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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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## **RTRS Accreditation and Certification Standard**

### **I Introduction**

The Round Table on Responsible Soy Association (RTRS), is a global multi-stakeholder organization on responsible soy. [www.responsiblesoy.org](http://www.responsiblesoy.org).

The principal objective of RTRS is to “promote the growth and the use of responsible soy through co-operation with the supply chain and open dialogue between its stakeholders”.

The methods used by the RTRS to deliver its objectives include:

- (a) The development of a standard for responsible soy production and associated mechanisms for verification of responsible soy production. The RTRS Standard for Responsible Soy Production was initiated in 2007 and continuously improved since then. It is presented as a series of Principles, Criteria, Indicators and Guidance, and is designed to be used by soy producers to implement responsible production practices, and by certification bodies for field verification. No public claims relating to compliance with the RTRS Principles and Criteria can be made without independent, third party certification, carried out by a certification body that has been authorized by RTRS, and according to RTRS certification requirements.
- (b) The development of a Chain of Custody Standard, which describes requirements related to the control of RTRS certified soy, soy derivatives and soy products along the supply chain, including flows of material and associated claims. The RTRS Chain of Custody Standard is presented as a series of auditable requirements designed to be used by organizations in the soy value chain to demonstrate implemented systems for control of RTRS certified soy, soy derivatives and soy products. No public claims relating to compliance with this standard can be made without independent, third party certification, carried out by a certification body authorized by the RTRS, according to RTRS certification requirements.

In preparing this document, the RTRS recognises that there is a considerable variation in the scale, technical knowledge and organization of producers and supply chain operators throughout the world and so it is imperative that access to certification is given to all growers and supply chain operators in a pragmatic and affordable way.

### **II Scope**

This document sets out:

- (a) The requirements for a certification body to be approved by the RTRS as being a competent body capable of undertaking assessments and issuing certificates of compliance against the RTRS Standard for Responsible Soy Production Version 3.1. (Accreditation requirements).
- (b) The way in which certification must be carried out by such certification bodies. (Certification requirements).

*Date of implementation:*

This standard becomes effective on

*Date of revision:*

This standard will be reviewed within five years from the date of implementation at the latest.

### **III Definitions**

*Applicable RTRS standard* is used to mean the set of RTRS Principles, Criteria and Indicators being used for assessment by the Certification Body. This includes both:

Standards for Soy Production: either the relevant National Interpretation or (where no national interpretation exists) the Certification Body Interpretation of the RTRS Principles and Criteria for Responsible Soy Production.

Standards for Chain of Custody: the RTRS Chain of Custody Standard general requirements and associated module(s).

All applicable definitions can be found in the RTRS EU RED Compliance Procedure for Producers (Version 3.4) Section V.

Note: For purposes of this standard, the term (i) “organization(s)”, “operation(s)”, “unit(s)”, “production unit(s)”, “grower(s)”, farmer(s) and “producer(s)” refer to any natural person, corporation, company, general partnership, limited partnership, limited liability partnership, joint venture, proprietorship, limited liability company, or other entity or business organization or vehicle, trust or unincorporated organization which produces soy –whether individually or through group schemes-; (ii) “related organizations” refers to (a) with respect to natural persons, any individual which is a family member (child, stepchild, parent, stepparent, spouse, sibling, mother-in law, father-in-law, daughter-in-law, brother-in-law, or sister-in-law, and any person sharing a person’s household), employee, executive officer, director, partner or auditor of such organization; or (b) with respect to corporations, any corporation directly or indirectly controlling, controlled by, under common control with, or otherwise affiliated to or auditor of, such organization; and “control system” refers to a documented set of procedures and processes that defines how the multi sites and groups are structured; ensures that records are maintained; records internal assessments of production units and explains the responsibilities of both the production units and the control system staff.

### **IV Changes from version of this document**

#### **Version 4.4**

Various updates in conformity with Directive (EU) 2018/2001 of the European Parliament and of the Council of 11 December 2018 on the promotion of the use of energy from renewable sources (recast) (RED II) and the Updated assessment protocol for voluntary schemes under RED II (July 2020).

### **V RTRS Accreditation System**

#### **1. Approval of accreditation bodies by the RTRS**

##### **1.1. Accreditation overview**

1.1.1. Any certification body that wishes to offer a service of compliance assessments and issue of certificates for any of the RTRS EU RED standards must be RTRS accredited, according to the requirements laid out in this document.

1.1.2. Certification can only be undertaken by a body that conforms to the accreditation requirements. An individual cannot be approved as a certification body.

- 1.1.3. The scope of the accreditation shall specify for each certification body the geographical area (country(s) or region(s)), and the type of certification (responsible soy production or supply chain) for which they are accredited.

## **1.2. Accreditation Body (AB) requirements**

- 1.2.1. Only accreditation bodies which have been formally endorsed by RTRS may accredit certification bodies (CB) to carry out compliance assessments and award certificates for RTRS Responsible Soy Production.
- 1.2.2. The accreditation body must be operating in accordance with the requirements of ISO 17011:2017.
- 1.2.3. Accreditation bodies may be National Accreditation bodies, or International Accreditation bodies.
  - 1.2.3.1. National Accreditation bodies must be Signatory Members of the International Accreditation Forum, Inc. (IAF), and members of the IAF Multilateral Recognition Arrangement (MLA), having been admitted to the MLA as signatory members in either the QMS (quality management system) MLA or Product MLA category.
  - 1.2.3.2. International Accreditation Bodies must have full membership of the International Social and Environmental Accreditation and Labelling Alliance (ISEAL).
- 1.2.4. Accreditation bodies and RTRS shall provide guidance to accredited certification bodies, as required, on aspects that are relevant to the certification process, e.g. updates to the regulatory framework or relevant findings from the voluntary scheme's internal monitoring process.

## **VI General Accreditation Requirements for Certification Bodies**

### **2. Application and Approval Process for CBs**

#### **2.1. Registration and application**

- 2.1.1. The CB shall make a formal request to the RTRS Secretariat for preliminary recognition by the RTRS as an applicant CB.
- 2.1.2. The CB shall supply to the RTRS the required documentation (as requested to them by the RTRS) for review and approval for preliminary recognition by the RTRS.
- 2.1.3. If approved by the RTRS, the CB shall sign a contract with the RTRS authorizing it to commence the application for accreditation by an RTRS-endorsed accreditation body.
- 2.1.4. The RTRS Secretariat shall confirm preliminary recognition to the CB and provide a complete list, with contact details, of all approved Accreditation Bodies. The CB shall pay half of the Recognition fee to the RTRS.
- 2.1.5. During the preliminary recognition period the CB will be allowed to carry out certification assessments and issue certificates. The CB will inform the RTRS Secretariat in advance when a certification assessment is scheduled and will send all the information for public consultation.
- 2.1.6. During the preliminary recognition process the RTRS Secretariat is entitled to request any certification assessment report to do an external peer review before the CB issues a Certificate.

- 2.1.7. The CB shall achieve a positive accreditation decision by an RTRS-endorsed accreditation body within 8 months of the date of signing the contract for preliminary recognition by the RTRS.
- 2.1.8. After a CB is granted with a successful accreditation decision (within the 8 months of the preliminary recognition period) made by an RTRS-endorsed Accreditation Body (AB) the CB shall send to the RTRS Secretariat a complete application form to request a full recognition status and pay the second half of the Recognition Fee.

## **2.1. Accreditation and surveillance**

### **Core competency requirements**

- 2.1.1. The certification body shall comply with the requirements of ISO/IEC 17065 and with the additional requirements specified in this standard.
- 2.1.2. The certification body shall have a documentation management system that addresses each of the following elements:
  - 2.1.2.1. General management system documentation (e.g. manual, policies, definition of responsibilities);
  - 2.1.2.2. Control of documents; control of records;
  - 2.1.2.3. Management review of management system;
  - 2.1.2.4. Internal audit; v) procedures for identification and management of non-conformities; and
  - 2.1.2.5. Procedures for taking preventive actions to eliminate the causes of potential non- conformities.
  - 2.1.2.6. Documentation shall be kept for a minimum of 5 years, or longer if required by the relevant national authority.
  - 2.1.2.7. The certification body shall ensure that all auditors participating in RTRS assessments have attended a training covering all relevant aspects of the RTRS EU RED Standard, passed an exam and/or underwent a witness audit. Auditors shall maintain a sufficient level of competences to conduct RTRS assessment by attending refresher training courses as appropriate.

### **Other requirements**

- 2.1.3. The certification body shall be a member of the RTRS.

### **Approval**

- 2.1.4. A CB shall demonstrate that it has developed all of the required, documented procedures as specified in ISO/IEC 17065 and in this document.
- 2.1.5. A CB shall demonstrate that it has at least one (1) auditor who meets the requirements for RTRS lead auditors for the modules they are seeking accreditation (Annex 1).
- 2.1.6. For each of Soy Production accreditation applications, as part of the approval process AB staff shall carry out at least one (1) witnessed assessment, where AB staff shall accompany the CB on a field or site assessment using the relevant RTRS EU RED standard. The purpose of witnessing the CB performing field /site audits of their clients is to collect objective evidence to assist in the determination of CB staff competence including:
- 2.1.6.1. Verification on site of the effectiveness of the CB's documented system and procedures, especially with regard to the assignment of competent audit teams;
  - 2.1.6.2. Observation of the CB's audit teams, as they perform an audit, to evaluate whether they:
  - 2.1.6.3. Conform with the CB's own documented system and procedures,
  - 2.1.6.4. Conform with the requirements and recommendations of ISO/IEC 17065 and of this and other relevant RTRS EU RED standards or guidance.
- 2.1.7. CBs which meet all the requirements should be provided with accreditation confirmation by the AB.

#### **Surveillance and monitoring**

- 2.1.8. CBs shall be subject to annual surveillance visits by the AB including witnessing field assessments and ensuring that the competences and training of active auditors are in line with this standard.
- 2.1.9. Surveillance visits shall take into account the scope of certification assessments undertaken by the CB, including the size of organizations certified and the geographical scope of work.
- 2.1.10. RTRS shall be entitled to participate, upon prior notice and at its own cost, in assessments or surveillance audits carried out by ABs.
- 2.1.11. As part of the surveillance and monitoring process, RTRS shall be entitled to conduct, upon prior notice and at its own cost, internal audits of RTRS-certified and RTRS EU RED-certified organizations.
- 2.1.11.1. Internal audits shall aim to verify the organization's compliance with the RTRS requirements, based on the documentation transmitted by the certified organization and/or a field visit of the organization. Internal audits shall be realised:
    - Over randomly selected certified operators as part of the regular surveillance and monitoring process, at least every year; or
    - Whenever substantiated information are received from external parties about potential irregularities or non-conformity of certified operators or CBs. Such audits shall be conducted immediately.

- 2.1.11.2. To verify the organization's compliance with the RTRS requirements and the time spent by assessment teams on audits.
- 2.1.11.3. Upon request by RTRS the CB shall provide all audit reports, and actual value GHG emission calculations including related background evidence on the application of GHG emission saving credits ( $e_{sca}$ ), where applicable.
- 2.1.11.4. Internal audits shall be undertaken on at least an annual basis and reflect the geographical coverage of the CB, as well as the level of risk of the economic operators.
- 2.1.11.5. Internal audits shall cover audits conducted by CBs and the inspection of a sample of audit reports prepared by each certification body.
- 2.1.12. Internal audits may be undertaken as witness by monitoring the work of the CB over a regular audit.
- 2.1.13. The scope of internal audits shall correspond to the scope of the certificate detained by the organization at which the internal audit is undertaken.
- 2.1.14. Results from internal audits shall be compared to the results from audits conducted by RTRS-accredited certification bodies. RTRS shall communicate the results to the CB and AB, which shall be allowed to provide additional information and address any discrepancy revealed by the internal audit within a reasonable amount of time.
- 2.1.15. RTRS reserves the right to take any appropriate action in case of significant discrepancies between the results of internal audits and the results of audits conducted by RTRS-accredited CBs. Such actions include, but are not limited to:
- Technical guidance and training and/or organise harmonisation meetings with CBs and/or ABs, in relation to any discrepancy or perceived lack of skills or training among the audit team or CB/AB staff;
  - Technical guidance and training for audited organisations, in relation to any discrepancy between the results of internal audits and the results of audits conducted by RTRS-accredited CBs;
  - The temporary or definitive suspension of the certificate detained by the audited organization;
  - The temporary or definitive suspension of the accreditation detained by the CB;
  - The temporary or definitive suspension of the formal endorsement given by RTRS to the AB.

## **2.2. Contract with RTRS**

- 2.2.1. Once a CB has been successfully accredited, it shall submit the accreditation confirmation and will pay the second half of the accreditation fee to the RTRS who will then issue a contract to allow the CB to undertake RTRS certification (unless such contract was formerly executed in the case of RTRS preliminary recognition).
- 2.2.2. The CB shall provide confirmation of continuing compliance provided by surveillance visits by the RTRS together with payment of the annual accreditation fee.
- 2.2.3. The CB shall send at least one appropriate senior representative (either a certification programme manager or an experienced lead auditor) to the annual CB meeting of the RTRS and have a mechanism to ensure that all information from the meeting is communicated to all lead auditors and others involved in RTRS certification within the CB.



### **2.3. Sanctions**

2.3.1. The RTRS may withdraw the right to act as an RTRS certification body if the CB:

2.3.1.1. Fails to close out a major non-conformity identified during an accreditation visit and thus loses its accredited status;

2.3.1.2. Fails to meet the terms of the contract with RTRS.

2.3.2. The relevant RTRS committee will be responsible for dealing with these non-conformities.

2.3.3. CBs shall be subject to sanctions –including suspensions of permits to operate - if in violation of the requirements and policies of the RTRS. These sanctions will be defined by the relevant RTRS committee.

### **3. Systems and Procedures Requirements**

#### **3.1. Mechanisms for complaints and grievances**

- 3.1.1. The CB shall develop procedures for dealing with complaints and appeals that are open to any interested party. Information transmitted by third party regarding certified organizations shall be considered in the following surveillance audit and, upon decision by the Lead Auditor, may lead to advance the surveillance audit in time and temporarily suspend the organization's certificate.
- 3.1.2. The CB shall publish summary information on its web site about the procedures for submitting complaints and appeals and about the CBs procedure for handling such complaints or appeals.
- 3.1.3. The summary information shall be available in English and additionally in the principal languages of the countries where the CB is carrying out RTRS certification assessments.
- 3.1.4. Unsettled complaints and grievances shall be forwarded to the Accreditation Body in charge of the accreditation and monitoring of the CB. Should the complaint/grievance remain unsettled by the Accreditation Body, it shall be forwarded to the RTRS Secretariat for final resolution. The RTRS may also, at their own discretion, take part in a complaint resolution process at CB level. In case of divergences between the CB, AB and RTRS, decisions by the RTRS shall prevail.
- 3.1.5. Requests for information regarding sustainability and GHG emissions by the European Commission or competent authorities from EU Member States shall be treated by CBs within a reasonable amount of time, appropriate to the nature of the request, and which shall not exceed two weeks.
- 3.1.6. Any staff of the CB shall fill a declaration of interests before taking part in any complaint/grievance resolution process. Staff with any identified conflict of interest shall not take part in the resolution process.
- 3.1.7. The CB shall keep a register of previous complaints and grievances at the disposal of RTRS and the European Commission.

#### **3.2. CB independence, impartiality and integrity**

- 3.2.1. The CB shall maintain a written policy and procedures for avoidance of conflict of interest.
- 3.2.2. Procedures for identifying and managing conflicts of interest must include provision for a specific independent committee, of at least 3 individuals, set up by the certification body. A single mechanism for several certification schemes can satisfy this requirement.
- 3.2.3. The independent committee shall:
  - 3.2.3.1. Meet at least annually;
  - 3.2.3.2. Be independent of the financial control of the organization;
  - 3.2.3.3. Be independent of certification decision making;
  - 3.2.3.4. Formally review the certification body's performance with respect to independence;
  - 3.2.3.5. Formally record its discussions and recommendations, and the CB's response to them.
- 3.2.4. Records of the conflict of interest committee's discussions, recommendations and consequent corrective actions must be maintained for at least 10 years.

- 3.2.5. Certification bodies and members of assessment teams must have maintained independence from the organization or related organizations for a minimum of five years to be considered not to have a conflict of interest. Independence in this context means not having been employed in or by the organization being assessed or undertaking any consultancy activities or other service provision, except for certification or verification activities.
- 3.2.6. The CB shall not offer assessment or surveillance audits for any organization to which it has provided management advice or technical support related to the scope of RTRS certification, or with whom it has any relationship, which creates a threat to impartiality.
- 3.2.7. The CB procedures must include the contractual obligation for all personnel including sub-contracted personnel such as consultants contributing to certification decisions to disclose in writing to the CB all possible and actual conflicts of interest, at the time that the conflict of possibility of conflict becomes evident.

Note: a relationship that threatens the impartiality of the CB can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission, or any other inducement for the referral of new clients etc. (See IAF definition of 'related body' ) .

### 3.3. Client application and contract

- 3.3.1. The CB shall enter into a contractual agreement for certification services with an operation seeking or holding certification against the relevant RTRS standard, and maintain a record of such agreement before proceeding with any service provision.
- 3.3.2. The contractual agreement shall specify the certification scope, duration and costs relating to the assessment procedure, and outline the rights and obligations of the CB and of the client. This shall include:
  - 3.3.2.1. Relevant provisions on confidentiality and declarations of interest.

### 3.4. Information provision to certificate holders

- 3.4.1. The CB shall ensure that any operation seeking or holding certification against the requirements of an RTRS standard are provided with all necessary information concerning the RTRS as a whole, the relevant standard against which they will be assessed, and all contractual documentation.
- 3.4.2. The CB shall have a procedure to ensure that any change to either the RTRS requirements or to the CB's own requirements is systematically communicated to all certificate holders, including the date by which full implementation is required.

### 3.5. Issuing of certificates

- 3.5.1. The allocation of certificate numbers for any RTRS certificates shall follow the following system:
  - 3.5.1.1. RTRS certificate numbers shall be unique and shall be comprised of 3 or 4 component parts, as shown in the below table:

Component of Certificate Number	How the component shall be written	Notes
Reference to the certificate being for RTRS responsible soy	RTRS	Obligatory first element of all certificates

Unique CB abbreviation or acronym	e.g. SGS, KPMG, CU	To be agreed with RTRS at the time of contract signing
Acronym corresponding to RTRS standard against which compliance is assessed	AGR (RTRS Standard for Responsible Soy Production)	
Additional code referring only to operations compliant with EU RED II biofuel and bioliquid requirements	BFLS (biofuels) BLS (bioliquids)(where the EU RED-II compliance requirements for producers/processors standard has additionally been complied with)	Only required if additional modules are complied with
Unique sequential number	e.g. 0012	Corresponding to the number the certificate issued by the CB  Each CB shall have a series for AGR certificates (starting at 0001)

3.5.1.2. Some examples:

- RTRS-SGS-AGR-0001
- RTRS-SGS-AGR-BFLS-0002, RTRS-SGS-COC-BFLS-0001

3.5.2. Certificate Content: The certificate issued will content at least the following information

3.5.2.1. Certificate Number

3.5.2.2. Certified organization: name and address, city and country

3.5.2.3. Scope of Certification: Name of the standard used for the assessment and version

3.5.2.4. Assessment type: group, multisite, individual production unit

3.5.2.5. Validity of the certificate: Valid from mmdyyyyy until mmdyyyy

3.5.2.6. In case of multisite or group certification: list and details of additional sites owned by the organization

3.5.2.7. Name, address, city and country of the Certification Body that issued the certificate

3.5.2.8. Logo of the RTRS, used according the rules of the use of the logo of the RTRS document.

### **3.6. Control of claims**

3.6.1. CB certification procedures shall include mechanisms to ensure compliance with RTRS requirements for the control of trademarks and claims by certified organizations.

