hectares when located in legal Amazonia and in Mato Grosso do Sul;		
	50 hectares when located in the North East;		
	30 hectares, in any other region of Brazil.		
Standard	Standards are documents containing technical specifications or other precise criteria which are used as rules, or guidelines and form the requirements to be met.		
Status	degree of conservation/degradation.		
Traditional land users	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.		
Watercourses	Any headwaters, streams, rivers, lakes, lagoons and dams.		
Wetlands	Areas of marsh, fen, peatland, or water - whether natural or artificial, permanent or temporary- with water that is static or flowing, brackish or salt (Ramsar convention).		
Workers	Where used in this document 'workers' includes permanent, temporary and seasonal workers and sharecroppers.		
Workers indirectly employed on the farm	Employees of service providers who carry out services directly related to the production process		



Zoning The classification of allowable or preferred land use.

Annex 4: RTRS Approach to Responsible Conversion

There will be two phases:

- For the short term, an interim approach will be used. This is set out in criterion 4.4 of the RTRS Standard for Responsible Soy Production Version 1.0.
- For the medium term, the RTRS will develop official RTRS approved macro-scale maps which will provide biodiversity information and a system which will orient responsible expansion of RTRS soy. This work will be carried out as described below and should be completed before 31st December 2012 for Argentina, Brazil, Bolivia and Paraguay.

RTRS-approved maps and System

1. Summary

National level macro-scale maps will be created through a multi-stakeholder process, which will provide guidance on responsible expansion. These maps will indicate four categories of area:

- Category I Areas = areas which are critical for biodiversity (hotspots), where stakeholders agree there should not be any conversion of native vegetation to responsible soy production.
- Category II Areas = areas with high importance for biodiversity where expansion of soy is only
 carried out after an HCVA assessment which identifies areas for conservation and areas where
 expansion can occur.
- Category III Areas = areas where existing legislation is adequate to control responsible expansion (usually areas with importance for agriculture and lower conservation importance).
- Category IV Areas = areas which are already used for agriculture and where there is no remaining native vegetation except legal reserves and so no further expansion is occurring.

Guidance will also be produced on how to undertake the HCVA assessments required for expansion in Category II areas.

2. Development of generic global methodology

2.1 RTRS will convene an international multi-stakeholder group to develop the generic global methodology to be used to develop the national macro-scale maps.

- The group should include representatives of each RTRS constituency and country.
 - i. Note: the group should aim to include 1 person per constituency from each of Argentina, Brazil, Bolivia and Paraguay plus at least 3 representatives (1 representative per constituency) from other main soy producing countries.
- The group should include technical experts.
- The group should work by consensus.

2.2 The group will review existing methodologies and produce a methodology for the RTRS which addresses:

- The minimum criteria which need to be considered in developing national maps.
- The important data layers which should be included and other optional layers.
- Possible sources of data which should be used.
- Develop criteria on how to assign different categories.
- Any other necessary issues.

2.3 The group will review existing methodologies for undertaking on-farm HCVA assessments required for farms in Category II areas and develop generic guidance for RTRS.

3. Production of national macro-scale maps

3.1 Establish a national multi-stakeholder group in each country (as a sub-group of the RTRS National Technical Group) to oversee the map development process. The group should include both representation of each RTRS constituency and technical expertise.

Note: for Argentina, Brazil, Bolivia and Paraguay this group will include the 3 national members of the global multi-stakeholder group.



3.2 The national multi-stakeholder group interprets the global methodology and agrees on the work to be undertaken at a national level including:

- National interpretation of criteria to be used.
- Sources of information and data to be used including all official maps, conservation maps etc which provide consistent information including sub-national maps.
- Definitions of important areas for conservation and for agricultural expansion in the country.
- Any additional information required.
- Agreement on criteria for assignment of categories.
- Any other issues.

3.3 A technical group is assigned to undertake the mapping in line with the national level guidance developed by the multi-stakeholder group.

3.4 The multi-stakeholder group reviews the maps and agrees on the mapping of the categories.

3.5 The multi-stakeholder group reviews the generic methodology for on-farm HCVA assessments for expansion in Category II areas and produces a national version.

