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RTRS Technical Unit

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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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<sup>1</sup> With minor numbering amendments made February 2011

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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 supply chain operators throughout the world and so it is imperative that access to certification is given to all 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 different RTRS standards and the Feed Material Assurance Scheme Module for the RTRS Soya Products.. (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 How to Use this Document

This is a modular document. Different sections apply depending on the scope of the accreditation sought by the certification body.

Modules that apply according the Accreditation and Certification Scope

- 1- Scope: Accreditation and Certification against the RTRS Chain of custody Standard

The CB has to comply with:

VI RTRS Accreditation System
VII General Accreditation requirements for CBs
2 Application and Approval Process for CBs
3 System and Procedures requirements
Module A: Chain of Custody Requirements
Module C: Multi-site Certification
Annex 1: Auditors Qualifications
Annex 2: Audit Report Content

- 2- Scope: Accreditation and Certification against the RTRS Chain of Custody Standard and RTRS EU RED requirements

The CB has to comply with:

VI RTRS Accreditation System
VII General Accreditation requirements for CBs
2 Application and Approval Process for CBs
3 System and Procedures requirements
Module A: Chain of Custody Requirements
Module B: Additional Requirements for Certification against the RTRS EU RED

Module C: Multi-site Certification
Annex 1: Auditors Qualifications
Annex 2: Audit Report Content

- 3- Scope: Accreditation and Certification against the FEMAS and RTRS Module for RTRS Soya Products.

The CB has to comply with:

VI RTRS Accreditation System
VII General Accreditation requirements for CBs
2 Application and Approval Process for CBs
3 System and Procedures requirements
Module D: Requirements for Certification against the Feed Material Assurance Scheme Module and RTRS Module for RTRS Soya Products
Annex 1: Auditors Qualifications
Annex 2: Audit Report Content

Note: Multi-site certification is not allowed under the FEMAS and RTRS Module for RTRS Soya Products.

- 4- Scope : Accreditation and Certification against the RTRS Chain of custody Standard and against the FEMAS and RTRS Module for RTRS Soya Products.

The CB has to comply with:

VI RTRS Accreditation System
VII General Accreditation requirements for CBs
2 Application and Approval Process for CBs
3 System and Procedures requirements
Module A: Chain of Custody Requirements
Module C: Multi-site Certification

Module D: Requirements for Certification against the Feed Material Assurance Scheme Module and RTRS Module for RTRS Soya Products
Annex 1: Auditors Qualifications
Annex 2: Audit Report Content

Note: Multi-site certification is not allowed under the FEMAS and RTRS Module for RTRS Soya Products.

- 5- Scope : Accreditation and Certification against the RTRS Chain of custody Standard, RTRS EU RED requirements and against the FEMAS and RTRS Module for RTRS Soya Products

The CB has to comply with:

VI RTRS Accreditation System
VII General Accreditation requirements for CBs
2 Application and Approval Process for CBs
3 System and Procedures requirements
Module A: Chain of Custody Requirements
Module B: Additional Requirements for Certification against the RTRS EU RED
Module C: Multi-site Certification
Module D: Requirements for Certification against the Feed Material Assurance Scheme Module and RTRS Module for RTRS Soya Products
Annex 1: Auditors Qualifications
Annex 2: Audit Report Content

## IV Definitions

*Applicable RTRS standard* is used to mean the set of RTRS Principles, Criteria and Indicators being used for assessment by the Certification Body. In this document this refers to the

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

Also the Feed Material Assurance Scheme (FEMAS) Module for RTRS Soya Products.

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

This Module has been benchmarked and along with requirements in the FEMAS Core Standard found equivalent to the requirements of the RTRS Chain of Custody Standard. These requirements and specific applicable module applies.

## **V Change from previous version of this document**

### **Version 3.5**

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).

## **VI 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 standards<sup>2</sup> 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 Chain of Custody) 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.
- 1.2.4. National Accreditation bodies must be:
  - 1.2.4.1. 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.
- 1.2.5. International Accreditation Bodies must have full membership of the International Social and Environmental Accreditation and Labelling Alliance (ISEAL).

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<sup>2</sup> Including FEMAS and RTRS Module for RTRS Soya Products or any other recognized scheme

- 1.2.6. 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.

## **VII 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 them 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. The CB shall achieve a positive accreditation decision by an RTRS-endorsed accreditation body within twelve (12) months of the date of signing the contract for preliminary recognition by the RTRS.
- 2.1.6. During the preliminary recognition period the CB will be allowed to carry out certification assessments and issue certificates.
- 2.1.7. During the preliminary recognition period the RTRS Secretariat is entitled to request any certification assessment report to do an external peer review before the CB issues a Certificate.
- 2.1.8. After a CB is granted with a successful accreditation decision (within the 12 months of the preliminary recognition period) made by an RTRS-endorsed National or International 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.