### **3.7. Transfer of Certification**

3.7.1. The transfer of certification is defined as the recognition of an existing and valid product certification, granted by one accredited certification body, (hereinafter referred to as the “issuing certification body”), by another accredited certification body, (hereinafter referred to as the “accepting certification body”) for the purpose of issuing its own certification.

3.7.2. Only certifications which are issued by certification bodies accredited by the time of transfer shall be eligible for transfer. Organizations holding certificates that are not issued by such certification bodies shall be treated as new certifications and will require a full and initial audit.

3.7.3. Certifications under suspension or withdrawal or having major non-conformities open, are not eligible for this transfer process and shall be considered as new certifications, requiring an initial and full audit.

3.7.4. In cases of requests of transfer of certification, the accepting certification body will request and review all the relevant information of the certificate holder including:

3.7.4.1. Expiry date of existing certification

3.7.4.2. The reason for seeking transfer

3.7.4.3. Any complaint received and action taken, during or after the last visit of the issuing certification body

3.7.4.4. Any current engagement by the organization (prospective client) with regulatory bodies in respect of legal compliance

3.7.4.5. Scope of current certification

3.7.4.6. Stage in the current certification cycle. Current surveillance frequency and date of the last visit of the issuing certification body

3.7.4.7. The status of the existing certification (e.g., suspended, in good standing, etc.)

3.7.4.8. The previous audit report and public summary and a copy of the certificate of the issuing certification body.

- 3.7.5. The review process for eligibility has to be carried out by a competent person from the accepting certification body. The review process shall cover all the aspects in point 3.7.4 and its findings and conclusions will be documented.
- 3.7.6. The transfer of certification is allowed at any stage of the certification cycle and the approved certifications are transferred at the present stage in the certification cycle, with the accepting certification body certificate valid from the time of the transfer to the expiration date of the present certification of the issuing certification body. Upon issuance of a new certification, the accepting certification body shall immediately inform it to the RTRS.
- 3.7.7. A proposal is then issued to the prospective client in accordance with point 3.3

#### **4. Costs**

- 4.1. All costs for recognition with the RTRS must be agreed in advance between the RTRS and the CB and paid by the CB.
- 4.2. All costs for accreditation must be agreed in advance between the AB and the CB and paid by the CB.
- 4.3. All costs for certification must be agreed in advance between the CB and the certification applicant and paid by the certification applicant.
- 4.4. The issuing CB shall not charge extra costs beyond the originally agreed upon certification to the certificate holder if this decides to switch or transfer the certification.

## **Module A. Operational and Assessment Requirements for Certification against RTRS Principles and Criteria for Responsible Soy Production**

This module applies to certification bodies wishing to undertake certification at farm-level against the RTRS Standard for Responsible Soy Production (Version 2.0).

The General Requirements (Section VI of this document) must be fulfilled in addition to the requirements of this module.

### **A 1. Operational Requirements**

#### **A 1.1. Documented procedures**

- A 1.1.1. The CB shall implement all specific requirements for responsible soy production certification to certify single, multiple or group farm production units.
- A 1.1.2. The CB shall develop documented procedures for carrying out the assessments and determining compliance with the RTRS standards (s).
- A 1.1.3. The CB procedures shall be consistent with specifications defined in ISO 19011:2011 Guidelines for quality and / or environmental management systems assessment and all the requirements of this document.
- A 1.1.4. The CB procedures shall include an appropriate range of effective methods to collect objective evidence of compliance with the applicable RTRS field standard including document review, field visits and interviews with staff and directly affected stakeholders.
- A 1.1.5. The CB procedures shall include a specific procedure to determine the number of man-days required for the main assessment and surveillance assessments. This shall take into account various factors including size and complexity of operations, geographical distance between sites, complexity of social and environmental context. The procedure shall also include how time should be distributed between sites and/or evidence gathering methods. For group and multisite certification, also refer to RTRS Group and Multi-site certification requirements for CBs.
- A 1.1.6. The in-situ audit time for single site audits, will be estimated considering the following requirements:
  - A 1.1.6.1. Area of the unit of certification, defined as (see A.1.2.1), "The unit of certification shall be the farm on which soy is cultivated and is delimited by the farm boundaries. This includes fields where soy is cultivated, but also all non-soy growing areas, non-cultivated areas, infrastructure and installations and other areas that form part of the farm".
  - A 1.1.6.2. The first thing that must be considered, when calculating the man-days, is the area of the unit of certification. The following table (table A) provides the minimum man-days for in-situ audit certifications (not considering travel time) for single farms (not multi-sites or group certification), for initial certification audits, re-certifications and surveillance certification audits.

Table A

Number of hectares from the Single Unit of certification	Main audit	Re-certification audit	Surveillance audit
1 – 2.500 h	1,5	1,5	1

2.501 – 5.500 h	2	2	1,5
5.501 – 9.000	2,5	2,5	2
9.001 – 13.000	3	3	2
13.001 – 17.000	3,5	3,5	2,5
> 17.000	4	4	2,5

A 1.1.6.3. Additionally, the aspects which may increase the number of man-days required for soy production assessments<sup>1</sup> have to be considered in the estimation of the man-days and added to the time allocated in the table above:

- Difficult access and long travelling distances (to get to the farm and in the farm). Travel time shall be estimated and added on top of the recommended assessment time. The estimation of the travel time, should be part of the audit report.
- Difficult stakeholder context: Additional man-days may need to be considered in a very difficult context or where there are multiple and dispersed stakeholders; e.g., remote indigenous communities. This estimation of additional man-days should be part of the audit report.
- Significant number of complaints: Complaints either received during the public consultation process carried out by the CB or by the company under certification, need to be fully investigated. Appropriate additional time shall be allocated to investigate all relevant complaints received. This estimation of additional man-days should be part of the audit report.
- New country/region: When a certification assessment is performed in a country/region for the first time, additional time may be allocated to ensure that the audit team is provided with enough time to investigate and evaluate compliance with unforeseen issues.

A 1.1.6.4. The audit report of the Certification Body has to clearly explain how all these factors were considered and detail how the final time audit in terms of man-days were estimated.

A 1.1.6.5. Aspects which may decrease the number of man-days required (only applicable for Initial Certification and Re-certification audits) and need to be taken into account when budgeting for soy production management assessments (the highest deduction allowed is 20% for 2 or more the options below):

- Individual farm certification with less than 500 hectares.
- Family farms production.
- Little subcontracted labour.

## **A 1.2. The units of certification**

A 1.2.1. The unit of certification shall be the farm on which soy is cultivated and is delimited by the farm boundaries. This includes fields where soy is cultivated, but also all non-soy growing areas, non-cultivated areas, infrastructure and installations and other areas that form part of the farm.

A 1.2.2. The CB may offer one of more of the following types of RTRS certification:

Type of Certification	RTRS standard(s) to be used for compliance assessment.
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<sup>1</sup> Cross reference: See also A.2.1.2 and A.2.1.3.1



Individual farm certification- single farm, on a single site	RTRS Standard for Responsible Soy Production: National Interpretation endorsed by the RTRS or regional interpretation developed by the CB (see A 1.2.3)	
Individual farm certification – multiple sites		RTRS Group and Multi-site Standard
Groups of farms		

A 1.2.3. Where there is no RTRS endorsed National Interpretation of the RTRS Standard for Responsible Soy, certification bodies using the Generic RTRS Principles and Criteria for Responsible Production shall carry out a local adaptation of the standard, prior to first use of the standard in any country. This shall follow the procedure outlined in Annex 3.

Note: A full list of RTRS-endorsed National Interpretations is available from RTRS.

## A 2. Assessment Requirements

### A 2.1. Assessment teams and auditors

A 2.1.1. Teams for main assessments and annual surveillance assessments shall be composed of a lead auditor and sufficient team members. Collectively the team members shall be able to cover all of the elements of the RTRS standard. Including, but not limited to:

- A 2.1.1.1. Legal compliance including all areas covered by the applicable RTRS field standard (e.g., legal experience related to land rights or conservation of native vegetation);
- A 2.1.1.2. Social issues including community relations, labour rights and health and safety (e.g., experience of field work with local communities or auditing SA8000, or OHSAS 18001).
- A 2.1.1.3. Environmental issues including ecology (incl. highly biodiverse areas and carbon rich areas), soil (incl. verifying soil organic carbon levels), water and pollution (e.g., experience with ecology, plant/animal biology, organic agriculture, ISO 14001 or environmental management systems). Whenever soy producers apply the emission saving credit for soil

carbon accumulation ( $e_{sca}$ ), the assessment team shall possess the specific technical knowledge (e.g. soil science) to measure soil organic carbon levels.

- A 2.1.1.4. Good agricultural practices including expertise on integrated pest management, pesticides and fertiliser use, soil and water management etc.
- A 2.1.1.5. Where relevant, experience in conducting group audits.
- A 2.1.2. All auditors in the team shall have attended a training covering all relevant aspects of the RTRS EU RED Standard and pass an exam or undertake a witness audit.
- A 2.1.3. The team must include team member(s) that are fluent in the main languages relevant to the location where the assessment is taking place, including the languages of any potentially affected parties such as local communities.
- A 2.1.4. The lead auditor should ideally be fluent in the main language relevant to the location where the assessment is taking place. Where this is not possible an independent translator shall be included in the team.
  - A 2.1.4.1. When using a translator in this situation this translator shall not count as part of the audit team for purposes of person-day requirements, and an additional 20% of person-days in the field shall be added for the main assessment.
- A 2.1.5. The CB must define the minimum competencies of lead auditors and the requirements for members of assessment teams. The CB shall ensure that lead auditors:
  - A 2.1.5.1. Are fully and appropriately qualified and meet the RTRS minimum requirements for competencies and qualifications (Annex 1).
  - A 2.1.5.2. Have demonstrable skills in leading assessment teams including adequate briefing and management of team members to ensure they participate effectively in the assessment.
  - A 2.1.5.3. Have a sound knowledge of the relevant RTRS standard and of the RTRS certification requirements.
- A 2.1.6. The lead auditor shall be responsible for ensuring that the assessment or surveillance assessment is conducted in accordance with requirements stated in this document and other relevant RTRS policies or requirements.
- A 2.1.7. The CB shall retain a record of the experience and training of lead auditors, and a clear justification for qualifying as a lead auditor. This shall be made available to the AB and to RTRS on request.
- A 2.1.8. The CB shall register all lead auditors on the RTRS database of lead auditors within one month of carrying out their first lead assessment.
- A 2.1.9. All assessment team members shall have:
  - A 2.1.9.1. Expertise in one or more subject area relevant to the RTRS requirements.
  - A 2.1.9.2. An adequate understanding of their role as team members in collecting and reviewing objective evidence of conformity and non-conformity with the requirements of the RTRS standard.