3.6 The national map and methodology, once agreed by the national multi-stakeholder group, is submitted to the RTRS National Technical Group for approval and once approved is submitted to RTRS for endorsement.

4. Implementation

Once national maps and methodologies are endorsed they replace any interim approach to managing responsible expansion.

Annex 5: Integrated Crop Management (ICM) Measures and Practices in Soy Production

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 (for example hedges, riparian vegetation, etc.)			
2. Technical measures for	2a. Sowing date / timing			
cultivation	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	3a. Use of weather information to determine applications			
and advise	3b. Use of pest traps			
	3c. Use of decision support systems or manuals			
	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	5a. Rotation of active ingredient			
and application techniques	5b. Application of phytosanitary products only when the economical damage threshold is exceeded			
	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			



Measure	Practices
	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 unfavorable meteorological condition (high wind speed, etc.) occurs.

Annex 6: Guide for Applicable Laws in Brazil

1. Fauna Protection

Law 5197/67, for the protection of fauna and offers other measures. Further information: <u>http://www.planalto.gov.br/ccivil/LEIS/L5197.htm</u>

2. Forests

Law 4771/65, implements the New Forestry Code

Provisional Measure 2166-67/01 modifies articles 1, 4, 14, 16 & 44, and adds provisions to Law 4771, September 15, 1965, that sets up the Forestry Code, and modifies article 10 in Law 9393, September 19, 1996, that rules over the Rural Territorial Property Tax (ITS – Imposto Territorial Rural) and offers other measures.

Further information: http://www.planalto.gov.br/ccivil/leis/L4771.htm

3. Environmental Licensing

Conama Resolution 237/97, provides for environmental licensing (http://www.mma.gov.br/port/conama/legi.cfm)

The SIMLAM (*Sistema Integrado de Monitoramento e Licenciamento Ambiental*) supplies access to the SLAPR (Sistema de Licenciamento Ambiental em Propriedades Rurais) database via Internet (<u>http://monitoramento.sema.mt.gov.br/simlam/</u>)

4. Fires

Decree 2661/98, provides for the only paragraph in article 27 of Law 4771, September 15, 1965 (Forestry Code), by setting up precaution standards related to the use of fire in agricultural, livestock and forestry activities, and offers other measures.

5. Water Resources

Law 9984/00 provides for the creation of the National Agency of Water (*ANA – Agência Nacional das Águas*), a federal agency for the implementation of the National Policy of Water Resources and the coordination of the National System of Water Resources Management and offers other measures.

Further information in: http://www.ana.gov.br/

6. Agricultural Techniques

Embrapa Soja, offers solutions that contribute to the development of soy agribusiness with sustainability.

Further information in: http://www.cnpso.embrapa.br

7. Conservation Units

Decree 1922/96 provides for the acknowledgement of Private Reserves of the Natural Heritage and offers other measures.

Conama Resolution 13/90, provides for the area around conservation units. Further information in: http://www.mma.gov.br/conama/

8. Environmental Impact Assesment

Further information about EIA / RIMA (Relatório de Impacto Ambiental) in http://www.mma.gov.br/port/conama/res/res97/res23797.html

9. National Policy on Solid Waste

Law 12.305/2010 provides for National Policy on Solid Waste.



Annex 7: Progressive entry level

1. Introduction

In order to involved a broader range of producers into the P&C certification scheme, RTRS developed a progressive entry level that includes a continuous improvement approach.

All the indicators of the P&C were weighted to categorize them by their relevance, having into account: the opinion of the three constituencies of RTRS, other sustainability certification schemes approach to similar issues, analysis of evidence gathered during the field tests period, small farmers inclusion, international legislation, to determine a realistic, credible and pragmatic approach of the RTRS scheme.

