

<b>Name of the document</b>	<b>Progressive entry level for the RTRS production standard certification V2.1_ENG</b>
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## Weighting the RTRS Production Standard: Progressive entry level for the RTRS production standard certification

### A. Changes from previous version

A.1 Re-categorization indicator 1.3.2 from short term compliance indicator to immediate term compliance indicator

#### 1. Introduction

In order to involve 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

<b>Category</b>
<b>Immediate Compliance Indicators</b>
<b>Short – Term Compliance Indicators</b>
<b>Mid- Term Compliance Indicators</b>

#### 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 or by the national interpretation as “immediate compliance indicators” and additionally 10% 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.

**4. National Legislation versus Classification.**

4.1 The current approach was considered based on the Generic RTRS Principles and Criteria and it is important to note that if national legislation requires the compliance with one indicator that under this approach is considered a short or mid-term compliance indicator, this indicator will be categorized as an immediate compliance indicator in the country or region that applies.

4.2 In countries that due the compliance with national legislation the number of immediate compliance indicators increases the CB shall:

4.2.1 Identify what indicators will be categorized additionally as immediate compliance indicators for the country and keep records of this analysis.

4.2.2 Inform the applicant company about any additional immediate compliance indicators that have been identified and the applicant company needs to consider in the initial assessment certification audit.

4.2.3 If the number of the immediate compliance indicators increases, the CB may decrease the 10% of the additional short and mid-term indicators (only for the initial assessment audit) in the same proportion the immediate indicators are increased. The minimum percentage the producer has to comply with in the initial assessment audit is the 62% of indicators of the RTRS agricultural standard.

**5. Replacement by an approved National Interpretation of the progressive entry level system of the RTRS**

5.1 If the RTRS endorses a National Interpretation or different weighting of the indicators for any particular country, then this shall replace any locally adapted system previously used by the Certification Body in the country or area to which it applies.

5.2 If apply the certification body shall evaluate certificate holders against the requirements of the endorsed system at the next scheduled surveillance evaluation.

**6. Categorization and Reference table**

52 Indicators	Immediate Compliance Indicators
32 Indicators	Short-term Compliance indicators (1 year)
14 Indicators	Mid-term minor Compliance Indicators ( 3 years)
	Not applicable

Principle	Criteria	Indicator	Weight
Principle 1: Legal Compliance and Good Business Practice	1.1 There is awareness of, and compliance with, all applicable local and national legislation.	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.	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.	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.
	1.3.2 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.		
Principle 2: Responsible Labour Conditions	2.1 Child labour, forced labour, discrimination and harassment are not engaged in or supported.	2.1.1 No forced, compulsory, bonded, trafficked or otherwise involuntary labour is used at any stage of production.	
		2.1.2 No workers of any type are required to lodge their identity papers with anyone and no part of their salary, benefits or property is retained, by the owner or any 3rd party, unless permitted by law.	
		2.1.3 Spouses and children of contracted workers are not obliged to work on the farm.	

		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 Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g., working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc) are available in the languages understood by the workers or explained carefully to them by a manager or supervisor.	
		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, labour inspectors, agricultural extension workers, certification bodies).	
	2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed 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 (e.g.. 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.	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 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.	
		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.	
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.	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.	Green
		4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are documented and are being implemented.	Orange
	4.2 Pollution is minimized and production waste is managed responsibly.	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:	Green
		a) Where there is a legal obligation to burn as a sanitary measure;	Grey
		b) Where it is used for generation of energy including charcoal production and for drying crops;	Grey
		c) Where only small-caliber residual vegetation from land clearing remains after all useable material has been removed for other uses.	Grey
		4.2.2 There is adequate storage and disposal of fuel, batteries, tires, lubricants, sewage and other waste.	Green
		4.2.3 There are facilities to prevent spills of oil and other pollutants.	Orange
		4.2.4 Re-use and recycling are utilized wherever possible.	Blue
		4.2.5 There is a residue management plan including all areas of the property.	Orange
	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.	Blue
		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.	Blue

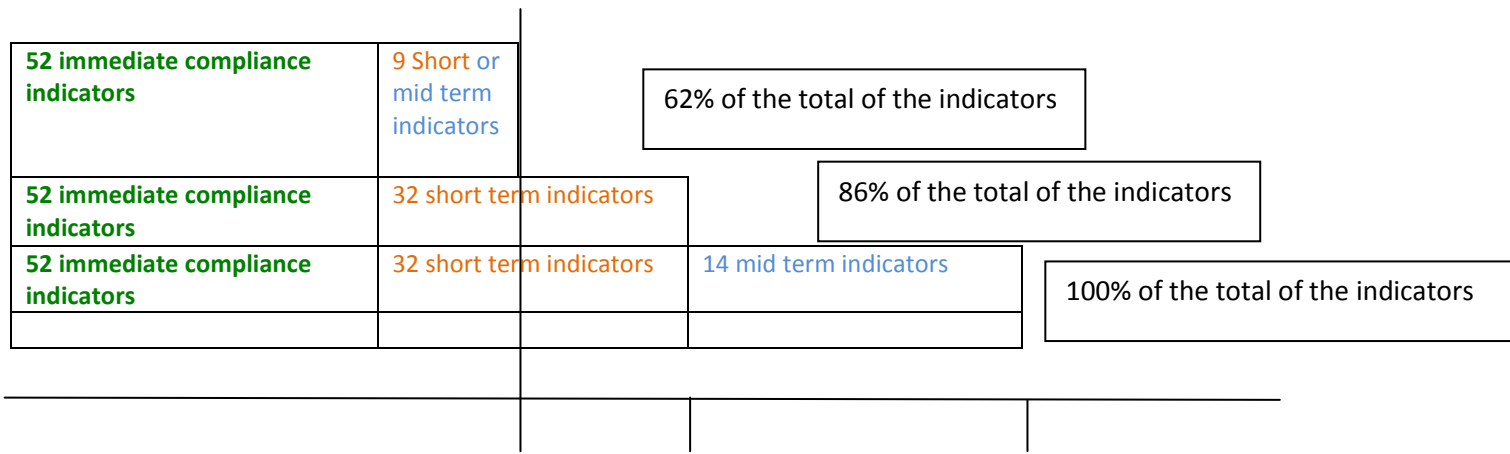
		4.3.3 Soil organic matter is monitored to quantify change in soil carbon and steps are taken to mitigate negative trends.	
		4.3.4 Opportunities for increasing carbon sequestration through restoration of native vegetation, forest plantations and other means are identified.	
	4.4 Expansion of soy cultivation is responsible.	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.)	
		or	
		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. An 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 On-farm biodiversity is maintained and safeguarded through the preservation of	4.5.1 There is a map of the farm which shows the native vegetation	

	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.	
	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.	Green
		5.3.2 Knowledge of techniques to control soil erosion is demonstrated and these techniques are implemented.	Green
		5.3.3 Appropriate monitoring, including soil organic matter content, is in place.	Blue
	5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation of systematic, recognized Integrated Crop Management (ICM) techniques.	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.	Orange
		5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.	Orange
		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.	Green
		5.4.4 Records of monitoring of, pests, diseases, weeds and natural predators are maintained.	Orange
	5.5 All application of agrochemicals 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:	Green
		a) products purchased and applied, quantity and dates;	Green
		b) identification of the area where the application was made;	Green
c) names of the persons that carried out the preparation of the products and field application;		Orange	
d) identification of the application equipment used;		Orange	
e) weather conditions during application.		Blue	
5.5.2 Containers are properly stored, washed and disposed of; Waste and residual agrochemicals are disposed in an environmentally appropriate way.	Green		

		5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.	Orange
		5.5.4 The necessary precautions are taken to avoid people entering into recently sprayed areas.	Green
		5.5.5 Fertilizers are used in accordance with professional recommendations (provided by manufacturers where other professional recommendations are not available).	Orange
	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.	Green
	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.	Orange
		5.7.2 Records are kept of all use of biological control agents that demonstrate compliance with national laws.	Blue
	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 ones, or major outbreaks of existing pests, producers follow the requirements of these systems, to minimize their spread.	Orange
		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.	Orange
	5.9 Appropriate measures are implemented to prevent the drift of agrochemicals to neighboring 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.	Orange
		5.9.2 Records of weather conditions (wind speed and direction, temperature and relative humidity) during spraying operations are maintained.	Blue

		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 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.		



Preparation period  
prior to the initial certification  
assessment



1 year after  
Initial certification

3 years after  
Initial Certification