Note: CBs must have a procedure for adequately briefing team members, including an information pack clearly setting out their role and responsibilities.

A 2.1.10. The CB shall have a system in place for the regular monitoring lead auditor performance.

**A 2.2. Proposals to undertake a certification assessment**

A 2.2.1. CBs shall have a procedure setting out how proposals to undertake certification assessments are developed, including:

A 2.2.1.1. The information that must be provided by the certification applicant.

A 2.2.1.2. A methodology to ensure that adequate time is budgeted for preparation, consultation, document review, field visits, reporting and certification decision and for adequate expertise within the team.

A 2.2.1.3. Recording the date of registration of the producer for certification.

A 2.2.2. The CB has a procedure to communicate clearly both the cost of the assessment and the potential for additional costs if major non-conformities are identified and assessment of adequate close-out is required.

**A 2.3. Pre-assessment**

A 2.3.1. Pre-assessment visits are not obligatory. Certification bodies may offer them as part of their service.

A 2.3.2. A pre-assessment visit may comprise of only one lead auditor.

A 2.3.3. The format and style of a pre-assessment report are at the discretion of the CB and their client. It is recommended that the report is in the same style as for the main compliance assessment report and should include full details of any non-compliance found during the assessment.

**A 2.4. Public consultation and preparation for main compliance assessment**

A 2.4.1. Two weeks prior to the assessment the CB shall publish their intention to carry out an assessment of the operation, including the scope of the assessment, on their website and inform the RTRS (for publication on the RTRS website).

A 2.4.2. The announcement shall be made in the principal language of the country where the assessment will take place and (if different) one of the three RTRS official languages and shall state details of the entity or entities to be assessed, their location, assessment dates and contact details of the entity and the certification body with an invitation to submit comments on subjects such as:

A 2.4.2.1. Legal requirements;

A 2.4.2.2. Social issues including interaction with local communities, labour relations and health and safety;

A 2.4.2.3. Environmental issues including environmental protection and pollution;

A 2.4.2.4. Good agricultural practices;

A 2.4.2.5. Any other issue, both positive and negative that may be considered of relevance to the assessment.

A 2.4.2.6. Issues relating to other agricultural production units owned by the organization not included in this assessment.

A 2.4.3. As preparation for RTRS EU RED assessments, the CB shall request all relevant information concerning the calculation of actual GHG emissions prior to the main compliance assessment. This includes input data and any relevant evidence, information on the emission factors and standard values

applied and their reference sources, GHG emission calculations and evidence relating to the application of GHG emission saving credits ( $e_{sca}$ ).

**A 2.5. Main compliance assessment**

An assessment is a systematic, on-site, independent and documented process for obtaining and evaluating objective evidence to determine the extent to which the unit is in compliance with the applicable standard.

- A 2.5.1. Soy producers shall not deliver any RTRS-certified product or use any RTRS trademarks prior to their first audit. The first audit of a new soy producer or group of soy producers shall always be on-site.
- A 2.5.2. Compliance assessments shall determine conformity or non-conformity with each indicator of the applicable standard (s). Auditors shall ensure, at least, a limited assurance level in every assessment they conduct. A limited assurance level guarantees that the conformity with relevant indicators is established, based on the fact that nothing came to their attention to cause them to believe that there are errors in the evidences provided by the certification applicant.
- A 2.5.3. Multisite and group schemes:
  - A 2.5.3.1. Compliance assessments of multiple sites or groups of producers are allowed if the areas concerned are near each other and have similar characteristics, such as climatic conditions.
  - A 2.5.3.2. The internal control system of the organization or group shall be assessed for compliance in accordance with the RTRS Group and multi-site certification standard
  - A 2.5.3.3. A sample of the group members shall be assessed for compliance against the appropriate RTRS Standard for responsible production. [Note: details on calculation of sample size are provided in the RTRS Group and Multi-site certification requirements for CBs].
  - A 2.5.3.4. The calculation of GHG savings at group level shall only permitted when members of the group have similar production systems and products.
- A 2.5.4. The timing of the assessments shall be freely set by the certification body. Assessments shall take place during periods when farming operations are taking place, and should take place wherever possible during the most critical periods of production (e.g., planting, spraying and harvesting).
- A 2.5.5. Assessments shall include, but shall not be limited to:
  - A 2.5.5.1. Areas of potential environmental and social risk.
  - A 2.5.5.2. The management systems and procedures (where required by the applicable RTRS standard) and the effectiveness of the implementation of those management systems and procedures covering all aspects of the applicable standard.
- A 2.5.6. The CB shall verify that the certification applicant has the capability to conduct the calculation of actual values according to the GHG emission calculation methodology before any actual value can be used by the certification applicant.
- A 2.5.7. During the certification assessment, the area and type of vegetation of all voluntary reserves of native vegetation (above the legal requirement) shall be recorded.
- A 2.5.8. During assessments, free and safe access to the processing units is required. If this access to the units is not possible due to force majeure (circumstances beyond the control of the certification applicant) such as inaccessible roads, flooding, etc. and / or if its access is not safe for the auditor due to for example civil war or terrorist activities, then the assessment is not possible. The certification body shall

try its utmost to perform the assessment at a later stage or to obtain the required information through alternative means.

- A 2.5.9. No client shall be evaluated by the same auditor on more than three consecutive evaluations (including surveillance audits).

#### **Opening meeting**

- A 2.5.10. The assessment shall start with an opening meeting during which the lead auditor shall inform the certification applicant about the certification process, agree logistics for the assessment, confirm access to all relevant documents, field sites and personnel, and agree on the timing of the closing meeting.

#### **Documents and records**

- A 2.5.11. The auditor shall identify and assess management documentation and a sufficient variety and number of records at each operation selected for evaluation to make direct, factual observations to verify conformity with all the indicators of the applicable RTRS standard for which documents are a necessary means of verification.

#### **Selection of sites for evaluation**

- A 2.5.12. Auditors should select sites for inspection based on an evaluation of the critical points of risk in the management system and potential social and environmental risks identified.

- A 2.5.13. The auditor shall visit a sufficient variety and number of sites within each operation selected for evaluation as to make direct, factual observations as to conformity with:

- A 2.5.13.1. The organization's documented systems and procedures; including annual summaries of the volume of RTRS certified soybeans harvested and supplied to customers.

Note: Additional guidance on the control of volumes produced and sold and sanctions for over-selling or over-delivering will be developed by the RTRS in a document apart.

- A 2.5.13.2. All the indicators of the applicable RTRS standards for which inspection is a necessary means of verification, over a range of conditions under management by the applicant operation.

- A 2.5.14. The CB shall have a procedure which ensures that for each assessment the lead auditor records how sites were chosen.

#### **Interviews with directly affected stakeholders**

- A 2.5.15. The auditors shall interview a sufficient variety and number of people affected by or involved in the farm operation to make direct factual observations as to conformity with:

- A 2.5.15.1. The organization's documented systems and procedures;

- A 2.5.15.2. All the indicators of the applicable RTRS standard, for which consultation is a necessary means of verification.

#### **Closing meeting**

A 2.5.16. The assessment shall end with a closing meeting during which the lead auditor informs the certification applicant of the main findings of the assessment, including any minor or major non-conformities identified (see A.2.10.), and confirms the next steps in the process.

**A 2.6. Peer review and reporting**

A 2.6.1. The certification body shall document the findings and conclusions of all evaluation activities prior to review and decision making in a certification report, including the GHG emissions occurring at the audited site. Should the emissions deviate significantly from typical values the report shall include information that explains the deviation.

A 2.6.2. The main compliance assessment report shall follow the requirements for reporting with regard to content and format, shown in Annex 2.

A 2.6.3. Draft certification reports shall be provided to the certification applicant for review to identify any factual errors or misinterpretations.

**Peer reviews**

A 2.6.4. CBs shall have a system for internally reviewing draft certification reports to ensure consistency and quality of certification decision making, and reporting.

A 2.6.5. The internal peer review process for certification reports shall include the following requirements:

A 2.6.5.1. The report shall be reviewed by at least one (1) person, who has not been involved in the evaluation process. This independent peer reviewer shall have the experience and technical knowledge necessary to assess the adequacy of the report and the validity of the proposed certification decision;

A 2.6.5.2. The peer reviewer(s) shall operate according to clear terms of reference, which include the requirement to comment explicitly on:

- (a) The adequacy of the field work as the basis for making a certification decision;
- (b) How the person-days were calculated, and how sites were chosen;
- (c) The clarity of presentation of the observations as the basis for a certification decision;
- (d) Whether the proposed certification decision is justified by the observations presented.

A 2.6.6. All peer reviewers shall be given adequate training or explanation about their terms of reference and the expected output to ensure the quality and consistency of peer reviewing.

**Public summary report**

- A 2.6.7. A publicly-available summary of information about the performance of each certified organization with respect to each criterion shall be produced. This shall not contain commercially-sensitive information.
- A 2.6.8. The content and format of the public summary shall follow the requirements given in Annex 4.
- A 2.6.9. The first public summary report shall be published on the CB's website and the RTRS database of registered certificates before a certificate is issued.
- A 2.6.10. Subsequent annual updates shall be made publicly available within 60 days after the on-site closing meeting at the end of the surveillance assessment.
- A 2.6.11. Annual update shall include at least the information included in the Public Summary Update Template (Annex 4).

#### **A 2.7. Awarding and maintenance of certificates**

##### **Awarding of certificates**

- A 2.7.1. A certificate shall only be issued after a positive formal certification decision has been taken by the designated certification decision making entity.
- A 2.7.2. The certification decision shall be made by a person or a group of people qualified for this task from the certification body, and different from the auditor (s) that carried out the assessments, based on the report, peer review comments and the successful close-out of any major non-conformities identified during the main assessment (see Section A 2.10).
- A 2.7.3. The certification body shall ensure that a legally enforceable certification agreement is signed by the relevant parties prior to issuing a certificate.
- A 2.7.4. The CB shall register each new certificate in the RTRS certification database and in its own list of certified organizations.
- A 2.7.5. The CB shall register the date of application for certification and the area of the property with voluntary reserves of native vegetation with the RTRS for reference by any PES scheme developed.

##### **Maintenance and recertification**

A 2.7.6. A certificate shall be valid for 5 years with a requirement for an annual surveillance assessment to confirm continued conformity with the requirements of the standard during this period (see Section A.2.9).

A 2.7.7. Prior to the end of the 5 year period, a full re-assessment must take place prior to the issuance of a new certificate.

A 2.7.8. In case of the identification of any non-compliance during a re-assessment audit the CB shall establish the time for the implementation of the corrective actions prior to the expiration of the certification.

NOTE: In exceptional cases, which shall be properly justified and registered the CB will allow the extension of the validity of the certificate for 30 days.

A 2.7.9. The re-assessment shall take additional information received from third party or specific requests from competent authorities from EU Member States or the European Commission into account.

**A 2.8. Partial certification**

A 2.8.1. Organizations with more than one management unit and / or having a controlling interest of more than 51% in more than one company will be permitted to certify individual management units and / or subsidiary companies only if:

A 2.8.1.1. The organization is a member of RTRS.

A 2.8.1.2. The organization has completed a self declaration form, which declares:

(a) Their intention to comply with spirit of the RTRS principles and criteria in all the properties that are outside the scope of certification.

(b) That all other management units and subsidiary company sites are in compliance with the law.

**A 2.9. Surveillance assessments**

A 2.9.1. During the lifetime of the certificate the CB shall conduct, as a minimum, annual surveillance assessments. The intensity of surveillance visits shall take into account previous audit results (e.g. major non-conformities, suspension of certificate, etc.) and the scope

A 2.9.2. The CB may also make unannounced surveillance assessments, particularly where they have cause for concern about compliance with the requirements of the RTRS EU RED standard.

A 2.9.3. If the main assessment did not take place during harvest, then at least one of the surveillance assessments shall take place during this time.

A 2.9.4. Each annual surveillance assessment will include a review of continuing compliance to the applicable standard. This shall include, but shall not be limited to:

A 2.9.4.1. Implementation of any outstanding corrective action requests and continued implementation of any corrective action requests undertaken following previous assessment visits.

A 2.9.4.2. Any changes to the farm area included in the scope of the certificate including any expansion and boundary changes.

A 2.9.4.3. Changes to the certificate holder's management system.

A 2.9.4.4. Note: the CB shall specifically assess the capacity of the certificate holder's management system to manage any change in scope of the certificate, including any increase in number



of group members, and in size, number and complexity of production sites within the scope of the certificate.

- A 2.9.4.5. Complaints, including both those received and dealt with by the certificate holder and those about the certificate holder received by the CB.
- A 2.9.4.6. Records of monitoring required by the standard (e.g., agrochemical use, soil quality indicators) and other monitoring records used for demonstrating continual improvement.
- A 2.9.4.7. Any changes required in response to changes in RTRS requirements or requirements of the CB.
- A 2.9.4.8. Records of sales of RTRS certified product and related claims on a sampling basis. The CB shall define the size of the sample that will permit to reach the level of confidence necessary for the surveillance assessment.
- A 2.9.5. The surveillance assessment shall always include a visit to a sample of field sites and to the office(s) or farm from where the operation(s) covered by the certificate are managed.
- A 2.9.6. A report will be completed in the same format as that for the main compliance assessment report and as laid out in Annex 2.
- A 2.9.7. Surveillance assessments shall take additional information received from third party or specific requests from competent authorities from EU Member States or the European Commission into account.

**A 2.10. Non-conformities**

- A 2.10.1. All non-conformities that are identified by the CB during an assessment shall be systematically recorded in the assessment report or associated checklists.
- A 2.10.2. All non-conformities shall be classified as minor or major.
- A 2.10.3. A non-conformity is considered minor if:
  - (a) It is a temporary lapse, or
  - (b) It is unusual / non-systematic, or
  - (c) The impacts of the non-conformity are limited in their temporal and spatial scale, and
  - (d) It does not result in a fundamental failure to achieve the objective of the relevant RTRS criterion or another applicable certification requirement.
- A 2.10.4. A non-conformity shall be considered major if, either alone or in combination with further non-conformities, it results in, or is likely to result in a fundamental failure:
  - (a) To generally meet RTRS requirements;
  - (b) To achieve the objectives of the relevant RTRS criterion, or
  - (c) In a significant part of the applied management system.
- A 2.10.5. CBs shall allow organizations to address non-conformities during the audit by providing additional explanations or missing documentation. If not possible, CBs shall allow organizations no more than 30

days to present an Action Plan which adequately describes how any Corrective Action Requests (CARs) shall be addressed.

- A 2.10.6. The certification body shall determine which non-conformities constitute a major non-conformity, using the definition in A.2.10.4..
- A 2.10.7. The CB shall not issue a certificate of compliance or re-issue a certificate until any major non-conformity is closed out to the satisfaction of the certification body.
  - A 2.10.7.1. Where CARs for major non-conformities are closed out because an adequate plan is developed, there is evidence that the plan is being implemented in practice.
  - A 2.10.7.2. In circumstances where the non-compliance has been sufficiently addressed to no longer results in or is likely to result in a fundamental failure (see A.2.10.4), the certification body may close out the major non-compliance, and issue a minor non-compliance.
- A 2.10.8. Major non-conformities raised during a surveillance assessment must be closed out to the satisfaction of the certification body within 30 days of the CAR being raised. The CB may permit one further extension of 3 months, if implementation was not possible due to circumstances beyond the control of the operation manager.
  - A 2.10.8.1. Failure to do close out the non-conformity during the stated period will result in the suspension of the certificate for a maximum period of 60 days during which time no products may be sold as RTRS certified and no claims relating to RTRS nor RTRS logo-use permitted.
  - A 2.10.8.2. Failure to close out the major non-conformity after this suspension period will result in the certificate being withdrawn. In such a case a new main compliance assessment would be required.
- A 2.10.9. Minor non-conformities must be addressed in a timely manner as determined by the certification body. Failure to do so will result in a minor non-conformity being raised to a major non-conformity.
- A 2.10.10. CBs shall require that the operation presents an action plan which describes how the non-compliances will be addressed. If the CB determines that the plan is adequate to address the non-conformities the CB shall accept plan and may proceed to issue the certificate.
- A 2.10.11. Corrective Action Requests shall not be closed out if corrective action has not been fully implemented as requested.

## **Module B. Additional Requirements for Certification against the RTRS EU RED Compliance Requirements for Producers**

This module applies only to those certification bodies wishing to offer certification against the requirements of the RTRS EU RED Compliance Requirements for Producers which is a standard designed to be used in addition to the RTRS Standard for Responsible Soy Production.

The RTRS EU RED Compliance Requirements for Producers is a standard for soy growers whose crop is entering the supply chain for biofuels and bioliquids with a market in the European Union (EU), and it addresses the sustainability requirements of the European Union Renewable Energy Directive (recast).

The General Requirements (Section VI of this document) and the requirements of Module A must be fulfilled in addition to the requirements of this module.

### **B 1. Application and Approval process for CBs**

#### **B 1.1. Core Competency Requirements**

B 1.1.1. Where certification bodies wish to offer certification services in which they assess farm production where actual GHG emissions data has been measured, monitored and recorded the certification body shall comply with the requirements in ISO 14065:2013, or justified equivalent and/or have experience of carrying out audits in conformity with ISO 14064-3:2006<sup>2</sup> or equivalent.

B 1.1.2. Where certification bodies only offer certification services in which farmers use default values for GHG emissions in soy production, this is not required.

### **B 2. Assessment Requirements**

#### **B 2.1. Assessment teams and process**

B 2.1.1. Teams for main assessments and annual surveillance assessments shall include a team member or team members able to cover all of the elements of the RTRS EU RED Compliance Requirements for Producers including:

B 2.1.1.1. The evaluation of compliance with EU RED II requirements on conservation of biodiversity, carbon and peatlands.

B 2.1.1.2. The measurement, monitoring and recording of Greenhouse Gas (GHG) emissions data, and the calculation of GHG emissions in agricultural production in accordance with EU RED

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<sup>2</sup> ISO 14064-3:2007 –Greenhouse Gases – Part 3 : Specification with guidance for the validation and verification of greenhouse gas assertions (applicable to verification bodies).

ISO14065:2013 – Greenhouse Gases –Requirements for greenhouse gas validation and Verification Bodies for use in accreditation or other forms of recognition (applicable to verification bodies).

II recast Article 31(1)-31(3), Annexes V and VI and Commission Decision 2010/335/EU of 10 June 2010.

B 2.1.2. When verifying GHG calculations, auditors shall ensure that the following requirements are met:

B 2.1.2.1. Default values listed in Annexes V and IV can only be applied if the process “technology and feedstock used for soy production match their description and scope. In case specific technologies are set out, the default values can only be used if those technologies were actually applied.

B 2.1.2.2. Actual values can only be calculated when all relevant information is available and transmitted through the chain of custody:

- a) Information on actual GHG emissions for all relevant elements of the GHG emission calculation formula. ‘Relevant’ refers in this context to elements for which reporting is obligatory (e.g. el in case of land use change), all elements for which actual values should be used instead of disaggregated default values and all elements related to emission savings (if applicable).
- b) Actual values of emissions from cultivation can only be determined at the origin of the chain of custody.
- c) GHG emissions shall be reported in. g CO<sub>2</sub>eq/dry ton of soy.
- d) Actual values of emissions from transport can only be determined if emissions of all transport steps are recorded and transmitted through the chain of custody.
- e) Actual values of emissions from processing can only be determined if emissions of all processing steps are recorded and transmitted through the chain of custody.
- f) For the purpose of actual GHG emission calculations, whenever available, the standard calculation values published on the Commission website shall be applied. In case alternative values are chosen, auditors shall ensure these are justified and clearly highlighted in the documentation of the calculations.

B 2.1.3. When determining whether land is (or in the case of conversion was) grassland:

B 2.1.3.1. The lead auditor shall judge whether an assessment of grassland is necessary.

B 2.1.3.2. If an assessment is necessary, it shall be conducted by a qualified independent specialist who may be additional to the audit team. The assessment and result shall then be reviewed as part of the audit.

## **B 2.2. Peer review and reporting**

B 2.2.1. The CB shall document the findings of all assessment activities associated with compliance against RTRS EU Compliance Requirements for Producers in an audit report. This report may take the form of a section within the main report of compliance against the RTRS Standard for Responsible Soy Production.

B 2.2.2. The audit report shall include GHG emissions occurring at the audited sites. For the processing of final biofuels, the auditor shall record the emissions after allocation and the achieved savings. Should

the emissions deviate significantly from typical values, as found in EU RED II recast, the report shall include information that explains the deviation.

- B 2.2.3. The CB shall also include a summary of the findings in relation to this standard in the public summary report-
- B 2.2.4. If an internal peer review of the draft report is required (as per parameters established in A 2.6.4 of this document) the scope of the peer review shall include the findings of the assessment against the RTRS EU Compliance Requirements for Producers.

**B 2.3. Awarding of certificates**

- B 2.3.1. Any certificate issued (see A 2.7 of this document) shall include the scope of the certificate, referencing whether they are in compliance with the EU RED-II Requirements.

**B 2.4. Transparency on other voluntary scheme participation by certification applicants**

- B 2.4.1. Certification applicants shall declare whether they had a different legal form or name in the past 12 months prior to application for certification.
- B 2.4.2. Certification applicants shall declare to auditors the names of all schemes they currently participate in or previously participated in.
- B 2.4.3. Certification applicants shall make available all relevant information, including the mass balance data and the auditing reports. Requiring applicants to disclose on registration whether they are a current or previous participant of another voluntary scheme, and also
- B 2.4.4. o Cross-check against other voluntary scheme certificate lists.
- B 2.4.5. o Customer Due Diligence/ Know Your Customer, in particular on companies with a limited trading history.
- B 2.4.6. Prior to certification or re-certification of an economic operator that was previously found to be in major non-conformity with requirement VII.3.1.1 of RTRS EU RED for Producers or requirement VII.3.1.9 of RTRS EU RED Compliance Requirements for the Supply Chain, or any other aspect of the EU RED II mandatory sustainability criteria, including through participation in other EC-approved schemes, the auditor shall bring this to the attention of RTRS.

Note: This requirement applies to all voluntary schemes that the certification applicant is participating in.

**B 2.5. Supervision of operations by EU Member States**

- B 2.5.1. The CB shall, upon request, allow competent authorities of EU Member States to supervise audit operations and submit all relevant information necessary to supervise the operation, including the exact date, time and location of audits.
- B 2.5.2. Where Member States find issues of non-conformity, these shall be addressed by the CB following the process described in A 2.10.

**Annex 1. RTRS Lead Auditor Qualifications; for Certification against the RTRS Standard for Responsible Soy Production, Version 3.1**

**Minimum competencies/qualifications for a lead auditor as defined by RTRS are as follows:**

**1. Technical skills and qualifications**

1.1. Successful completion of an RTRS-endorsed training course which covers an understanding of the RTRS principles, criteria, indicators and guidance, skills related to the specific requirements of the standard, and core process requirements for carrying out RTRS assessments.

1.2. Successful completion of one of the following Lead Auditor training courses:

1.2.1. ISO 9000, 14000, or OHSAS 18000 (minimum duration of 37 hours); or

1.2.2. An ISO 19011 course (minimum duration of 24 hours).

Note: must include a practical component. (e.g., cannot be entirely an on-line course).

1.3. Participation as an observer auditor under training, in a minimum of three RTRS assessments at different organizations, totalling a minimum of 10 days; of which at least two assessments must be as the acting lead auditor under supervision.

Note: it is recognized that the lead auditors for the first RTRS audits will not be able to gain experience as RTRS audit team members. Therefore for these initial audits the following requirement applies:

1.4. Has been the lead auditor for other similar standards which cover the full suite of social, environmental, technical and legal components for agriculture or forestry (for example the Round Table on Sustainable Palm Oil (RSPO), Sustainable Agricultural Network (SAN), Forest Stewardship Council (FSC), UTZ Certified, or equivalents for at least two (2) main assessment audits).

Note: RTRS may authorize accreditation bodies to accept lead auditor experience leading assessment of standards other than those listed in 1.4 above, as adequate experience for compliance with 1.4, as and when this includes assessment of social, environmental, technical *and* legal components of agricultural production or forestry. For example GlobalGap or ISO 14001 lead auditors will be allowed only if they can demonstrate experience and training in assessments against other standards with social requirements or are accompanied by experts in this field.

**2. Formal qualifications**

2.1. A minimum of post high (secondary) school diploma or equivalent (minimum course duration of 2 years) in a discipline related to the scope of certification or 5 years professional experience in one of the disciplines related to the standard being assessed (e.g., agronomy, ecology).

**Annex 2. Assessment report; for certification against the RTRS Standard for Responsible Soy Production, Version 3.1**

Assessment reports will include the following information and be presented in the following format:

**1. Scope of the certification assessment**

- 1.1. The RTRS Standard used for the assessment (Document name, date, version number).
- 1.2. Assessment type (Group, multi-site or individual production unit).
- 1.3. Location maps.
  - 1.3.1. Map to show geographical location.
  - 1.3.2. Map to show the production unit(s).
  - 1.3.3. Certification Bodies code for the certificate.
  - 1.3.4. Approximate tonnages certified.
- 1.4. Description of production unit(s) and /or group scheme and members as applicable.
  - 1.4.1. Name and address of operation or organization to be assessed.
  - 1.4.2. Contact person: name, position, address, email, phone numbers.
  - 1.4.3. General description of operation / group.
  - 1.4.4. Location of production unit(s) including:
    - 1.4.4.1 Location address.
    - 1.4.4.2 GPS reference(s).
  - 1.1.1. Code for the certificate (in case of surveillance visit or re assessment evaluation).
  - 1.1.2. Statistics of production unit(s):
    - 1.4.4.3 Total farm area.
    - 1.4.4.4 Area under soy cultivation (hectares).
    - 1.4.4.5 Estimated yield per hectare (kg/hectare).
    - 1.4.4.6 Estimated total annual production in tonnes.
  - 1.1.3. Details and justification of any sampling methodology.
- 1.2. Partial Certification.
  - 1.2.1. Assessment agenda.
  - 1.2.2. Assessment findings.
  - 1.2.3. List of all sites under the control of the organization, describing which ones are included in the scope of the certification and which ones are not included in it.
  - 1.2.4. Date of certificate issuance and scope of the certificate.

## **2. Assessment Process**

- 2.1. Certification body.
- 2.2. Qualifications of the assessment team.
  - 2.2.1. Qualifications of the lead auditor,
  - 2.2.2. Qualifications of the assessment team.
- 2.3. Assessment methodology.
  - 2.3.1. Details and justification of any sampling methodology.
  - 2.3.2. An explanation of the methodology applied to determine the number of days, sites to visit and assignment of time for the audit components.
  - 2.3.3. Assessment agenda including:
    - 2.3.3.1 Assessment dates.
    - 2.3.3.2 Sites visited.
    - 2.3.3.3 Main activities.
  - 2.3.4. Total number of person days spent on the field assessment.
- 2.4. Stakeholder consultation.
  - 2.4.1. Summary of how stakeholder consultation was organised.

## **3. Assessment Findings**

- 3.1. Lead auditor's summary and recommendation for certification.
- 3.2. Full information of compliance by the operation against all elements of the relevant standard, including, where relevant, GHG emissions occurring at the audited site (emissions after allocation) and if relevant the achieved savings. Should the emissions deviate significantly from typical values the report shall include information that explains the deviation.
- 3.3. Non-conformity registers.
- 3.4. Detail of issues raised during stakeholder consultation and the way each issue raised has been addressed by the certification body.
- 3.5. Certification decision.
- 3.6. Formal sign-off of the assessment findings.
  - 3.6.1. Acknowledgment of internal responsibility by the client.
  - 3.6.2. Signing by certification body.
- 3.7. Date by when next surveillance assessment should be carried out.



***Annex 3. Requirements for Certification Bodies for the Development of Regional Interpretations of the RTRS Standard for Responsible Soy Production***

**1. Introduction**

The RTRS certification system is designed to be accessible in all countries of the world. To do so the system must avoid unintentional discrimination against soy producers in countries that have not yet developed an RTRS accredited National Interpretation of the RTRS Standard for Responsible Soy Production.

Therefore, in areas in which there is not yet an RTRS-accredited National Interpretation of the RTRS Standard for Responsible Soy Production, certification bodies may carry out certification according to the generic international RTRS Standard for Responsible Soy Production . However, the CB shall first adapt this generic standard to account for the local conditions in the country or region in which they are to be used with input from local stakeholders. This annex describes the procedure that shall be followed by the CB.

The process of local adaptation by the certification body is not designed to be a substitute for the process of developing a National Interpretation. Nevertheless, it allows examples of RTRS certification in a country. Such examples can be useful tools for explaining and demonstrating the potential benefits as well as the limits of RTRS certification. The discussion and consultation surrounding the development and implementation of a locally adapted standard can act as a catalyst for the longer and more complex process of developing an RTRS national interpretation.

## **2. Scope and reference**

- 2.1. The locally adapted standard shall specify the geographical area to which it may be applied.
- 2.2. The locally adapted standard shall include a version number and the date of finalisation.

## **3. Legal compliance**

- 3.1. The certification body shall identify and include as annexes to the standard:
  - 3.1.1. A list of the national and local laws and administrative requirements which apply in the country or region in which the standard is to be used.
  - 3.1.2. A list of or reference to official lists of endangered species in the country or region in which the standard is to be used.

## **4. Process**

- 4.1. The certification body shall complete a local adaptation of the RTRS generic standard, and publish the resulting locally adapted generic standard on its website in an official language of the country in which it is to be used (at least three (3) weeks prior to the main compliance assessment). The standard shall also be sent to RTRS at this time.
- 4.2. The certification body shall identify any aspects of the RTRS generic standard that may be in conflict with legal requirements in the area in which the adapted standard is to be used, and if such a conflict is identified shall evaluate it for the purposes of certification in discussion with the involved or affected parties. The certification body shall identify any aspects of the generic standard which specify performance thresholds lower than the minimum legal requirement in the country concerned. If any such differences are identified, the relevant thresholds shall be modified to ensure that they meet or exceed the minimum national requirements.
- 4.3. The certification body shall add specific indicators (with appropriate means of verification if required) and/or cross-references to the identified documentation to evaluate compliance with key requirements of the national and local laws, administrative requirements and multilateral environmental agreements related to the RTRS generic standard.
- 4.4. The certification body is not required to seek or develop a consensus with stakeholders regarding its modification of the standard, however, the certification body must make meaningful accommodation of stakeholder concerns (see section 5 below).
- 4.5. The certification body shall prepare a short report listing the main issues related to the standard where significant differences of opinion were expressed by stakeholders, and explaining the basis on which the CB made its decision in relation to these issues. The report shall be attached as an annex to the published standard.
- 4.6. The certification body shall modify or add to the indicators and/or means of verification of RTRS generic standard in order to:
  - 4.6.1. Take account of the national context with regards to soy production;
  - 4.6.2. Take account of national environmental, social and economic perspectives;
  - 4.6.3. Ensure that the standard is applicable and practical in the country concerned;

- 4.6.4. Ensure that the standard is applicable and practical to the size and intensity of the farm(s) concerned;
- 4.6.5. Address specific issues that are of general concern to any stakeholder group in the country concerned.

**5. Stakeholder consultation for standard interpretation**

- 5.1. The certification body shall seek broad stakeholder comment on the adaptation of the RTRS generic standard to the area in which it is planned to be used.
- 5.2. The certification body shall use consultation methods which are appropriate to the consulted stakeholder group(s).
- 5.3. The certification body shall contact the stakeholders, at least six weeks prior to main compliance assessment talking place.
- 5.4. Stakeholder consultation shall include at least the following:
  - 5.4.1. Any RTRS National Technical Group in the country;
  - 5.4.2. Any RTRS members in the country;
  - 5.4.3. National NGOs, representatives of local communities and Indigenous Peoples that may have interest in respect of social or environmental aspects of soy production, either at the national level, or at the sub-national level in the region where the farm is located.
  - 5.4.4. Representatives of farm workers.
  - 5.4.5. Economic stakeholders (e.g., other soy producers, suppliers, buyers, investors, representatives of soy producing or processing industries).
  - 5.4.6. Agricultural research and education institutions.
- 5.5. The certification body shall inform contacted stakeholders, in one of the official languages of the district in which the production unit is located:
  - 5.5.1. That the certification body is planning to carry out a compliance assessment of the identified production unit(s).
  - 5.5.2. That a draft of the standard to be used for the evaluation is available on the certification body's website or on request.
  - 5.5.3. That the standard may be modified to take account of stakeholder comments, and that comments and suggested modifications to the standard are welcome.
  - 5.5.4. How to submit comments.

**Records**

- 5.6. The certification body shall keep the following records:
- 5.6.1. Lists of individuals/organizations (whether soy producers or not) invited to comment on the generic standard;
  - 5.6.2. Copies of all correspondence and/or comments received with respect to potential modifications of the generic standard;
  - 5.6.3. Copies of all national standards, draft standards or other sources of information taken into account in order to modify the generic standard.

**6. Review and revision**

- 6.1. The certification body shall not be required to make further changes to the locally adapted standard used for an evaluation during the period of validity of the certificate except as necessary to bring it into compliance with any RTRS Policies subsequently approved by RTRS.

**7. Replacement by an approved National Interpretation of the generic RTRS standard**

- 7.1. When a National Interpretation is formally endorsed by RTRS, then this shall replace any locally adapted standards previously used by the certification body in the area to which it applies.
- 7.2. The certification body shall evaluate certificate holders against the requirements of the new standard at the next scheduled surveillance evaluation.
- 7.3. The certification body shall ensure that the certificate holder is in compliance with the requirements of the new standard by the 'standard effective' date specified on the standard.

**Annex 4. Public Summary Report; for certification against the RTRS Standard for Responsible Soy Production, Version 3.1**

The annex presents the minimum requirements for the content of an RTRS Public Summary Certification Report for Responsible Soy Production.

**Summary Report Title Page**

Name and contact details of the certification body including contact person, email and website
Date (Format: month/day/ year) on which the public summary was last updated
Name and contact details of the certificate holder and contact person
The name and/or location of the certified farm / production site(s) (including state/province and country)
The RTRS Certificate Number
The date of issuance and expiration of the certificate
The sequential information on the evaluation results presented in the report (main assessment, 1 <sup>st</sup> surveillance assessment, 2 <sup>nd</sup> surveillance assessment, etc.)

**Summary Report Content**

The summary report shall be short and concise.

**1. Scope of the certification assessment**

- 1.1. Organizational information: Name / country /contact person.
- 1.2. Scope of the certification (specify against which standard(s) certification has been awarded).
- 1.3. Type (single certificate or group certificate).
- 1.4. Location (longitude and latitude coordinates).
- 1.5. Size of farm certified: in hectares.
- 1.6. Tonnages of estimated soy to be produced per year.

**2. Assessment process**

- 2.1. The standard used for the assessment (including full title and version number and date of finalization) e.g., RTRS Standard for Responsible Soy Production: Argentinean National Interpretation Version 1.0 XX/XX/XXXX (Date).
- 2.2. Date on which the assessment was carried out.
- 2.3. Date on which certificate was issued, and date of next surveillance visit.
- 2.4. Name of Lead auditor and assessment team members.
- 2.5. Short description of how the assessment was carried out (including number of days, audit methods used, etc.).
- 2.6. A general description of how stakeholder consultation was carried out.

**3. Assessment findings**

- 3.1. A summary of information about the performance of the certified organization with respect to each criterion in the RTRS standard. This must not contain commercially-sensitive information.
- 3.2. Certification decision.

**4. Public Summary Update Template**

Annual updates to the public summary report shall include at a minimum:

- 4.1. The date of the surveillance assessment and a brief summary of the sites inspected;
- 4.2. A description of any significant changes in the management and/or production methods;
- 4.3. A summary of information about the performance of the certified organization with respect to each criterion in the RTRS standard. This must not contain commercially-sensitive information.
- 4.4. An updated list of members/sites in a group multisite certificate, including new sites in the case of partial certification.
- 4.5. The updated certification decision.

**Annex 5. Content of RTRS-endorsed training courses for Lead Auditors**

**I. Course Management and Delivery**

The purpose of this procedure is to clearly define the activities involved in the preparation and execution of the RTRS Course for lead auditors, as well as to define tutors responsibilities.

**Scope:** This document refers to Tutors for courses of RTRS Responsible Soy Production and Group and Multi-site Standards.

**II. Procedure**

**1. Course Planning**

- 1.1. The RTRS Course Manager must be notified at least 2 months in advance about the courses for lead auditors (according to the scope for which the organization is authorized in its license agreement). Such notification to RTRS must be submitted before the course in question is publicized or publicly communicated.
- 1.2. It must include, at least, the information mentioned below:
  - 1.2.1. Suggested Date for the course
  - 1.2.2. Name and version of the standard that will be the topic of the course.
  - 1.2.3. Type of course
    - 1.2.3.1 Face-to-face Theoretical – Practical
    - 1.2.3.2 Blended-Training approved by RTRS: Practical only
  - 1.2.4. Tutor, data and approval code granted by RTRS
  - 1.2.5. Venue
  - 1.2.6. Course Plan
  - 1.2.7. Expected number of participants
  - 1.2.8. In the case of Blended-trainings<sup>3</sup> a list of the participants must be supplied, with their corresponding certificates or approval numbers of the theoretical on-line course, if already available.

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<sup>3</sup> **Blended Training:** Courses approved and authorized by RTRS, where the theoretical part is delivered and approved online, and where the hands-on, practical part is delivered in physical face-to-face classes to be able to complete the course, in a course delivered or authorized by RTRS.

## **2. Course Publicity and Advertisement**

- 2.1. Whenever the RTRS lead auditor courses are publicized or advertised, the following must be included:
- The RTRS institutional logo, which must be used according to the RTRS Policy of Use of Logos and Trademarks and to any other RTRS directive.
  - The name or logo of the organization or certification body to which the license has been granted for delivering the RTRS certified courses. Henceforth, the licensee.
  - The License number granted by RTRS for delivering the course.
- 2.2. The organization or CB in charge of the courses must keep copies of the material used for publicity and contents and have them available for at least 12 months as of the date of the course, in the event that the RTRS Course Manager should request such information.
- 2.3. The contents of the promotion and publicity related to the certified lead auditor courses must clarify that the approval of the RTRS lead auditor certified course is only one of the requirements necessary for being able to audit the RTRS standards<sup>4</sup>.
- 2.4. All the participants who have approved the course must be notified in written form that the certificates have a 5-year validity, entitling them to work as auditors and to certify the RTRS standards. After such period, they will need to attend a new course for RTRS certified lead auditors or a RTRS-certified refresh course<sup>5</sup> should relevant alterations have been introduced to the RTRS standard that is the topic of the course...

## **3. Venue**

- 3.1. The Course Licensee must offer a physical venue adequate for the delivery of the course, including enough room for an appropriate and comfortable participation, with adequate furniture and in good conditions.
- 3.2. For team work, other rooms shall be available, or else, the main room shall be prepared so as to prevent any interference between teams.

## **4. Course Participants**

- 4.1. The maximum number of participants is 15, without considering the course tutor.
- 4.2. RTRS establishes a minimum number of 2 participants for delivering the course.

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<sup>4</sup> It is recommended publishing additional requirements to be able to audit the standard, describing where such additional requirements may be consulted, or else supplying contact data for queries about the contents of the course or any additional requirements.

<sup>5</sup> RTRS shall define and communicate whenever such alterations in the standard are “relevant” and require a new course or a refresh course.



**5. Course Attendance**

- 5.1. Only participants with 75% of attendance shall be authorized to sit for the exam. Meeting this requirement is essential for being able to sit for the exam and be approved.
- 5.2. Attendance records must be kept for a 5-year period

**6. Course Duration**

- 6.1. The Auditors' course shall have a minimum duration of 32 hours.
- 6.2. If RTRS-approved Blended Trainings are used (partially online theoretical training; partially, person-to-person practice), the duration of the person-to-person practical part will be 16 hours minimum (including exam). For such cases, to attend the practical course it is necessary and mandatory that participants have previously attended and approved the theoretical online course (See 1.2).
- 6.3. If translators are required, the timing, as considered in this procedure, shall be extended as necessary to be able to cover and meet the course contents and objectives.
- 6.4. If these courses are combined with other courses concerning other standards, the time allotted to training of any additional standards shall be added to the minimum time allotted to the RTRS Standards.
  - 1.1. When this type of combined courses is performed (6.4), RTRS shall be notified and the complete program shall be sent, with the total duration of the course and any other information RTRS may request. See registers required by RTRS.

## **7. Course Contents**

- 7.1. The minimum contents of the course shall be supplied by RTRS; the materials shall be supplied in the form of a license to the course licensee and shall be used according to the license agreement signed with RTRS. The contents of the RTRS-licensed course may not be altered, or erased or copied; only one physical copy of the material shall be handed out to each of the participants during the course.
- 7.2. National Interpretations: RTRS will not supply National Interpretation documents within the materials of the License of the Course for Production. These must be downloaded from the RTRS webpage ([www.responsiblesoy.org](http://www.responsiblesoy.org)) and enclosed to the course materials and included in the course contents too. When the course is delivered in a country having National Interpretations approved by RTRS, the course must be delivered with the corresponding National Interpretations.
- 7.3. Training Courses for RTRS Auditors for Responsible Soy Production must include the topic of National Interpretations.
- 7.4. The course is divided into 4 areas:
  - 7.4.1. Theoretical contents: licensed standard, accreditation system of the standard, basic definitions, PowerPoint presentations.
  - 7.4.2. Practical contents: exercises and cases related to the audit process, and audit techniques.
  - 7.4.3. Final Exam
  - 7.4.4. Participation in class, attendance, punctuality.

## **8. Training Material Update**

- 8.1. The course materials, cases and exercises, may occasionally go through variations and updates due to changes in the RTRS standards and policies, or due to improvements in their contents.
- 8.2. When any alteration in the contents of the course is necessary, RTRS will inform each one of the licensees about such alterations and will hand in the new material.
- 8.3. When alterations are introduced in the contents of the course material, such changes must be immediately applied and used in the next planned course.

## **9. Course Grading and Approval**

- 9.1. The course grading shall be divided into three parts:
  - 9.1.1. Participation in class (10% of the final score)
  - 9.1.2. Theoretical part (40% of the final score)
  - 9.1.3. Practical part (50% of the final score)
  - 9.1.4. Attendance: Although this does not form part of the grading, a minimum 75% of attendance is required to be entitled to sit for the exam.
- 9.2. Possible Grading
  - 9.2.1. APPROVED or FAILED

## **10. Exam**

- 10.1. Exams shall be supplied in English, Spanish or Portuguese, according to the language in which the RTRS license was delivered, together with the answers/keys.
- 10.2. The exam shall be a written exam, in the language used in the course.
- 10.3. RTRS issues licenses only in Spanish, Portuguese and English.
  - 10.3.1. If the licensee wishes to offer a course or exam in a language other than the three official languages mentioned above, RTRS shall:
    - 10.3.2. Request a written authorization to RTRS before any announcement is made on this type of courses.
    - 10.3.3. Have the corresponding translations done and send a copy of all the translated material to the RTRS Course Manager, who shall authorize its use.
    - 10.3.4. This process of approval and verification of the materials shall be charged with an additional fee and shall be established and communicated by RTRS to the course licensee.
    - 10.3.5. RTRS is entitled to request alterations to the materials sent for review, and to reject courses in languages other than the 3 official languages of RTRS, if necessary.

- 10.4. The exam comprises 2 parts: a theoretical part made up of questions and answers, and by multiple choice questions, and a practical part, with case studies.
- 10.5. In both parts, a minimum 50% needs to be approved and the addition of both parts, plus the grading for attendance, must reach 70% for being Approved.
- 10.6. In the case of answers with possible solutions alternative to those sent by RTRS, the tutor shall send his/her comments to RTRS concerning the contents of the solutions, specifying the criterion used for correcting and a recommendation for the correction of such answer(s).
- 10.7. The course tutor shall grade the exam, and in cases like item 10.7, the RTRS course manager shall take the final decision regarding validity or non validity in cases with alternative solutions.
- 10.8. Once they have been corrected, the exams shall be sent to the RTRS Course Manager in digital format.
- 10.9. The tutor shall enclose the grid with the proposed grading for the 3 areas that are to be evaluated (participation, theory and practice).
- 10.10. For the specific case of the grade of item "Participation in the Class", the tutor shall briefly account for the grading to each participant, which grading may represent a maximum 10% of the final grading of the course.
- 10.11. The RTRS Course Manager shall review the exams, the grids, the tutor's clarifications, as well as review special cases such as mentioned in 9.7. Besides, he/she shall send the definitive grading to the RTRS course licensee, who shall communicate them to the participants.
- 10.12. All the participants who have attended the Blended-Course authorized by RTRS shall attend the practical part within 12 months as of the date of the online course. After 12 months, they must attend the online theoretical course again or attend a practical-theoretical course recognized by RTRS for them to be entitled to give the exam.

## **11. Make-up Exams**

- 11.1. If one or more participants fail the course, they will be entitled to sit again one more time, without attending the course again when the exam result is + 50% of the total possible grades, adding both parts.
- 11.2. When participants do not reach the required score mentioned in 11.1.1, they must repeat the course to be able to sit for the make-up exam.
- 11.3. The maximum term for sitting for the make-up exam is 12 months, as of the date of the exam in which a given participant has failed. After 12 months, he/she will no longer be entitled to sit for the make-up exam and shall have to attend the course again.
- 11.4. The conditions, date, and venue of the make-up exams will be agreed upon by RTRS and the Course Licensee, but the Licensee must offer at least 1 date for the exam in the relevant 12-month period.

## **12. Communication of Results**

- 12.1. The course licensee shall communicate the results in written in compliance with the requirements of this procedure.
- 12.2. The course supplier will send a written notification with the results (Approved/Failed) and the Certification of Attendance and/or Approval, whichever applies, see 1.3.1.
- 12.3. Information must be sent within 6 working days after RTRS has sent a final communication of the exam results and the certificates.

## **13. Issuance of Certificates**

- 13.1. RTRS has the sole and exclusive right of issuance of certificates of lead auditor courses for its standards. No service supplier may issue approval certificates of the RTRS lead auditor courses.
- 13.2. Course suppliers may, nevertheless, issue certificates of participation in the course under the following conditions:
  - 13.2.1. Certificates of Participation may only be granted to those participants who have had a 75% attendance rate to the course.
  - 13.2.2. Participation certificates will only be issued for RTRS courses other than Blended, that is, they shall be issued only for theoretical-practical courses with a minimum 36-hour duration.
- 13.3. Course participation certificates issued by the course supplier shall contain the following information:
  - Venue and date of the course (ddmmaaa)
  - Course Name, clarifying that it is an Attendance Certificate.
  - Course Duration (hours)
  - Standard Name and Version
  - Name of Participant
  - Data of certificate issuer, that is, the course licensee, with corresponding license number.
  - Participant's ID Number (ID Document, Passport, etc.)

**14. Pre and Post Course Records and Management**

- 14.1. The service supplier shall send RTRS the following documents and records before the beginning of the course:
- 14.1.1. Course Plan, at least 2 months before initiation of communications and publicity of the relevant course, including all the information requested in 1.2.
  - 14.1.2. Course Program, including schedule and topics.
  - 14.1.3. If the RTRS Auditor Course is combined with any other course, this shall be reported to RTRS and a program, contents and schedule of this supplementary shall be sent.
  - 14.1.4. The course supplier must make available copies of the material and of contents used for the publicity of the courses, should RTRS request it.
- 14.2. Once the course is over, the supplier shall send the following to RTRS:
- 14.2.1. A list of all the course participants with their personal data, as follows: Complete name (same as in Certificate), contact phone number, company, email, personal ID number (ID, Passport, etc.)
  - 14.2.2. Record of Attendance to the course
  - 14.2.3. Written exams (digital)
  - 14.2.4. A grid with a summary of grading of theoretical, practical parts and attendance, see 10.
  - 14.2.5. Satisfaction Survey (digital), including, at least, information for qualifying the course in the following areas:
    - Logistics and venue
    - Course Materials
    - Quality and Clarity of the information presented in the course
    - Suggestions
- 14.3. Course Statistics Number of participants, percentage of approved/failed participants, and average score of approval.