2. Classification of the indicators within each criteria

The RTRS has classified the indicators in 3 different categories: See content of table below point 6

Category
Inmediate Compliance Indicators
Short – Term Compliance Indicators
Mid- Term Compliance Indicators

3. Progressive approach

- The first year of the initial certification assessment: A producer will be granted with a positive certification decision when he meets all the indicators that were classified in this document as "immediate compliance indicators" and additionally 1 indicator of the total short term compliance indicators or mid-term compliance indicators. This represents approximately a compliance with the 62% of the RTRS standard.
- After one year from the date of the initial certification assessment (first annual surveillance assessment) the producer shall meet in addition all the short term compliance indicators. This represents approximately a compliance with the 86% of the RTRS standard.
- After 3 years from the date of the initial certification assessment: the producer shall comply with 100% of the indicators (immediate + mid-term + short term compliance indicators). The compliance of all the indicators will be assessed against the classification of majors and minors stated in the accreditation and verification system.

60 immediate compliance indicators	1 Short or mid term indicators	62% of t inc	he total of the licators		
60 immediate compliance indicators	26 short term	indicators	86% of ir	the total of the idicators	
60 immediate compliance indicators	26 short term	indicators	12 mid term indic	cators	100% of the total of the indicators

Preparation period

prior to the initial certification

assessment



1 year after 3 years after Initial Certification Initial certification

4. National Interpretation of the Classification.

The current approach was considered based on the RTRS Principles and Criteria Indicators and the Brazilian legislation. Where Brazilian legislation requires the compliance with one indicator that under the RTRS approach is considered a short or mid-term compliance indicator, this indicator is categorized as an immediate compliance indicator in Brazil.

The National Technical Group of Brazil found the following indicators as legal obligations, therefore those became in Immediate Compliance Indicators

Indicators	National Legislation Reference
2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written contract, in a language that they can understand.	Brazilian Consolidation of Labor Laws.
2.3.1 Producers and their employees demonstrate an awareness and understanding of health and safety matters.	NR 31
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.	Brazilian Consolidation of Labor Laws.
2.5.5 Working hours per worker are recorded by the employer.	Brazilian Consolidation of Labor Laws.
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.	Brazilian Consolidation of Labor Laws.
5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.	NR 31
5.11.1 All purchased seed must come from known legal quality sources.	Law 10711 (August 5, 2003)
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.	Law 9456 (April 25, 1997).
With exception for small producers according to the definition in article 10 of the Law 9456	

5. Global Classification

60 Indicators
26 Indicators
12 Indicators

Immediate Compliance Indicators

Short-term Compliance indicators (1 year)

Mid-term minor Compliance Indicators (3 years)

Not applicable



RTRS
Round Table on Responsible Soy Association

Principle	Criteria	Indicator	Weight
	1.1 There is awareness of, and compliance with, all applicable local and national	1.1.1 Awareness of responsibilities, according to applicable laws can be demonstrated.	
	legislation.	1.1.2 Applicable laws are being complied with.	
	1.2 Legal use rights to the land 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.).	
rinciple 1: Legal Compliance and Good Business Practice		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.	
	1.3 There is continual improvement with respect to the requirements of this standard.	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.	
		1.3.3 The results of monitoring are reviewed and appropriate action is planned and taken when necessary to ensure continual improvement.	
		2.1 1 No forced, compulsory, bonded, trafficked or otherwise involuntary labor is used at any stage of production.	
Labor Conditions	2.1 Child labor, forced labor, discrimination and harassment are not engaged in or supported.	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.	
Principle 2: Responsible		2.1.3 Spouses and children of contracted workers are not obliged to work on the farm.	
		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.	



	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	
	2.1.6 There is no engagement in, support for, or tolerance of any form of discrimination.	
	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.	
	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.	
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.	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.	
2.3 A safe and healthy workplace is provided for all workers.	2.3.1 Producers and their employees demonstrate an 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 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. 2.3.7 In case of accidents or illness, access to first aid and medical assistance is provided without delay. 2.4.1 There is fneedom of association and the right to collective bargaining for all workers. 2.4.2 The effective functioning of such organizations of their members in the workplace on request. 2.4.3 All workers have the right to perform collective bargaining. 2.4.4 Workers are not hindered from interacting with external parties outside working hours (e.g. NBOs, trade unions, labor inspectors, agricultural extension workers, certification bodies).			
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		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).	



	2.5.1 Gross wages that comply with national legislation and sector agreements are paid at least monthly to workers.	
	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.	
	2.5.3 Normal weekly working hours do not exceed 48 hours. Weekly overtime hours do not exceed 12 hours.	
	2.5.4 If additional overtime hours are necessary the following conditions are met:	
2.5 Remuneration at least equal to national legislation	a) It only occurs for limited periods of time (e.g. peak harvest, planting).	
received by all workers directly or indirectly employed on the farm.	b) Where there is a trade union or representative organization the overtime conditions are negotiated and agreed with that organization.	
	c) 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.	
	2.5.5 Working hours per worker are recorded by the employer.	
	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.	



		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.	
		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.	
		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.	
		3.1.1 Documented evidence of communication channels and dialogue is available.	
	3.1 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.	3.1.2 The channels adequately enable communication between the producer and the community.	
		3.1.3 The communication channels have been made known to the local communities.	
Relations		3.2.1 In the case of disputed use rights, a comprehensive, participatory and documented community rights assessment is carried out.	
sponsible Community	and users, conflicting land users, conflicting land users are avoided or resolved.	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.	
Principle 3: Re	3.3 A mechanism for resolving complaints and grievances is implemented and available to local communities and traditional land users.	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 are maintained.	
		3.3.3 Any complaints and grievances received are dealt with in a timely manner.	
		3.4.1 Employment opportunities are made known locally.	
	3.4 Fair opportunities for employment 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.	
		3.4.3 Opportunities for supply of goods and services are offered to the local population.	
		4.1.1 A social and environmental assessment is carried out prior to the establishment of large or high risk new infrastructure.	
	4.1 On and off site social and environmental impacts of large or high risk new infrastructure have been assessed and	4.1.2 The assessment is carried out by someone who is adequately trained and experienced for this task.	
	appropriate measures taken to minimize and mitigate any negative impacts.	4.1.3 The assessment is carried out in a comprehensive and transparent manner.	
		4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are documented and are being implemented.	
		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:	
ţţ		a) Where there is a legal obligation to burn as a sanitary measure;	
Responsibil	4.2 Pollution is minimized and production waste is managed responsibly.	b) Where it is used for generation of energy including charcoal production and for drying crops;	
Environmental		c) Where only small-caliber residual vegetation from land clearing remains after all useable material has been removed for other uses.	
Principle 4: E		4.2.2 There is adequate storage and disposal of fuel, batteries, tires, lubricants, sewage and other waste.	



		4.2.3 There are facilities to prevent spills of oil and other pollutants.4.2.4 Re-use and recycling are utilized wherever possible.	
		4.2.5 There is a residue management plan including all areas of the property.	
	4.3 Efforts are made to reduce emissions and increase sequestration of Greenhouse Gases (GHGs) on the farm.	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.	
		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.	
		4.3.3 Soil organic matter is monitored to quantify change in soil carbon and steps are taken to mitigate negative trends.	
		4.3.4 Opportunities for increasing carbon sequestration through restoration of native vegetation, forest plantations and other means are identified.	
		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:	
		4.4.1.1 It is in line with an RTRS-approved map and system (see Annex 4: RTRS Approach to Responsible Conversion)	
	4.4 Expansion of soy cultivation is responsible.	4.4.1.2 Where no RTRS- approved map and system is available:	
		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 (seeAnnex 3: Glossary of Terms).	



		b) There is no expansion in native forests (see Annex 3: Glossary of Terms)	
		c) In areas that are not native forest (see glossary), expansion into native habitat only occurs according to one of the following two options:	
		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.	
		Option 2. A High Conservation Value Area (HCVA) assessment is undertaken prior to clearing and there is no conversion of High Conservation Value Areas.	
		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.	
		4.5.1 There is a map of the farm which shows the native vegetation	
	4.5 On-farm biodiversity is maintained and safeguarded through the preservation of native vegetation.	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.	
Principle 5: Good Agricultural Practice	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.	



Round T	able on	Responsible	Soy	Association
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	5.1.2 There is monitoring, appropriate to scale, to demonstrate that the practices are effective.	
	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 and best practice guidance (where this exists), and for measurement of water utilization.	
	5.2.1 The location of all watercourses has been identified and mapped, including the status of the riparian vegetation.	
5.2 Natural vegetation areas around springs and along natural watercourses are maintained or re-established.	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.	
5.3 Soil quality is maintained	5.3.1 Knowledge of techniques to maintain soil quality (physical, chemical and biological) is demonstrated and these techniques are implemented.	
or improved and erosion is avoided by good management practices.	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.	
5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation of systematic, recognized Integrated Crop Management	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.	