#### **2.2. Accreditation and surveillance**

##### **Core competency requirements**

- 2.2.1. The certification body shall comply with the requirements of ISO 17065:2012 with the additional requirements specified in this standard.
- 2.2.2. The certification body shall have a documentation management system that addresses each of the following elements:
- 2.2.2.1. General management system documentation (e.g. manual, policies, definition of responsibilities);
  - 2.2.2.2. Control of documents; control of records;
  - 2.2.2.3. Management review of management system;
  - 2.2.2.4. Internal audit; v) procedures for identification and management of non-conformities; and



- 2.2.2.5. Procedures for taking preventive actions to eliminate the causes of potential non-conformities.
- 2.2.2.6. Documentation shall be kept for a minimum of 5 years, or longer if required by the relevant national authority.
- 2.2.2.7. 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**

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

#### **Approval**

- 2.2.4. A CB shall demonstrate that it has developed all of the required, documented procedures as specified in ISO 17065:2012 and in this document.
- 2.2.5. A CB shall demonstrate that it has at least one (1) auditor who meets the requirements for RTRS lead auditors for the modules that they are seeking accreditation (Annex 1)
- 2.2.6. For each Chain of Custody accreditation application, 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 site assessment using the RTRS Chain of Custody standard<sup>3</sup>. The purpose of witnessing the CB performing site audits of their clients is to collect objective evidence to assist in the determination of CB staff competence including:
  - 2.2.6.1. Verification on site of the effectiveness of the CB's documented system and procedures, especially with regard to the assignment of competent audit teams;
  - 2.2.6.2. Observation of the CB's audit teams, as they perform an audit, to evaluate whether they:
    - Conform with the CB's own documented system and procedures,
    - Conform with the requirements and recommendations of ISO 17065:2012 and of this and other relevant RTRS standards or guidance.
- 2.2.7. CBs which meet all the requirements should be provided with accreditation confirmation by the AB.

#### **Surveillance and monitoring**

- 2.2.8. CBs shall be subject to annual surveillance visits by the AB including witnessing site assessments.
- 2.2.9. 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.
- 2.2.10. RTRS shall be entitled to participate, upon prior notice and at its own cost, in assessments or surveillance audits carried out by ABs.
- 2.2.11. 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.
  - 2.2.11.1. Internal audits shall verify the organization's compliance with the RTRS requirements, based on a desktop-based assessment of documentation transmitted by the certified organization and/or a field visit of the organization. Internal audits shall be realised:

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<sup>3</sup> NB. If a CB is applying for accreditation against both Soy Production certification and RTRS Chain of Custody Certification, there should be two separate witnessed audits (one for each type of certification).

- 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.

2.2.11.2. 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.

2.2.11.3. 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.

2.2.11.4. Internal audits may cover audits conducted by CBs and the inspection of a sample of audit reports prepared by each certification body.

2.2.12. Internal audits may be undertaken as witness by monitoring the work of the CB over a regular audit.

2.2.13. The scope of internal audits shall correspond to the scope of the certificate detained by the organization at which the internal audit is undertaken.

2.2.14. 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.

2.2.15. RTRS reserves the right to take any appropriate corrective action in case of significant discrepancies between the results of internal audits and the results of audits conducted by RTRS-accredited CBs. Corrective actions include, but are not limited to:

- 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.

### **2.3. Contract with RTRS**

2.3.1. Once a CB has been successfully accredited, it shall submit the accreditation confirmation and will pay the second half of the recognition 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)

2.3.2. The CB shall provide confirmation of continuing compliance provided by surveillance visits by the RTRS together with payment of the annual accreditation fee.

2.3.3. 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.

### **2.4. Sanctions**

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

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

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

- 2.4.2. The relevant RTRS committee will be responsible for dealing with these non-conformities.
- 2.4.3. 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, it shall be forwarded to the RTRS Secretariat for final resolution.
- 3.1.5. Requests for information by 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.

#### **3.2. 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. The independent committee shall:
  - 3.2.2.1. Meet at least annually;
  - 3.2.2.2. Be independent of the financial control of the organization;
  - 3.2.2.3. Be independent of certification decision making;
  - 3.2.2.4. Formally review the certification body's performance with respect to independence;
  - 3.2.2.5. Formally record its discussions and recommendations, and the CB's response to these.
- 3.2.3. Records of the conflict of interest committee's discussions, recommendations and consequent corrective actions must be maintained for at least 10 years.
- 3.2.4. 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 nor undertaking any consultancy activities or other service provision, except for certification or verification activities.

3.2.5. 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.

3.2.6. 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:

3.1.1.1. Relevant provisions on confidentiality..

**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<sup>4</sup>**

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	COC (RTRS Chain of Custody Standard) AGR (RTRS Standard for Responsible Soy Production)	Only COC is relevant for Chain of Custody certification.

<sup>4</sup> Not applicable for the FEMAS and RTRS Module for RTRS Soya Products, see Module D

Additional code referring only to operations compliant with EU RED-II biofuel and bioliquid requirements	BFLS (biofuels) BLLS (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.  If CB's are accredited for both types of certification, then they shall have a series for AGR certificates (starting at 0001) and a separate series for COC certificates (starting at 0001).

3.5.1.2. Some examples:

- RTRS-CU-COC-0034
- RTRS-INT-COC-0001 ,
- RTRS-SGS-COC-BFLS-0001

3.5.2. Certificate Content: The certificate issued will content at least the following information<sup>5</sup>:

- