

RTRS Standard for Responsible Soy Production

Version 4.0

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This is a public document, for any comments regarding the content of this document or the RTRS Standard please contact:

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The next review is scheduled within the next 5 years at the latest. Earlier reviews might be scheduled upon decision by the Executive Board or as required by ISEAL membership requirements.

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

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Preamble

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

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

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

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

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

In June 2020, the RTRS convened a Working Group to perform a full review of Version 3.1 of the Standard. More than 200 comments were received during the two Public Consultation periods. These comments, as well as recommendations from the AFi (Accountability Framework initiative) and the results from benchmarking against FEFAC Guidelines (The European Feed Manufacturers' Federation) were reviewed by the Working Group in the course of ten video conferences. The three RTRS constituencies were equitably represented in the Working Group: Producers; Industry, Trade and Finance and Civil Society Organizations, with experts and Certification Bodies participating as observers. The Working Group concluded its work in an online meeting on May 31st, 2021.

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

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

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

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

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

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

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

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

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

Principle 1

Legal Compliance and Good Business Practices



Guidance Principle 1	
<p>1.1 There is awareness of, and compliance with, all applicable local and national legislation.</p> <p>Note: For group certification of small farms group managers should provide training for group members on applicable laws and legal compliance.</p>	
<p>1.1.1 Awareness of responsibilities, according to applicable laws can be demonstrated.</p>	<p>Guidance 1.1.1 – 1.1.2</p> <p>Producers need to have access to information, which enables them to know what the law requires them to do. Examples include having a register of laws, or access to relevant advice on legislation.</p> <p>Legal compliance should be verified through:</p> <ul style="list-style-type: none"> • checking publicly available data on compliance where available; • interviews with staff and stakeholders; • field observations. <p>The National Interpretation of the corresponding country will provide the scope of verification of the applicable law that producers need to demonstrate compliance with during the audit.</p>
<p>1.1.2 Applicable laws are being complied with.</p>	
<p>1.1.3 Producers must not be involved in any act of corruption, extortion, or embezzlement, nor in any form of bribery, including - but not limited to - promising, offering, giving, or accepting any improper incentives, monetary or otherwise.</p>	<p>Guidance 1.1.3</p> <p>Large producers shall have systems and a written policy in place to manage bribery risks in their organizations.</p> <p>These systems shall:</p> <ol style="list-style-type: none"> a. Identify and monitor the parts of the company that pose high risks of engaging in bribery. b. Train relevant managers and employees on policies and procedures. <p>The system may additionally include:</p> <ol style="list-style-type: none"> c. Records of relevant gifts to and from third parties in a gift registry, as per the company’s policy.

	<p>d. Investigations of any incidences of suspected bribery within the organization.</p> <p>e. Sanctions for bribery and attempted bribery.</p> <p>The definition of large producers shall be determined at the national level. In countries where there is a law related to this issue, legal compliance will be considered sufficient for compliance with this indicator.</p>
<p>1.2 Legal use rights to the land are clearly defined and demonstrable.</p> <p>Note: Land use rights of traditional land users are considered in Criterion 3.2, which should be cross-referenced with this Criterion.</p>	
<p>1.2.1 There is documented evidence of rights to use the land (e.g. ownership document, rental agreement, court order, etc.).</p>	
<p>1.3 There is continual improvement with respect to the requirements of this standard.</p> <p>Note: For group certification continual improvement may be recorded and monitored at the group level.</p>	
<p>1.3.1 From the assessment required in 4.1.1, those social, environmental and agricultural aspects of the operation (on and off farm) where improvement is desirable are identified.</p> <p>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.</p>	<p>Guidance 1.3.1 – 1.3.2 – 1.3.3</p> <p>It is recognized that sometimes there may not be improvement for specific continual improvement indicators due to circumstances beyond the control of the certificate holder.</p>
<p>1.3.2 From these aspects identified in 1.3.1, a number of indicators are selected and a baseline is established to be able to monitor continual improvement on those aspects where desired improvements have been identified.</p> <p>Note: Producers are free to choose the continual improvement indicators that are relevant to them in order to prove that there is continual improvement with respect to the requirements of this standard; e.g. Soil carbon content, use of agrochemicals, state of riparian vegetation, etc. The baseline year is the year of first certification assessment.</p>	<p>Guidance 1.3.1</p> <p>The producer will monitor and review, at least annually, 1 indicator per pillar of the RTRS Data Collection Sheet to ensure continuous improvement.</p> <p>The use of the RTRS Data Collection Sheet is meant to guide producers and its use is optional.</p>
<p>1.3.3 The results of monitoring are reviewed and appropriate action is planned and taken when necessary to ensure continual improvement.</p>	<p>Guidance 1.3.3</p> <p>Monitoring is carried out internally by the producer or group manager. An external auditor reviews the monitoring results for the processes and checks the improvements made.</p>

Principle 2

Responsible Labour Conditions



Guidance Principle 2

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

Guidance for Principle 2: In relation to compliance of these requirements by third parties (Note 1): Operations are expected to have a mechanism in place which enables them to adequately verify the compliance of their service providers. Auditors should evaluate the verification mechanism of the operations, to determine whether a sample of service providers should also be assessed by the auditors.

<p>2.1 Child labour, forced labour, discrimination and harassment are not engaged in or supported.</p>	<p>Guidance 2.1</p> <p>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).</p>
<p>2.1.1 No forced, compulsory, bonded, trafficked or otherwise involuntary labour is used at any stage of production.</p>	<p>Guidance 2.1.1</p> <p>Personnel should be free to leave their workplace after their hours of work have been completed, and be free to terminate their employment provided that they give reasonable notice.</p> <p>Reference: ILO Convention 29 on Forced Labour and 105 on Abolition of Forced Labour.</p>
<p>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 required by law.</p>	
<p>2.1.3 Spouses and children of contracted workers are not obliged to work on the farm.</p>	<p>Guidance 2.1.3</p> <p>Farms need to provide an appropriate structure for children and spouses to live on the farm and carry out their personal activities, ensuring a safe distance from potentially hazardous operational areas.</p>
<p>2.1.4 Children below the age of 18 must not do hazardous work or any work that is likely to jeopardize their physical, mental or moral well-being.</p> <p>2.1.5 Children under the age of 15 (or a higher age, if established in national law) must not carry out productive work.</p> <p>Note: for family farms, see Guidance.</p>	<p>Guidance 2.1.4 – 2.1.5</p> <p>Children may accompany their families to the field as long as they are not exposed to hazardous, unsafe or unhealthy situations and it does not interfere with their schooling. Hazardous work likely to jeopardize children’s physical, mental or moral well-being is defined as: working in dangerous locations, in unhealthy situations, at night, or with dangerous</p>

	<p>substances or equipment, or carrying heavy loads. Exposure to any form of abuse and trafficked, bonded or forced labour is forbidden.</p> <p>Reference: ILO Convention 138 on Minimum Age and 182 on Worst Forms of Child Labour.</p> <p>2.1.5 Participation in some agricultural activities is not always considered as child labour. Age-appropriate tasks that are of lower risk and that do not interfere with children schooling and leisure time can be a normal part of growing up in a rural environment. Especially in the context of family farming, small-scale fisheries and livestock husbandry, some participation of children in non-hazardous activities can be positive as it contributes to inter-generational transfer of technical and social skills and children food security. Higher self-confidence, self-esteem and work skills are attributes often detected in young people engaged in some aspects of farm work. Therefore, it is important to distinguish between light duties, that do no harm children and child labour, which is work that interferes with compulsory schooling and damage health and personal development, based on hours and work conditions, age, activities and hazards involved.</p> <p>Source: http://www.ilo.org/ipecc/areas/Agriculture/lang-en/index.htm</p>
<p>2.1.6. All children of direct employees living on the farm must have access to school education.</p>	<p>Guidance 2.1.6</p> <p>Farms ensure that children have adequate transportation and school supplies at their disposal.</p>
<p>2.1.7 There is a policy in place that shows the farm's commitment to not engage in, support, or tolerate any form of discrimination.</p>	<p>Guidance 2.1.7-2.1.8</p> <p>Discrimination includes, but is not limited to: Distinction, exclusion or preference to invalidate or harm equality of opportunity or treatment in employment, be it in the process of contracting, remuneration, access to training, promotion, lay-offs, lateral transfers or retirement, including:</p>
<p>2.1.8 All workers receive equal remuneration for work of equal value, equal access to training and benefits and equal opportunities for promotion and for filling all available positions.</p>	<p>a) Ethnic group, color, sex, sexual orientation, gender, caste, religion, political opinion, national extraction or social origin;</p> <p>b) Nationality or migratory status;</p> <p>c) Civil status or social class;</p> <p>d) Medical condition (including HIV status or disability);</p> <p>e) Family condition, including pregnant women and parents with children, or any other protected status as established in applicable laws;</p>

	<p>f) Being a member or organizer of a workers' organization;</p> <p>g) Having filed complaints through complaints or grievance mechanisms;</p> <p>h) Gender inequality in remuneration* and unequal opportunities for gender when appointing management positions;</p> <p>i) Political, religious, social, sexual or cultural opinions and convictions, views or affiliations of workers.</p> <p>* Divergence in salary is not considered discriminatory when the company has a policy that is fully known by employees, which specifies different pay scales for different levels of qualification, experience, etc.</p> <p>Reference: ILO Convention 100 on Equal Remuneration, and ILO Convention 111 on Discrimination.</p>
<p>2.1.9 Workers are not subject to corporal punishment, mental or physical oppression or coercion, verbal or physical abuse, sexual harassment or any other kind of intimidation.</p>	
<p>2.1.10 Workers have a safe and effective channel to report abuses and guarantee their rights are upheld</p>	<p>Guidance 2.1.10</p> <p>There are permanent communication channels open between employers and workers.</p>
<p>2.2 Workers, directly and indirectly employed on the farm, and sharecroppers, are adequately informed and trained for their tasks and are aware of their rights and duties.</p>	<p>Guidance 2.2</p> <p>'Workers indirectly employed on the farm' refers here to employees of service providers who carry out services directly related to the production process. The scope of 'services directly related to the production process' will be defined by national interpretations.</p> <p>In those countries where there are no requirements for formal labour agreements between worker and employer, alternative documented evidence of a labour relationship must be provided (e.g. registration of employees with social security/employment agency).</p>
<p>2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written agreement, in a language that they can understand and in compliance with local laws.</p> <p>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.</p>	<p>Guidance 2.2.1</p> <p>In case of illiterate workers, the guidance in local regulations shall be followed to impart the content of the contract and ensure a complete understanding of all clauses.</p>

<p>2.2.2 Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) are available in the languages understood by the workers or explained carefully to them by a manager or supervisor.</p>	
<p>2.2.3 Adequate and appropriate training and comprehensible instructions on fundamental rights at work, health and safety, and any necessary guidance or supervision are provided to all workers.</p> <p>Note for 2.2.3: In case of Group Certification of smallholders, periodical training sessions for workers may be organized by group managers at group level.</p>	<p>Guidance 2.2.3</p> <p>If there are no regulations regarding frequency of health and safety-related training sessions, health and safety training shall be carried out at least on a yearly basis.</p> <p>These are some ideas where training (if relevant) should be provided by the producer:</p> <ul style="list-style-type: none"> • Handling, storage and disposal of crop protection products • Health and safety of working around biodigestors, manure pits, effluent ponds • Fertilizer choice, sourcing, application rate and placement (based on soil and crop characteristics) • Risks of soil loss and degradation • Halting deforestation, biodiversity loss and ecosystem services • Energy and water scarcity (energy efficiency, sustainable irrigation systems, etc.) • Waste minimization, segregation, storage and on-farm disposal. • Other sustainable practices • Fundamental rights and duties of workers <p>A training plan is established to ensure that all legally-required and other training is up to date and that all relevant farmers and workers are trained within 2 years of the first assessment. Training records are kept with the trainee information and disaggregated by gender.</p>
<p>2.3 A safe and healthy workplace is provided for all workers.</p>	<p>Guidance 2.3</p> <p>References: ILO Convention 155 on Occupational Safety and Health; ILO Convention 184 on Safety and Health in Agriculture; ILO Recommendation 192 on Safety and Health in Agriculture.</p>

	<p>The means of verification used should be appropriate to the size and scale of the operation. E.g. (2.3.1) For operations with permanent employees there should be a documented health and safety policy in place. For small farms, can be demonstrated through verbal explanations.</p>
2.3.1 Producers and their employees demonstrate awareness and understanding of health and safety matters.	
2.3.2 Relevant health and safety risks are identified, procedures are developed to address these risks by employers, and these are monitored.	<p>Guidance 2.3.2</p> <p>Workers or worker representatives (e.g., unions and/or women’s groups) must be involved in identifying safety and security risks and setting priorities for action.</p>
2.3.3 Potentially hazardous tasks are only carried out by capable and competent people who do not face specific health risks.	<p>Guidance 2.3.3</p> <p>If not already mandatory by law, an occupational health and safety risk assessment shall be conducted to determine which type of work can be executed by each staff category and what the related risks are.</p>
2.3.4 Adequate and appropriate protective equipment and clothing is provided and used in all potentially hazardous operations such as pesticide handling and application and mechanized or manual operations.	
2.3.5 There are mechanisms in place that make sure that workers follow the safety requirements.	<p>Guidance 2.3.5</p> <p>There is a system of warnings followed by legally-permitted sanctions for workers that do not obey safety requirements.</p>
2.3.6 Accident and emergency procedures exist and instructions are clearly understood by all workers.	<p>Guidance 2.3.6</p> <p>Accident and emergency procedures should include taking immediate steps to stop any operation where there is imminent and serious danger to safety and health, and to evacuate as appropriate. Workers are trained on this matter by a qualified professional.</p>
2.3.7 In case of accidents or illness, access to first aid and medical assistance is provided without delay.	

<p>2.3.8 Producers ensure the regular maintenance of machinery and equipment to make sure these devices can be operated safely.</p>	<p>Guidance 2.3.8 Maintenance should follow the technical guidance provided by manufacturers, and evidence - such as maintenance plans or service reports - must be stored.</p>
<p>2.4 There is freedom of association and the right to collective bargaining for all workers.</p>	
<p>2.4.1 There is the right for all workers and sharecroppers to establish and/or join an organization of their choice.</p>	<p>Guidance 2.4.1 Reference ILO Convention 87 on Freedom of Association and Protection of the Right to Organize.</p>
<p>2.4.2 The effective functioning of such organizations is not impeded. Representatives are not subject to discrimination and have access to their members in the workplace on request.</p>	
<p>2.4.3 All workers have the right to perform collective bargaining.</p>	<p>Guidance 2.4.3 Reference ILO Convention 98 on Right to Organize and to Collective Bargaining.</p>
<p>2.4.4 Workers are not hindered from interacting with external parties outside working hours (e.g. NGOs, trade unions, labour inspectors, agricultural extension workers, certification bodies).</p>	
<p>2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed on the farm.</p>	<p>Guidance 2.5 'Workers indirectly employed on the farm' refers here to employees of service providers who carry out services directly related to the production process. The scope of 'services directly related to the production process' will be defined by national interpretations.</p>
<p>2.5.1 Gross wages that comply with national legislation and sector agreements are paid at least monthly to workers.</p>	
<p>2.5.2 Deductions from wages for disciplinary purposes are not made, unless legally permitted. Wages and benefits are detailed and clear to workers, and workers are paid in a manner convenient to them. Wages paid are recorded by the employer.</p>	<p>Guidance 2.5.2 The criterion applies to permanent and seasonal workers involved in agricultural or crop production.</p>
<p>2.5.3 Normal weekly working hours do not exceed 48 hours. Weekly overtime hours do not exceed 12 hours.</p>	
<p>2.5.4 If additional overtime hours are necessary the following conditions are met:</p>	

<p>a) It only occurs for limited periods of time (e.g. peak harvest, planting).</p> <p>b) Where there is a trade union or representative organization the overtime conditions are negotiated and agreed with that organization.</p> <p>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.</p>	
<p>2.5.5 The working hours of direct employees are recorded by the employer. In case of indirect workers, working hours will be recorded when possible.</p>	<p>Guidance 2.5.5-2.5.6 Reference ILO Convention 1 on Hours of Work.</p>
<p>2.5.6 Overtime work at all times is voluntary and paid according to legal or sector standards. In case overtime work is needed, workers receive timely notification. Workers are entitled to at least one day off following every six consecutive days of work.</p>	
<p>2.5.7 Salaried workers have all entitlements and protection in national law and practice with respect to maternity. Workers taking maternity leave are entitled to return to their employment on the same terms and conditions that applied to them prior to taking leave and they are not subject to any discrimination, loss of seniority or deductions of wages.</p>	
<p>2.5.8 If workers are paid per result, a normal 8 hour working day allows workers, (men and women), to earn at least the national or sector established minimum wage.</p>	
<p>2.5.9 Potable water is supplied to all employees inside the farm. If employees live on the farm, they additionally have access to toilets and handwashing facilities and affordable and adequate housing and food. If charges are made for these, such charges are in accordance with market conditions. The living quarters are safe and have at least basic sanitation.</p>	

Principle 3

Responsible Community Relations



Guidance Principle 3	
<p>3.1 Channels are available for communication and dialogue with the local community (including indigenous peoples) on topics related to the activities of the soy farming operation and its impacts.</p> <p>Note: This shall allow them to effectively and meaningfully participate in making decisions about matters that affect them.</p>	<p>Guidance 3.1</p> <p>Communication channels for complaints and grievances need to use local languages and appropriate means (e.g. Internet is not an appropriate mechanism for communication with communities that have no access to it).</p> <p>Communication requirements must be adequate for identifying any disputes with traditional land users as referred to in Criterion 3.2</p> <p>Where people on or adjacent to the property are demonstrated to be illegal (e.g. squatters), producers should try to engage in communication, but they are not obliged to maintain a dialogue.</p> <p>Local communities and other disenfranchised groups 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. Evidence of compliance with this indicator may be notifications submitted to neighbors and adjacent local communities.</p> <p>It is important to include interviews with members of the community to evaluate the existence of the communication channels and their appropriateness.</p>
<p>3.1.1 Documented evidence of communication channels and dialogue is available. The channels adequately enable communication between the producer and the community.</p>	<p>Guidance 3.1.1</p> <p>Communication should be managed in a manner that is related to the importance of the issue. Critical issues require systematic communication, while non-critical issues require reactive communication.</p> <p>In the case of small farms, documented evidence is not required and is replaced by verbal evidence.</p>
<p>3.1.2 The communication channels have been made known to the local communities and they allow anonymous communication, if so wished.</p>	<p>Guidance 3.1.2</p> <p>Evidence of compliance of this indicator may be notifications submitted to neighbours and adjacent local communities. Examples of communication channels maybe (but are not limited to): informing third parties on data such as the farm contact person, phone number and/or email, etc.).</p>
<p>3.2 In areas with traditional land users (including indigenous peoples), conflicting land uses are avoided or resolved.</p>	<p>Guidance 3.2</p> <p>When applying for certification producers will identify local communities and traditional land users. Traditional land users will provide reasonable proof that they have been exercising use or access rights on the property area or on ecosystem services derived from the area over the last ten years, prior to May 2009.</p>

	<p>Reasonable proof may rely on specific criteria directly relevant to its purpose (for example: valid/updated official/branded documents recognized by staff and employers).</p> <p>In the case of traditional indigenous communities, Articles 14-18 of ILO Convention 169 also apply.</p> <p>Traditional land users may be represented by legitimate representatives in communication, negotiation or audit situations. Where this is the case, this does not exempt producers or auditors from the responsibility of communicating with other members of the community.</p>
<p>3.2.1 In the case of disputed use rights; a comprehensive, participatory and documented community rights assessment is carried out.</p>	<p>Guidance 3.2.1</p> <p>Community rights assessment should aim at:</p> <ul style="list-style-type: none"> a) identifying the individual and collective uses and rights of local communities and traditional land users; b) identifying uses of water resources (if available); c) identifying the places and landscape conditions needed to meet these rights; d) identifying the places/issues where there is conflict between property rights and traditional land use rights and ecosystem services; e) finding a solution to resolve possible conflicting land uses and/or agree on proposals for compensation. <p>Where a legal judgment has been reached, the terms of this judgment will be respected. Should there a litigation process, while this is sub judice (under litigation; decision pending), this will not hinder access to certification provided that guidance given by the judge is followed. In the absence of such guidance, traditional land users may continue exercising their rights until the case is resolved.</p>
<p>3.2.2 Where rights have been relinquished by traditional land users there is documented evidence that the affected communities are compensated subject to their free, prior, informed and documented consent.</p>	
<p>3.2.3 Producers are required to respect the rights, customs and culture of indigenous peoples as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).</p>	
<p>3.2.4 Sites of special cultural, ecological, economic or religious significance and resources fundamental for satisfying the basic necessities of all traditional communities, local</p>	

<p>communities and indigenous people (for livelihoods, health, nutrition, water, etc.) shall be clearly identified in cooperation with such people, and recognized and protected by farm managers.</p>	
<p>3.3 An effective mechanism for resolving complaints and grievances is implemented and available to local communities (including indigenous peoples), employees, other workers and traditional land users.</p> <p>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.</p>	
<p>3.3.1 Documented evidence of complaints and grievances received is maintained.</p>	<p>Guidance 3.3.1 Anonymous complaints will also be addressed.</p>
<p>3.3.2 Any complaints and grievances received are adequately dealt with in a timely manner.</p>	<p>Guidance 3.3.2 If the producer receives complaints, he/she is required to send an answer within 30 days of receiving such complaints to offer feedback of reception of such complaint and/or to start addressing the issue.</p>
<p>3.4 Fair opportunities for employment and provision of goods and services are given to the local population, irrespective of gender and race.</p>	
<p>3.4.1 Employment opportunities are made known locally.</p>	<p>Guidance 3.4.1 Evidence may include records kept of the proportion of local employees that have been employed in the farm.</p>
<p>3.4.2 Whenever possible, there is collaboration with training programs for the local population (including, for example, indigenous peoples).</p> <p>Note: Small farms may participate in training programs where they exist. For groups the collaboration with training programs may occur at the group level.</p>	<p>Guidance 3.4.2 If it is not possible to apply this indicator, a justification shall be given to the auditor.</p>
<p>3.4.3 Opportunities for supply of goods and services are offered to the local communities.</p>	<p>Guidance 3.4.3 This refers to goods and services, which are central to the production activities. Evidence includes quotations for services from local suppliers.</p>

Principle 4

Environmental Responsibility



Guidance Principle 4	
<p>4.1 On and off site social and environmental impacts have been assessed and appropriate measures taken to minimize and mitigate any negative impacts.</p> <p>Note: For group certification of small farms, Indicators 4.1.1, 4.1.2, 4.1.3, 4.1.4 and 4.1.5 may be part of the ICS, and fulfilled at group level.</p>	<p>Guidance 4.1</p> <p>The assessment should be appropriate to the scale of the operation.</p> <p>In case of group certification of small producers, different groups located in similar areas and having similar issues may exchange information in order to prepare and/or carry out the assessment, however, reports shall be prepared at group level.</p> <p>Where there are national requirements for impact assessments, which are adequate for meeting this Criterion (identified by the NTG), these shall be followed. Where there are no national requirements, auditors shall verify whether an adequate process has been followed (for instance “The Equator Principles’ Social and Environmental Assessment Procedure”.</p>
<p>4.1.1 An initial social and environmental assessment is carried out prior to the first certification audit¹ (see also Indicator 1.3.1). This assessment needs to be redone before any expansion of the operations takes place.</p>	<p>Guidance 4.1.1</p> <p>Endemic, rare, threatened or endangered species shall be identified in this assessment (see also Indicator 4.5.3).</p>
<p>4.1.2 The assessment is carried out by someone who is adequately trained and experienced for this task.</p>	<p>Guidance 4.1.2</p> <p>It is recommended to include the stakeholder's consultations and participatory approaches in the assessment process.</p>
<p>4.1.3 The assessment is carried out in a comprehensive and transparent manner.</p>	
<p>4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are being documented, implemented and monitored.</p>	<p>Guidance 4.1.4</p> <p>In order to avoid impacts, the recommendation is to follow the “Avoid, minimize, restore” rule and offset impacts by prioritizing the avoidance of impacts before they need to be remedied.</p>
<p>4.1.5 A summary of the social and environmental assessment report shall be made available upon request.</p>	
<p>4.2 Pollution is minimized and production waste is managed responsibly.</p>	

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

<p>Note: Chemical use and disposal is dealt with under Principle 5.</p>	
<p>4.2.1 There is no intentional burning on any part of the property of crop residues, waste, or as part of vegetation clearance.</p>	<p>Guidance 4.2.1</p> <p>There are three exceptions to this rule:</p> <ul style="list-style-type: none"> a) where there is a legal obligation to burn vegetation as a sanitary measure; b) where the burned material is used as fuel for drying crops; c) to fight fires
<p>4.2.2 All waste is adequately stored and disposed of (e.g. fuel, batteries, tires, lubricants, sewage).</p>	<p>Guidance 4.2.2</p> <p>If national regulations exist for the safe storage and disposal of different types of hazardous waste, they must be complied with. In the absence of regulatory requirements, guidance should be sought on the best available options and advice should be taken.</p> <p>All waste disposal and composting areas on the farm (e.g. for household waste) must be at a safe distance from living areas and/or waterways.</p> <p>Measures must be taken to ensure that the farm is clean and tidy. Plastic waste and other rubbish should not be left in the fields, on field margins, around the farm or on roadsides. Farmers and workers should not throw rubbish and other general waste into ditches, streams or wells.</p> <p>Waste management must occur in the production phase by managing, storing, transporting and disposing of waste streams; there should be no uncontrolled waste landfilling or dumping in areas not officially designated as landfills.</p> <p>The farm shall have a procedure in place to address pollution incidents and mitigate potential damage from contaminations and leaks.</p>
<p>4.2.3 There are facilities to prevent spills of oil² and other pollutants.</p>	
<p>4.2.4 Re-use and recycling are utilized wherever possible.</p>	<p>Guidance 4.2.4</p>

² Oil refers to motor oil

	The producer should adopt Circular Economy practices and must explain why he/she does not apply recycling in case he/she does not use it in cases where it can be easily used.
4.2.5 There is a residue management plan including all areas of the property.	<p>Guidance 4.2.5</p> <p>Residues include non-organic and organic solid waste as well as wastewater resulting from the operation (such as for cleaning equipment and tanks). For large and medium producers, this should be documented. For small farms or family farms, producers only need to know which residues are generated on their farms and what will be done with each one of them.</p>
<p>4.3 Efforts are made to reduce emissions and increase sequestration of Greenhouse Gases (GHGs) on the farm.</p> <p>Note: Other issues, which are relevant to GHG emissions are covered in other principles including: Use of fertilizers (Criterion 5.5), Land-use change (Criterion 4.4).</p>	<p>Guidance 4.3</p> <p>The producer must establish a plan that shows how he/she will fulfil this criterion. The plan must show which targets (% reduction and until when) he/she has set for which areas and what measures he/she will take to reach this target.</p>
4.3.1 Total direct fossil fuel use over time is recorded, and its volume per hectare and per unit of product for all activities related to soy production is monitored.	<p>Guidance 4.3.1</p> <p>With farms which produce multiple crops, an estimate of the use of fossil fuel for soy production should be made.</p> <p>‘Activities related to soy production’ include: field operations and on-farm transportation, whether this is supplied by producers or by third parties.</p>
<p>4.3.2 If there is an increase in the intensity of fossil fuel used, there is a justification for this. If no justification is available there is an action plan to reduce use.</p> <p>Note: For group certification of small producers, Indicators 4.3.1 and 4.3.2 may be part of the ICS, at group level.</p>	<p>Guidance 4.3.2</p> <p>There may be annual fluctuations in the intensity of fossil fuel usage caused by natural yield variations. The trend should be monitored over a period of several years.</p> <p>An example of a justification for an increase in the intensity in the use of fossil fuel use may be when a planting was lost due to drought and needed to be replanted.</p> <p>The use of renewable energy (biofuels, biogas, solar and wind energy, etc.) on the farm is encouraged. In the case of renewable energy replacing electricity, the equivalent fossil fuel savings should be quantified.</p>

<p>4.3.3 Soil organic matter is monitored to quantify change in soil carbon and steps are taken to improve it or, at least, to mitigate negative trends.</p> <p>Note For 4.3.3: for individual small producers, complying with Criterion 5.3 is considered as enough. In case of Group Certification of small producers the monitoring of soil carbon applies, but this may be done using samples.</p>	
<p>4.3.4 Opportunities for increasing carbon sequestration through restoration of native vegetation, forest plantations and other means are identified and, when possible, implemented.</p>	<p>Guidance 4.3.4</p> <p>If producers cannot apply the identified opportunities for increasing carbon sequestration, a justification shall be given to the auditor.</p> <p>Other means may include:</p> <ul style="list-style-type: none"> • Passively restore roadsides and hedges • Establish forest plantations • Cover crops in degraded non-productive areas, as well as in floodplains or lowlands. • Conserve non-native plantations that were previously used as shades for livestock • Build and maintain ecological corridors for biodiversity protection <p>Note: Implementation of ecological corridors for biodiversity protection need specific technical guidance from specialists in this area.</p>
<p>4.4 Expansion of soy cultivation is responsible.</p>	<p>Guidance 4.4 for Certification Bodies</p> <p>Data capture requirements for future Payment for Environmental Services (PES) schemes: the date of registration of the producer for certification purposes is recorded by the Certification Body. During the certification audit, the area and type of vegetation of all voluntary reserves of native vegetation (above the legal requirement) are recorded. Following certification, details of the date of registration for certification purposes and the area and type of vegetation of voluntary reserves are added to an RTRS register. When an RTRS PES scheme is developed, payments are available retroactively to the date of registration.</p> <p>The Accountability Framework definitions are recognized for the applicability of this criteria.</p>
<p>4.4.1 The following areas have not been cleared or converted from May 2009 onwards:</p>	<p>Guidance 4.4.1</p>

<p>4.4.1.a Where RTRS maps are available: All areas included in Category 1 of the maps ³.</p> <p>4.4.1.b Where RTRS maps are not available the following areas:</p> <p>a) native forests, b) riparian vegetation, c) natural wetlands, d) steep slopes, e) areas designated by law to serve the purpose of native conservation and/or cultural and social protection.</p> <p>4.4.1.c Where there is an unresolved land use claim by traditional land users under litigation, without any agreement from both parties.</p>	<p>If conversion/clearing takes place due to a legal requirement (at national or local level) or verifiable emergency (such as firewalls), this indicator does not apply. Legal obligations may include - but not be limited to - the need for roads, transmission lines, etc.</p> <p>Under certain circumstances, a minimal level of conversion may occur if there is a restoration plan in place. Please refer to Annex 8 and the definition of “minimal level of conversion” in the glossary, in accordance with the Accountability Framework Initiative.</p> <p>Guidance 4.4.1.c</p> <p>Traditional land users will provide reasonable proof that they have been exercising use or access rights on the area of the property over the last 10 years prior to May 2009.</p>
<p>4.4.2 After 3rd June 2016, no conversion is allowed in any natural land (see Glossary), steep slopes and in areas designated by law to serve the purpose of native conservation and/or cultural and social protection.</p>	
<p>4.5 On-farm biodiversity is maintained and safeguarded through the preservation of native vegetation.</p>	
<p>4.5.1 There is a map of the farm, which shows the native vegetation, production areas and water courses (see 5.2.1).</p>	<p>Guidance 4.5.1</p> <p>The map and plan should be appropriate to the size of the operation.</p> <p>For group certification the group manager may maintain the map centrally and may be responsible for maintaining and developing a plan for conservation.</p>
<p>4.5.2 There is a plan, which is being implemented and monitored to ensure that the native vegetation and wildlife are being maintained.</p>	<p>Guidance 4.5.2</p> <p>The plan needs to include at least the following:</p> <ul style="list-style-type: none"> • identification of on-farm native vegetation and wildlife; • indicators and baseline of the status of native vegetation and wildlife;

³ See Annex 4

	<ul style="list-style-type: none"> • measures to preserve native vegetation and wildlife; • monitoring. <p>Annex 5 provides an example of how a plan could be developed for this Indicator.</p> <p>The plan is carried out by someone who is adequately trained and experienced for this task (as 4.1.2). To corroborate this, this person will provide evidence of having attended courses and training, as well as experience outlined in their CV.</p>
<p>4.5.3 Endemic, rare, threatened or endangered species permanently or temporary present at the property are protected. Hunting or collecting of these species is not allowed.</p>	
<p>4.5.4 For farms that have less than 10% of native vegetation (but in compliance with 4.4 and 5.2 and other related indicators), producers are required to implement and promote conservation activities inside, outside or around the farm, to promote wildlife and the restoration of native vegetation.</p>	<p>Guidance 4.5.4</p> <p>Activities that could be carried out by producers to comply with this indicator are (but are not limited to):</p> <ul style="list-style-type: none"> • leaving corridors or restoring borders of fences or paths, • restoring degraded or unproductive areas, • supporting conservation or restoration activities outside the boundaries of the farm (but related to local wildlife and native vegetation)- e.g. creation of forest seedling nurseries for subsequent donation to organizations working in the establishment of species, and collaboration with institutions devoted to conservation activities. <p>This support may be provided through funding or through the supply of resources, materials, personnel, etc.</p> <p>Producers may form groups to comply with this indicator. Producers may organize joint activities to promote conservation activities inside, outside or around the farm.</p>

Principle 5

Good Agricultural Practices



Guidance Principle 5	
<p>5.1 The quality and supply of surface and ground water is maintained or improved.</p>	
<p>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.</p>	
<p>5.1.2 There is a plan that includes monitoring and mitigation measures according to risks that have been identified and it is applicable to the scale.</p>	<p>Guidance 5.1.2</p> <p>The monitoring plan has to define parameters such as pH, temperature, dissolved oxygen, turbidity and electrical conductivity, contamination levels and the adequate frequency of testing. Monitoring should be considered at the watershed level.</p> <p>Where there are wells, these should be used for monitoring ground water.</p> <p>The testing laboratory must be independent, but not necessarily certified.</p>
<p>5.1.3 Any direct evidence of localized contamination of ground or surface water is reported to, and monitored in collaboration with local authorities.</p>	
<p>5.1.4 Where irrigation is used, there is a documented procedure in place for applying best practices and acting according to legislation.</p> <p>Note: For group certification of small farms, where irrigation is used for crops other than soy, but is not done according to best practices, a plan is in place and is being implemented to improve practices. The group manager is responsible for documentation.</p>	<p>Guidance 5.1.4</p> <p>When using irrigation, attention should be paid to other potential uses such as household use or use for other food crops, and, if there is lack of water, priority should be given to human consumption. For new irrigation systems, an environmental impact assessment is required.</p>
<p>5.1.5 The different uses of water on the farm shall be identified.</p> <p>For the activities that require the biggest volume of water use, the producer shall find a way to monitor it.</p> <p>Actions shall be implemented to reduce water use wherever possible.</p>	<p>Guidance 5.1.5</p> <p>Legal and regulatory requirements are sufficient for complying with this indicator.</p>

<p>5.2 Natural vegetation areas around springs and along natural watercourses are maintained or re-established.</p>	
<p>5.2.1 The location of all watercourses has been identified and mapped, including the status of the riparian vegetation.</p>	
<p>5.2.2 Where natural vegetation in riparian areas has been removed there is a plan with a timetable for restoration which is being implemented.</p>	<p>Guidance 5.2.2 This indicator applies the requirements of criterion 4.4.</p>
<p>5.2.3 Natural wetlands are not drained and native vegetation is maintained.</p>	<p>Guidance 5.2.3 Cut-off date for natural wetlands is May 2009. For group certification of small farmers, group managers may maintain maps centrally and may be responsible for maintaining and developing restoration plans.</p>
<p>5.3 Soil quality is maintained or improved and erosion is avoided by good management practices.</p> <p>Note: For group certification of small producers - Monitoring of soil fertility and soil quality should be part of the internal control system and can be carried out on a sampling basis within the group.</p>	
<p>5.3.1 Appropriate monitoring of soil quality including taking soil fertility samples is in place.</p>	<p>Guidance 5.3.1 Identify appropriate monitoring indicators, which need to be based on key issues according to production type and region. Any selected monitoring indicators should be straightforward and provide reliable information. Suggestions include: analysis of organic matter, total nitrogen (N) (total N can be estimated as 5% of organic matter), phosphorous (P), pH, electrical conductivity, measurement of surface residues (quality and quantity 30 days before the mean sowing date with a tolerance of +/- 10 days).</p>
<p>5.3.2 Knowledge of techniques* to maintain soil quality (physical, chemical and biological) is demonstrated and these techniques are implemented.</p>	<p>Guidance 5.3.2 & 5.3.3 Techniques for maintaining soil quality may include:</p>

<p>At least 20% of the productive area should be zero tillage. Producers unable to abide by this threshold will need to justify why.</p>	<ul style="list-style-type: none"> • Conservation agriculture • Crop rotation • Balanced fertilization • Precision farming
<p>5.3.3 Knowledge of techniques to control soil erosion is demonstrated and these techniques are appropriately implemented.</p>	<ul style="list-style-type: none"> • Nitrogen fixing plants • Green manures <p>Techniques for controlling soil erosion may include:</p> <ul style="list-style-type: none"> • Management of on-farm roads • Management of sloping areas • Maintenance of permanent soil cover • Zero tillage (no-till farming) • Contour tillage <p>RTRS acknowledges that not all producers can transition their entire fields to zero till in the short term, so it encourages producers to plan the progressive implementation of zero tillage over time. The soil management plan shall contain at least the following information:</p> <ul style="list-style-type: none"> • Soil sampling • Crop rotation plan, including rotation with grasses • Cover crop plan • Type, quality and timing of fertilization, where efforts are made to keep the existing fertilization levels to a minimum. • Measures to avoid soil compaction • Tools to prevent erosion caused by wind and water. <p>The plan will have a minimum duration of one complete rotation and will be carried out by the Agronomist in charge.</p>
<p>5.3.4 A crop rotation plan shall be implemented to prevent soy from being planted immediately over soy and to promote a time gap on the same field. During this gap, a second crop or pasture should be cultivated or, at least, land shall be left fallow or under cover vegetation for regeneration purposes.</p> <p>This plan shall consider adapting to specific climate and agro-ecological regional conditions.</p>	<p>Guidance 5.3.4</p> <p>RTRS encourages producers to perform crop rotation. In cases where following the plan is not possible, producers will have to justify their decision.</p>

<p>5.4 Negative environmental and health impacts of phytosanitary products are reduced through the implementation of systematic, recognized Integrated Crop Management (ICM) techniques.</p> <p>Note: See Annex 6 for further information on ICM.</p>	<p>Guidance 5.4</p> <p>Take into account scale and context especially for small farms – this relates to both the level of ICM expected and the records maintained.</p>
<p>5.4.1 A plan for ICM is documented and implemented which addresses the use of prevention, and biological and other non-chemical or selective chemical controls.</p> <p>Note: For group certification of small farms (particularly those whose farmers are not literate), the development and documentation of the ICM plan should be undertaken by the group manager, together with support for implementation.</p>	
<p>5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.</p>	<p>Guidance 5.4.2</p> <p>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.</p> <p>Levels of potential harmfulness of a phytosanitary product may be determined from its WHO class for the purposes of this Criterion.</p> <p>Where targets are not met, documented evidence is presented to justify this.</p> <p>Producers are encouraged to consider the use of biological products.</p>
<p>5.4.3 Only original and genuine agrochemical products, which comply with local registration requirements, must be used to prevent risks for farmers, consumers and the environment.</p>	
<p>5.4.4 Use of agrochemical products follows legal requirements and professional recommendations (or, if professional recommendations are not available, manufacturer’s recommendations) and includes rotation of active ingredients to prevent resistance.</p>	<p>Guidance 5.4.4</p> <p>Both local and national legislation should be taken into account.</p> <p>Producers should store the product safety data sheets where they handle the products so that they can be easily accessible if needed.</p>
<p>5.4.5 Records of monitoring of pests, diseases, weeds and natural predators are maintained.</p> <p>Note: for group certification of small farmers, records may be included in the ICS at group level.</p>	

<p>5.5 All application of agrochemicals ⁴ is documented and all handling, storage, collection and disposal of chemical waste and empty containers, is monitored to ensure compliance with good practice.</p>	
<p>5.5.1 There are records of the use of agrochemicals, including:</p> <ul style="list-style-type: none"> 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. 	<p>Guidance 5.5.1</p> <p>Records are maintained for at least 5 years. This does not apply to records from years prior to certification.</p> <p>Scale and context, especially for small farms, should be taken into account. Exceptions (e.g. for maintaining invoices) may be allowed for small farms in a group, provided that the group has a mechanism in place for assuring compliance with the Criterion.</p>
<p>5.5.2 Containers are properly stored, washed and disposed of; waste and residual agrochemicals are disposed in an environmentally appropriate way.</p>	<p>Guidance 5.5.2</p> <p>Washing of containers should be carried out using triple rinsing principles (including re-use of the rinse water in the tank mix) or using high-pressure techniques associated with mechanical application.</p>
<p>5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.</p>	<p>Guidance 5.5.3</p> <p>Areas used for the storage and distribution of agrochemicals, flammable and toxic substances are designed, constructed and equipped to reduce the risks of accidents and negative impacts on human health and the environment. Suggestions for reducing the risk of accidents and negative impact may be: restricted access, waterproof floor, barrier containment, storage area, safety data sheets, instructions for accidents, protection equipment, fire extinguishers, first aid, spillage elements, minimum ventilation and/or forced ventilation, housekeeping, separation of seeds, fertilizers and products.</p> <p>Legal requirements shall be followed for all farm sizes.</p>
<p>5.5.4 The necessary precautions are taken to avoid people entering into recently sprayed areas.</p>	<p>Guidance 5.5.4</p>

⁴ Note: Agrochemicals refers to all chemicals used including fertilizers and pesticides

	Precautions may include, for instance, training on the topic, signage to indicate sprayed areas or a mechanism that informs employees and external stakeholders about which areas have been sprayed.
5.5.5 Fertilizers are used in accordance with professional recommendations (provided by manufacturers where other professional recommendations are not available).	
5.6 Responsible Use of Agrochemicals	
5.6.1 There is no use of agrochemicals listed in the Stockholm and Rotterdam Conventions.	Guidance 5.6.1 Paraquat and Carbofuran are banned according to the Stockholm and Rotterdam Conventions.
5.6.2. Agrochemicals shall be applied using methods that minimize harm to human health, wildlife, plant biodiversity, and water and air quality	
5.7 The use of biological control agents is documented, monitored and controlled in accordance with national laws and internationally accepted scientific protocols.	Guidance 5.7 Records of use of biological control agents should be used as evidence of compliance with this Criterion.
5.7.1 There is information about requirements for use of biological control agents.	
5.7.2 Records are kept of all use of biological control agents that demonstrate compliance with national laws.	Guidance 5.7.2 Scale and context, especially for small farms, should be taken into account.
5.8 Producers are not allowed to introduce or use invasive species in the management unit. Systematic measures are planned and implemented to monitor, control, and minimize their spread and development of 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.	

<p>5.8.2 Where such systems do not exist, incidences of new pests or invasive species and major outbreaks of existing pests are communicated to the proper authorities and relevant producer organizations or research organizations.</p> <p>Note: For group certification, the group manager is responsible for communicating to the authorities and relevant organizations.</p>	
<p>5.9 Appropriate measures are implemented to prevent the drift of agrochemicals to neighbouring areas.</p>	
<p>5.9.1 There are documented procedures in place that specify good agricultural practices, including minimization of drift, in applying agrochemicals and these procedures are being implemented.</p>	<p>Guidance 5.9.1</p> <p>Factors that influence drift include, among others, wind speed and direction, temperature, equipment utilized and topography.</p>
<p>5.9.2 Records of weather conditions (wind speed and direction, temperature and relative humidity) during spraying operations are maintained.</p>	<p>Guidance 5.9.1- 5.9.2</p> <p>Requirements for small farms should be appropriate to scale and context.</p> <p>For group certification of small farms - group managers may provide documented procedures and maintain records of weather conditions.</p>
<p>5.9.3 Aerial application of pesticides is carried out in such a way that it does not have an impact on populated areas. All aerial application is preceded by advance notification to residents within 500m of the planned application.</p> <p>Note: 'Populated areas' means any occupied house, office or other building.</p>	
<p>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.</p>	
<p>5.9.5 There is no application of pesticides within 30m of any populated areas or water bodies.</p> <p>Note: 'Water bodies' includes, but is not limited to, water courses, intermittent rivers, rivers, streams, lagoons, springs, lakes, reservoirs and ditches (see Glossary).</p>	<p>Guidance 5.9.5</p> <p>There may be an exception for manual application of chemicals not classified as WHO Ia, Ib, or II, if adequate measures are taken to prevent drift (e.g. use of backpack applicators with shields) and if it is permitted by Law and by manufacturer's recommendations.</p>

<p>5.10 Appropriate measures are implemented to allow for coexistence of different production systems.</p>	
<p>5.10.1 Measures are taken to prevent interference in production systems of neighbouring areas.</p>	<p>Guidance 5.10.1</p> <p>When a change in soybean production practices is introduced, which could impact on neighbouring production systems, it is the responsibility of the producer making the change to implement a buffer strip of 30 m (e.g. in areas where production is generally GM, it is the responsibility of an organic or non-GM farmer to maintain the buffer around his own production. In areas where production is mainly non-GM or organic, farmers planting GM or using chemicals should maintain a buffer strip).</p> <p>In countries or regions where it is proven that a buffer strip smaller than 30 meters is enough for preventing contamination and maintaining the purity of the neighbouring systems, the buffer strip may be smaller and defined according to national level practices.</p>
<p>5.11 Origin of seeds is controlled to improve production and prevent introduction of new diseases.</p>	
<p>5.11.1 All purchased seed must come from known legally approved sources.</p>	<p>Guidance 5.11.1</p> <p>Producers can use their own seeds, always in accordance with legal requirements.</p>
<p>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.</p>	

Annex 1 - Chain of Custody Requirements for Producers



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

1. Scope

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

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

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

2. Handling of RTRS Certified Material

2.1. Identification of Output

2.1.1. The organization shall ensure that all invoices⁵ issued for soybeans supplied with RTRS claims include the following information:

- Identification of the organization (e.g. name, address, other relevant information);

⁵Invoices: include other kind of support documentation.

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

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

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

2.2. Volume summaries

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

2.3. Records

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

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

2.4. Products supplied with RTRS claims

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

Annex 2

List of Acronyms

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

Annex 3

Glossary of Terms

Baseline	Data, information or indicator used as a basis for comparison.
Biological Control	A method of controlling pests that relies on predation, parasitism, herbivory, or other natural mechanisms, rather than agrochemicals.
Chain of Custody System	The type of chain of custody controls an organization is implementing, for example, a mass balance system or a segregated system.
Circular Economy	In contrast to the ‘take-make-waste’ linear model, a circular economy is regenerative by design and aims to gradually decouple growth from the consumption of finite resources. It is based on three principles: Design out waste and pollution; Keep products and materials in use, and Regenerate natural systems.
Criteria	The ‘content’ level of a standard. Conditions that need to be met in order to achieve a Principle.
Company	An organization with operational control, including the right to manage and implement changes at a site-level and responsibility for the management and implementation of operational systems. This may include, for example, legal entities and their majority owned subsidiaries or joint ventures.
Continual Improvement	The on-going process of improving performance through establishment of objectives, the use of monitoring, audit findings and management reviews; analyzing information and implementing corrective and preventive actions.
Conversion	Change of a natural ecosystem to another land use or profound change in a natural ecosystem’s species composition, structure, or function. <ul style="list-style-type: none"> • Deforestation is one form of conversion (conversion of natural forests). • Conversion includes severe degradation or the introduction of management practices that result in a substantial and sustained change in the ecosystem’s former species composition, structure, or function. • Change to natural ecosystems that meets this definition is considered to be conversion regardless of whether or not it is legal.
Deforestation	Loss of natural forest as a result of: i) conversion to agriculture or other non-forest land use; ii) conversion to a tree plantation; or iii) severe and sustained degradation. <p>Severe degradation (scenario iii in the definition) constitutes deforestation even if the land is not subsequently used for a non-forest land use.</p> <p>Loss of natural forest that meets this definition is considered to be deforestation regardless of whether or not it is legal.</p>

Degradation	<p>Changes within a natural ecosystem that significantly and negatively affect its species composition, structure, and/or function and reduce the ecosystem’s capacity to supply products, support biodiversity, and/or deliver ecosystem services.</p> <p>Degradation may be considered conversion if it:</p> <ul style="list-style-type: none"> a) is large-scale and progressive or enduring. b) alters ecosystem composition, structure, and function to the extent that regeneration to a previous state is unlikely; or c) leads to a change in land use (e.g., to agriculture or other use that is not a natural forest or another natural ecosystem).
Disenfranchised Groups	<p>Groups that have been deprived of a legal right, mostly vulnerable people that are excluded from having their rights protected and cannot raise their voice.</p>
Endemic Species	<p>A species, which is, found exclusively in a particular region or location and not found naturally anywhere else.</p>
Family Farm	<p>A farm operated and mostly owned by a family, that produces soy, sometimes simultaneously with other crops and where the family provides the majority of the labour used. Such farms provide the main source of income. Work by children is acceptable on family farms, under adult supervision; when not interfering with education programs; when children are part of the family and when they are not exposed to hazardous working conditions.</p>
Equator Principles	<p>A financial industry benchmark developed by private sector banks for determining, assessing and managing social and environmental risk in project financing. The Principles apply to all new project financings globally with total project capital costs of US\$10 million or more, and across all industry sectors.</p>
Equator Principles’ Social and Environmental assessment	<p>An assessment that determines the social and environmental impacts and risks (including labour, health, and safety) of a proposed project in its area of influence. It is an adequate, accurate and objective evaluation and presentation of the issues, whether prepared by the producer, consultants or external experts. The assessment should also propose mitigation and management measures relevant and appropriate to the nature and scale of the proposed project. See Principle 2 and Exhibit II of the Equator Principles at www.equator-principles.com for further details.</p>
Forest	<ul style="list-style-type: none"> • Land spanning more than 0.5 hectares with trees higher than 5 meters and a canopy cover of more than 10 percent, or trees able to reach these thresholds in situ. It does not include land that is predominantly under agricultural or other land use. Forest includes native forests and tree plantations. For the purpose of implementing no-deforestation supply chain commitments, the focus is on preventing the conversion of natural forests. • Quantitative thresholds (e.g., for tree height or canopy cover) established in legitimate national or sub-national forest definitions may take precedence over the generic thresholds in this definition.

See native forest.

High Conservation Values

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

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

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

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

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

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

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

Indicators

The 'operational' level of a standard expressed in measurable statements, which allow assessment of conformance.

Indigenous Peoples

Distinct groups of people who satisfy any of the more commonly accepted definitions (1) of indigenous peoples, which consider (among other factors) whether the collective:

- has pursued its own concept and way of human development in a given socioeconomic, political, and historical context;
- has tried to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions, worldviews, and ways of life;
- has at one time exercised control and management of the lands, natural resources, and territories that it has historically used and occupied, with which it has a special connection, and upon which its physical and cultural survival typically depends;
- self-identifies as indigenous peoples;
- and/or descends from populations whose existence pre-dates the colonization of the lands within which it was originally found or of which it was then dispossessed.

When considering the factors above, no single one shall be determinative. Indigenous peoples are defined as such regardless of the local, national, and regional terms that may be applied to them, such as "tribal people," "first peoples," "secluded tribes," "hill people," or others.

(1) Commonly accepted definitions generally include, but are not limited to, those provided for in the Convention concerning Indigenous and Tribal Peoples in Independent Countries (ILO Convention No. 169), the Study on the Problem of Discrimination against Indigenous Populations, and the UN Working Paper on

the Concept of “Indigenous People” prepared by the Working Group on Indigenous Populations

Indirectly Employed Workers	<p>Workers indirectly employed on the farm refers in this standard to employees of service providers who carry out services directly related to the production process.</p> <p>Further definition of those ‘<i>services directly related to the production process</i>’ should be carried out by national interpretation processes.</p>
Integrated Crop Management	<p>A system of crop production which conserves and enhances natural resources while producing a crop on an economically viable and sustainable foundation. A whole-farm, long-term strategy incorporating both new technologies and traditional knowledge and practices. See Annex 6 for further details.</p>
Local Communities	<p>Groups of people and families legitimately living or working on or near to the property to be certified, or between properties in case of multi-site or group certification, and influenced by or influencing the activities of the property.</p>
Minimal level (of deforestation or conversion)	<p>A small amount of deforestation or conversion that is negligible in the context of a given site because of its small area and because it does not significantly affect the conservation values of natural ecosystems or the services and values they provide to people.</p> <ul style="list-style-type: none"> • Minimal levels of deforestation or conversion at the site scale do not necessarily violate no-deforestation or no-conversion commitments. However, this provision does not sanction substantial conversion of forests or natural ecosystems to enlarge commodity production areas. • To be consistent with no-deforestation or no-conversion commitments, minimal levels must generally meet the following conditions: <ul style="list-style-type: none"> • Not exceed cumulative thresholds that are small both in absolute terms (e.g., no more than a few hectares) and relative to the area in question (e.g., no more than a small proportion of the site). Levels of conversion or deforestation should be assessed cumulatively over space and time; multiple small instances of conversion may lead to a producer being considered non-compliant with commitments. • Not result in the loss of important biological, social, or cultural values, for instance as defined by the High Conservation Value framework. • If planned in advance, be specified as a result of an integrated and participatory land-use planning process that follows good practices for achieving positive environmental and social outcomes • If not planned in advance (e.g., if resulting from unauthorized encroachment or other unforeseen activities), are addressed through effective actions to prevent non-repetition and to remediate harms and restore lost conservation values to the extent necessary. <p>Even when minimal levels of deforestation or conversion may not be cause for exclusion from ethical supply chains, they may still require remediation (including restoration/compensation) to the extent that they result in negative impacts to conservation values or human rights.</p>

Output material	Soy, soy-derivates or soy-products supplied to customers by the organization. This may also include embedded soy products.
Native Forest	<p>A forest that is a natural ecosystem. Natural forests possess many or most of the characteristics of a forest native to the given site, including species composition, structure, and ecological function. Native forests include: a) Primary forests that have not been subject to major human impacts in recent history b) Regenerated (second-growth) forests that were subject to major impacts in the past (for instance by agriculture, livestock raising, tree plantations, or intensive logging) but where the main causes of impact have ceased or greatly diminished and the ecosystem has attained much of the species composition, structure, and ecological function of prior or other contemporary natural ecosystems</p> <p>The categories “native forest” and “tree plantation” are mutually exclusive, though in some cases the distinction may be nuanced.</p>
Natural Lands	All land with natural, native vegetation, including, but not limited to, native forests (according to RTRS definition), riparian vegetation, natural wetlands, grasslands, savannahs, prairies, and woodlands.
Natural Wetlands	<p>The marine and coastal wetlands classified as Categories: A-Permanent shallow marine waters in most cases less than six metres deep at low tide; includes sea bays and straits; B- Marine subtidal aquatic beds; includes kelp beds, sea-grass beds, tropical marine meadows; C- Coral reefs; D- Rocky marine shores; includes rocky offshore islands, sea cliffs; E- Sand, shingle or pebble shores; includes sand bars, spits and sandy islets; includes dune systems and humid dune slacks; F- Estuarine waters; permanent water of estuaries and estuarine systems of deltas; G- Intertidal mud, sand or salt flats; H- Intertidal marshes; includes salt marshes, salt meadows, saltings, raised salt marshes; includes tidal brackish and freshwater marshes; I Intertidal forested wetlands; includes mangrove swamps, nipah swamps and tidal freshwater swamp forests; J- Coastal brackish/saline lagoons; brackish to saline lagoons with at least one relatively narrow connection to the sea; K- Coastal freshwater lagoons; includes freshwater delta lagoons; ZKA- Karst and other subterranean hydrological systems. And as inland wetlands (categories L- Permanent inland deltas, M- Permanent rivers/streams/creeks, includes waterfalls; N- Seasonal/intermittent/irregular rivers/streams/creeks; O- Permanent freshwater lakes (over 8 ha); includes large oxbow lakes; P- Seasonal/intermittent freshwater lakes (over 8 ha); includes floodplain lakes; Q- Permanent saline/brackish/alkaline lakes and flats; R- Seasonal/intermittent saline/brackish/alkaline lakes and flats; S- Permanent saline/brackish/ alkaline marshes/pools; S-Seasonal/intermittent saline/brackish/alkaline marshes/pools; Tp Permanent freshwater marshes/pools, ponds (below(8ha), marshes and swamps on inorganic soils, with emergent vegetation water-logged for at least most of the growing season; T- Seasonal/intermittent freshwater marshes/pools, on inorganic soils, includes sloughs, potholes, seasonally flooded meadows, sedge marshes; U- Non forested peatlands, includes shrub or open bogs, swamps, fens; V- Alpine wetlands; includes alpine meadows, temporary waters from snowmelt; V- Tundra wetlands, includes tundra pools, temporary waters from snowmelt; W- Shrub-dominated wetlands, shrub swamps, shrub-dominated freshwater marshes, shrub carr, alder thicket on inorganic soils; X- Freshwater, tree-dominated wetlands, includes freshwater swamp forests, seasonally flooded forests, wooded swamps on inorganic soils; X- Forested peatlands, peatswamps forests; Y- Freshwater springs, oasis; Z-</p>

	Geothermal waters; ZKB- Karst and other subterranean hydrological systems, inland.
No-Tillage	A way of growing crops from year to year without disturbing the soil through ploughing. Also known as direct drilling, zero tillage and conservation tillage.
Pesticides	Pesticides include herbicides, fungicides, rodenticides and insecticides.
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.
Producer	An organization growing soy, e.g. a farmer
Quantity	The quantity of the material as measured by volume or weight. For product transported by ship, this is the volume or weight at ship loading. For products transported by truck or train, this is the volume or weight at the weighbridge or scale.
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.
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.
Restoration	The process of assisting the recovery of an ecosystem, and its associated conservation values, that has been degraded, damaged, or destroyed. The term "restoration" is also used in the context of remediation of human rights harms, for which restoration may take many forms (e.g., restoration of benefits, employment, or access to lands).
RTRS claims	The text used to communicate that a product is RTRS certified. RTRS claims differ based on the specific Chain of Custody System used by the organization, as set out in the RTRS Communication and Claims Policy.
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.
Wetlands/Surface Water/Superficial Water/ Water Bodies	Areas of marsh, fen, peatland or water, whether natural or artificial, permanent or temporary, with water that is static or flowing, fresh, brackish or salt, including areas of marine water the depth of which at low tide does not exceed six meters (Ramsar Convention).
Wildlife	All animals, vertebrates, mammals or just big and more charismatic animals, that have not been domesticated or tamed and that usually live in a natural environment.
Workers	Where used in this document 'workers' includes permanent, temporary and seasonal workers and sharecroppers.
Zoning	The classification of allowable or preferred land use.

Annex 4 - RTRS Guidelines for Responsible Soy Expansion

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

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

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

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

The guidelines for using maps according to farm categories are:

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

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

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

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

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

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

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

Annex 5 – Example

Developing a Plan for Ensuring Preservation of On-Farm Native Vegetation and Wildlife

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

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

The plan can be developed following these four steps:

1. Identification of on-farm native vegetation and wildlife
2. Indicators and baseline of status of native vegetation and wildlife
3. Measures for preserving native vegetation and wildlife
4. Monitoring and adaptive management

1. Identification of on-farm native vegetation and wildlife.

- The map required in Indicator 4.5.1 may be used for identifying native vegetation on the farm.
- Native vegetation identified in this map should be classified into different vegetation units, using local ecosystem names such as, *caldén* forest, *espartillar*, *aibal*, or saline lowlands. Based on this first identification, a quick consultation with a local expert or literature at hand may provide a description of each environment, including key species, threats, and any other information useful for defining Steps 2 and 3. In the case of degraded areas or areas under restoration, the description should contain information about status of degradation⁶.

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

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

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

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

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

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

Table 1: Examples of Indicators

N°	Indicators of Preservation of a Vegetation Unit	Measurement Methodology	Units
1	Surface ⁷	Satellite Image Tools, Geometric Calculation	ha
2	Canopy Cover	Satellite Image Tools, Grid Analysis	%
3	Distance to the nearest patch/es of Native Vegetation ⁸	Satellite Image Tools, Geometric Calculation	m, km
4	Border length with other Patches of Native Vegetation	Satellite Image Tools, Geometric Calculation	M, km
5	Bare Soil	Sampling with Circles	%
6	Species x ⁹ Cover	Sampling with Circles	%
7	Number of Plants per Species y ¹⁰ per m ²	Sampling with Circles/Grid Sampling	#
8	Number of Plants per Species y per m	Sampling with Transects	#
N°	Preservation Indicators of a Key Species	Measurement Methodology	Units
9	Number of Observations of the Species or of its Traces ¹¹	Sampling with transects or grid, Counting of individuals in a given colony, Register of spontaneous Observation per time unit	#
N°	Threat or Pressure Indicators	Measurement Methodology	units
10	Number of Signs ¹² of Invasive Human Activities (hunting, gathering, logging)	Sampling with Transects or Grid, Record of Spontaneous Observation per Time Unit	#

⁷ Only when the management plan aims at incrementing the surface

⁸ Only when the management plan aims at incrementing connectivity

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

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

¹¹ Feces, nests, burrows, footprints, bird singing, etc.

¹² Traps, poaching camps, logging residues.

11	Amount of Pollutants in Water Bodies/Water Courses	Sampling and Laboratory Analyses	ppm
12	Biochemical Demand of Oxygen (BDO) in Water Bodies/Water Courses	Sampling and Laboratory Analyses	mg/ l
13	Amount of Suspended Sediments in Water Bodies/Water Courses	Sampling and Laboratory Analyses	mg/l
14	Number of Fire Spots	Record of Fire Alarms per Year/Season	#
15	Number of Spots/Impacts on Spraying Control Cards	Spraying Control Cards in the Border of Native Vegetation Areas	Spots per card

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

3. Measures for Preserving Native Vegetation and Wildlife

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

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

Table 2: Examples of Measures linked with Issues and Indicators

Problem/Risk	Action	Indicator
Low Extension of Native Ecosystems	Restore Native Vegetation in Key Places	1, 2
Degraded Vegetation in Native Ecosystems ¹³	Restore Native Vegetation in Key Places Treatments against Invasive Plants Buffer Zone for Spraying and other Farm Activities	2, 5, 6, 7, 8, 15
Fragmentation, Lack of Connectivity	Re-Design of Native Vegetation Patches and Corridors	3, 4
Desertification, Erosion	Conservation Tillage, Terraces, Wind or Runoff Barriers, Re-Vegetation and Restoration	5, 13
Human Invasive Activities	Educational Activities for Staff and Local Communities Control of Trespassing	10

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

Contamination or Eutrophication of Water Bodies	Buffer Zone for Spraying Re-vegetation or Setting of Barriers in Buffer Zone Specific Good Agricultural Practices Close to Water Bodies	11, 12, 13
Fire Risk	Setting of Fire Barriers Fire Alarm System Controlled burning of Dry Biomass Capacity Building for Staff and Local Communities	14
Degraded Habitat for Key Species	Any of the Previous Ones Specific Actions to Increase Population ¹⁴	9

4. Monitoring and Adaptive Management

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

Some possible causes:

- The indicator is not appropriate for the scenario.
- The methodology or mechanism for data gathering is not accurate: sampling methodology, lack of training, etc.
- Actions are not well implemented.
- Actions are effectively implemented, but they are not effective (they do not bring about the expected results).

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

Annex 6 - 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 (e.g. hedges, riparian vegetation, etc.).
2. Technical measures for cultivation	2a. Sowing date/timing. 2b. Scouting in field to assess damage-threshold for all pests (proven by daily record keeping). 2c. Use of fertilizer with evidence of need provided by professional soil/fertilization specialist. 2d. Manual weed removal/intercultural operations. 2e. Mechanical weed removal/intercultural operations which are not detrimental to soil structure, organic matter content or other soil and water values.
3. Systems for early warning and advise	3a. Use of weather information to determine applications. 3b. Use of pest traps. 3c. Use of decision support systems or manuals. 3d. Use of warning systems or services for pests and diseases such as soy bean rust.

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

Annex 7 - Guidance for National Interpretations

This guidance **must** be followed by RTRS National Technical Groups¹⁵ when developing National Interpretations of the RTRS Standard for Responsible Soy Production.

Criterion reference	Guidance for National Interpretations
1.1	Provide guidance on what the applicable laws are. List applicable laws in the national interpretation document and on the RTRS website. Include definition of large, medium and small producer.
1.2	Provide further definition of what constitutes acceptable evidence of <i>legal use rights to land</i> and appropriate methods of proving rights. Provide guidance on how to deal with situations where the legal process for resolving land tenure and use rights is very long. Address rental and sharecropper agreements where applicable. Consider also if a minimum holding of the property (lease period) is applicable.
1.3	Produce a list of possible indicators, which can voluntarily be selected by the producer (certification applicant) to demonstrate continual improvement; e.g. soil carbon content, use of agrochemicals, state of riparian vegetation, or indicators from the Data Collection Sheet
2.1	2.1.4-2.1.5 Where legal and considered essential, national interpretations may consider including that on family farms, children between 13 and 15 years old may carry out light productive activities during the peak season, providing this does not exceed 14 hours per week and does not interfere with their schooling. The number of hours during which these children may carry out light productive activities on family farms in summer shall be defined at National Interpretation level.
2.2	Define the scope of ' <i>services directly related to the production process</i> ' (See Guidance for Criterion 2.2). In those countries where there are no requirements for formal labour agreements between worker and employer, define the alternative documented evidence of a labour relationship that must be provided (e.g. registration of employees with social security/employment agency). .
2.5	Define the scope of ' <i>services directly related to the production process</i> ' (See Guidance for Criterion 2.5). Establish whether the minimum wages stipulated by national legislation or sector agreements are adequate to meet basic needs. Where they are not adequate, provide clear guidance as to: a) What is acceptable in order to meet basic needs (e.g. reference values) (Reference ILO Convention 131 Minimum Wage Fixing).

¹⁵ Or any group recognized by RTRS as carrying out official RTRS National Interpretation.

Criterion reference	Guidance for National Interpretations
	<p>b) The methodology to be used to stipulate this (e.g. SA8000 calculation).</p> <p>c) A methodology to achieve basic needs (eg. step by step approach of SA8000-2008 version).</p> <p>National interpretations may include additional indicators in relation to this point.</p>
3.3	Provide guidance on an appropriate interpretation of ' <i>timely manner</i> '.
4.1	<p>Identify whether existing national legislation for impact assessments is adequate to meet the requirements of this Criterion.</p> <p>If not:</p> <p>a) Define 'large and high risk new infrastructure' for the country/region. Examples of new infrastructure may include: silos, storage areas, buildings, roads, bridges and dams;</p> <p>b) Define the appropriate professional qualifications or experience of person(s) carrying out the assessment of impacts.</p> <p>National interpretations may also produce templates or guidance on how impact assessment should be carried out.</p>
4.2	<p>4.2.2 It is required that the NTG define the meaning of adequate storage and disposal of the elements as listed in 4.2.2.</p> <p>4.2.4 Provide information on existing programs for re-using or recycling waste products.</p>
4.3	<p>4.3.1 Provide guidance on how to deal with the situation where operations by machine on a farm are outsourced.</p> <p>4.3.1 Evaluate the appropriateness of the records requirement for smallholders.</p>
4.4	<p>4.4.1.2 c) Option 1 Compile a list of appropriate official maps</p> <p>National interpretations should:</p> <ol style="list-style-type: none"> 1. Further elaborate the definition of native forest including identifying the biomes which meet this definition. 2. Not establish requirements less stringent than the generic definition. 3. Provide guidance on how these areas can be identified.
4.5	<p>For countries where on-farm reserves are required by law, NI s must specify acceptable means of verification for compliance with these laws: e.g. Via satellite images, registration of the area in the land registry.</p> <p>In countries where soy is native, develop indicators related to protecting genetic diversity of soy.</p>
5.1	<p>5.1.2 Provide guidance on what needs to be measured and monitored, including the supply of water.</p> <p>5.1.2 Provide information on how the monitoring can be carried out.</p> <p>5.1.5. Provide guidance on what activities might require the highest water uses and how they could be monitored.</p>
5.2	Develop more specific guidance regarding restoration plans which are adapted to the national situation taking into account the scale of operation, differences between biomes within countries and different legal requirements.

Criterion reference	Guidance for National Interpretations
	<p>Define the width of the riparian strip to be maintained or restored. This should depend on the width of the watercourse.</p> <p>Clarify requirements for small farms.</p>
5.4	<p>Take into account scale and context especially for small farms– this relates to both the level of ICM expected and the records maintained.</p>
5.5	<p>5.5.1 Take into account scale and context, especially for small farms.</p> <p>5.5.3 Identify whether national regulation is sufficient for the indicator. Clarify additional requirements, where these are necessary.</p>
5.6	<p>5.6.1 Provide lists of chemicals listed in the Rotterdam and Stockholm Conventions and any country-specific banned agrochemicals.</p> <p>5.6.2 Provide guidance on methodologies to properly apply agrochemicals.</p>
5.7	<p>Translate relevant laws and protocols into understandable guidance for different types of procedures. Add additional indicators referring to the guidance to be followed. (e.g. guidance from international protocols).</p> <p>5.7.2 Take into account scale and context, especially for small farms.</p>
5.8	<p>5.8.1 Provide guidance on which institutions provide the systems mentioned.</p> <p>5.8.2 Provide guidance on how communication is to be carried out, e.g. what means of communication are appropriate.</p>
5.9	<p>5.9.1 Define good agricultural practices for agrochemicals application.</p> <p>Provide a list with all WHO Ia, Ib and II agrochemicals including local or trade names.</p> <p>5.9.1 and 5.9.2 requirements for small farms should be appropriate to scale and context.</p> <p>5.9.3 define how people should be informed about spraying for each country or region. This may be, for example, by radio, by SMS or by a warning rocket</p> <p>5.9.3 – 5.9.5 clarify the main national legal requirements and limits related to applications of agrochemicals and any additional requirements for the standard, including minimum distances of application if not established by law.</p>
5.10	<p>Provide guidance on the relevant coexistence situations and the measures associated with them.</p> <p>In countries or regions where it is proven that a buffer strip smaller than 30 meters is enough for preventing contamination and maintaining the purity of the neighbouring systems, the buffer strip may be smaller and defined at national level practices.</p>
5.11	<p>Define ‘known legal quality sources’.</p>

Annex 8 – Minimal Level of Conversion Allowed

In cases where there were minimal levels of deforestation or conversion after the corresponding cut-off dates and they account for 5% of the total size of the farm or less, but no more than 20 hectares (whichever is stricter), the producer shall have in place a restoration plan effectively implemented at the time of the audit:

- a) In case of conversion for infrastructure purposes, the producer shall restore the same number of hectares as converted in areas with environmental gains (e.g., in biological corridors). If the mentioned areas are not available for restoration, the producer must restore 20% more hectares than what was originally converted, in a suitable area.
- b) For producers that are not yet certified, conversion may occur for agricultural production after the cut-off dates if the producer restores the same number of hectares as converted in areas with environmental gains (e.g., in biological corridors). If the aforementioned areas are not available for restoration, the producer must restore 20% more hectares than what was originally converted, in a suitable area. This conversion may not have taken place in a Category 1 area (red area) as featured on RTRS maps.

This minimal level of deforestation/conversion shall be assessed cumulatively over time.

This minimal level does not apply if the local law is stricter. Furthermore, restoration must take place in the same RTRS-certified production area.

The restoration plan will be crucial to the establishment of short, medium- and long-term objectives and shall be completed in accordance with the terms set forth in the plan. The auditor must be able to verify that the restored ecosystem includes dominant native species and resembles the prior or corresponding biome in species composition, structure, and function. The plan must be developed by a professional with the necessary skills, such as an agronomist or forest engineer, and producers shall take photographic evidence that shows the evolution of the restoration process.

Restoration must be carried out in a suitable area, meaning an ecosystem with similar climate, topography and soil characteristics. Likewise, the community of species in the converted ecosystem should resemble the community of the prior ecosystem and/or natural ecosystems in that location.

The restoration plan should include remediation for harm to human rights (e.g., land rights; right to access natural resources) where these rights have been affected by ecosystem conversion.

Soy produced in areas converted as per point b) shall be deducted from the total volume of soy produced in the farm. Under no circumstance may converted areas be subsequently used for agricultural certified crop production.

Annex 9 - Members of the Review Technical Working Group: July 2020 to May 2021

Names	Company	Country
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Patricia Takase Rafael Pereira	AMAGGI	Brazil
Cristina Delicato Julia Teresa Silva Ferreira	CAT Sorriso	Brazil
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Cooperativa Agropecuaria de Acopiadores Federados	Cecilia Piermatei	Argentina
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ACT Commodities	Jorn Schouten	The Netherlands
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The Nature Conservancy	Caroline Holtz Rolim Hernan Zunino	Argentina/Brazil
CDP	Isabele Goulart	Brazil
Aliança da Terra	Christiane Mendes Simioli	Brazil
OBSERVERS & SOURCE OF INFORMATION		

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Louis Dreyfus Company	Murillo Alves Moreira Paloma Silva	Brazil
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