	(ICM) techniques.	5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.	
		5.4.3 Use of phytosanitary 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.	
		5.4.4 Records of monitoring of, pests, diseases, weeds and natural predators are maintained.	
		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;	
5. au ai	5.5 All application of agrochemicals is documented and all handling, storage,	c) names of the persons that carried out the preparation of the products and field application;	
		d) identification of the application equipment used;	
	collection and disposal of chemical waste and empty containers, is monitored to	e) weather conditions during application.	
ensure compliance practice.	ensure compliance with good practice.	5.5.2 Containers are properly stored, washed and disposed of; Waste and residual agrochemicals are disposed in an environmentally appropriate way.	
		5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.	
		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).	
5.6 Agrochemicals listed in the Stockholm and Rotterdam Conventions are not used.	5.6 1 There is no use of agrochemicals listed in the Stockholm and Rotterdam Conventions.	
5.7 The use of biological control agents is documented, monitored and controlled in	5.7.1 There is information about requirements for use of biological control agents.	
accordance with national laws and internationally accepted scientific protocols.	5.7.2 Records are kept of all use of biological control agents that demonstrate compliance with national laws.	
5.8 Systematic measures are planned and implemented to monitor, control and minimize	5.8.1 Where there are institutional systems in place to identify and monitor invasive introduced species and new ones, or major outbreaks of existing pests, producers follow the requirements of these systems, to minimize their spread.	
introduced species 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.	
5.9 Appropriate measures are implemented to prevent the drift of agrochemicals to	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.	
neighboring areas.	5.9.2 Records of weather conditions (wind speed and direction, temperature and relative humidity) during spraying operations are maintained.	



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	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.	
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 neighboring areas.	
	5.11.1 All purchased seed must come from known legal quality sources.	
5.11 Origin of seeds is controlled to improve production and prevent introduction of new diseases.	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.	
	With exception for small producers that comply with the requirements stated in article 10 of the Law 9456.	



Annex 8: WHO Class IA, IB and II

This annex is related to indicator 5.9.4: There is no aerial application of pesticides in this WHO class IA, IB and II, within 500 meters of populated areas or water bodies.³

Туре	Use	Chemical name	Trade name	WHO
Н	DS	2,4 d	Dma, u46	11
I	СС	Cypermethrin	Arrivo, cymbush	Ш
I	СС	Dimethoate	Perfekthion, dimexion	11
Н	DS	Diquat	Reglone	11
I	СС	Endosulfan	Thiodan	11
I	ST	Fipronil	Standak, regent	11
Н	PE	Haloxyfop-methyl	Verdict	11
I	сс	Lambda- cyhalothrin	Karate zeon	11
I	СС	Methamidophos	Tamaron	IB
I	СС	Methomyl	Lannate	IB
Н	DS	Paraquat	Gramoxone	11
I	СС	Parathion methyl	Folidol	IA
I	СС	Permethrin	Pounce, talcord	11
F	СС	Propiconazole	Artea (+cyproconazole)	11
F	CC	Tetraconazole	Domark	11
Ι	CC	Thiodicarb	Larvin	11

³ Consider agrochemicals class IA, IB and II applicable for soy production only.

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Annex 9: Rotterdam and Stockholm Convention

1. Rotterdam Convention

Sustancia quimica	CAS No	
2,4,5-T e seus sais e ésteres	93-76-5	
Aldrin	309-00-2	
Binapacryl	485-31-4	
Captafol	2425-06-1	
Clordano	57-74-9	
Clordimeforme	6164-98-3	
Clorobenzilato	510-15-6	
DDT	50-29-3	
Dieldrin	60-57-1	
Dinitro-orto-cresol (DNOC) e seus sais (tais como sais de amônia, sais de potássio e sais de sódio)		
Dinoseb e seus sais e ésteres	88-85-7	
1,2-dibromoetano (EDB)	106-93-4	
Dicloroetileno	107-06-2	
Óxido de etileno	75-21-8	
Fluoracetamida	640-19-7	
HCH (mistura de isômeros)	608-73-1	
Heptacloro	76-44-8	
Hexaclorobenzeno	118-74-1	
Lindano	58-89-9	
Compostos de mercúrio, inclusive compostos de mercúrio inorgânico, compostos aquilmercúricos e compostos arilmercúricos e alquiloxialquílicos		
Monocrotofós	6923-22-4	
Paration	56-38-2	
Pentaclorofenol e seus sais e ésteres	87-86-5	
Toxafeno	8001-35-2	
Todos os compostos de tributilestanho,inclusive:		
- Óxido de tributilestanho		
- Fluoreto de tributilestanho		
- Metacrilato de tributilestanho		
- Benzoato de tributilestanho		
- Cloreto de tributilestanho		
- Linoleato de tributilestanho		



Sustancia quimica	CAS No	
- Naftenato de tributilestanho		
Formulações em pó contendo uma combinação de:		
- Benomyl a partir de 7%,		
- Carbofuran a partir de 10%,		
- Thiram a partir de 15%		
Monocrotofós (formulações líquidas solúveis da substância que excedem 600 g de ingrediente ativo/1)		
Metamidofós (formulações líquidas solúveis da substância que excedem 600 g de ingrediente ativo/1)	10265-92-6	
Fosfamidon (formulações líquidas solúveis da substância que excedem 1000 g de ingrediente ativo/1)		
Paration Metílico (concentrados emulsionáveis (CE) com 19,5% ou mais de ingrediente ativo e pós com 1,5% ou mais de ingrediente ativo)		
Paration (todas as formulações – aerossóis, pós, concentrado emulsionáveis, grânulos e pós molháveis - desta substância estão incluídas, exceto suspensões em cápsulas)	56-38-2	
Asbestos:		
- Actinolita		
- Antofilita		
- Amosita		
- Crocidolita		
- Tremolita		
Industrial		
Bifenilas Polibromadas (PBB)	36355-01-8 (hexa-); 27858-07-7 (octa-); 13654-09-6 (deca-)	
Bifenilas Policloradas (PCB)	1336-36-3	
Terfenilas Policloradas (PCT)	61788-33-8	
Chumbo tetraetila	78-00-2	
Chumbo tetrametila	75-74-1	
Fosfato de Tris (2,3-dibromopropila)	126-72-7	

2. Stockholm Convention

Poluentes Organicos Persistentes	CAS No
Aldrin	309-00-2
Clordano	57-74-9
DDT	50-29-3



Poluentes Organicos Persistentes	CAS No
Dieldrin	60-57-1
Endrin	72-20-8
Heptacloro	76-44-8
Hexaclorobenzeno (HCB)	118-74-1
Mirex	2385-85-5
Toxafeno	8001-35-2
Bifenilas Policloradas (PCB)	
Dioxina	
Furanos	
Clordecono	143-50-0
Hexabromobifenil	36355-01-8
Hexabromodifenil eter and heptabromodifenil eter	
Alpha hexaclorociclohexano	319-84-6
Beta hexaclorociclohexano	319-85-7
Lindane (gamma-HCH)	58-89-9
Tetrabromodifenil ether and pentabromodifenil eter	5436-43-1 and 60348- 60-9
perfluorooctane sulfonic acid	1763-23-1 and salts
perfluorooctane sulfonyl fluoride	307-35-7
Polychlorinated dibenzo-p-dioxins (PCDD)	
Polychlorinated dibenzofurans (PCDF)	
Pentaclorobenceno	608-93-5



Annex 10: Brazilian National Technical Group (NTG) Members

The Brazilian National Technical Group was formed by the following representatives of the RTRS constituencies:

Karin Kaechele from ICV, Adriano Diniz Costa from IBGS Humanitas, Gabriela Burian from Monsanto, Luis Dinoutti from Bayer and John Landers from APDC

Cassio Franco Moreira, from WWF and Gina Cardinot from RTRS acted as Observers.

Under the general coordination of the RTRS Technical Unit, with local coordination from Leonel Mello

RTRS Executive Board approved the document on March 29, 2011.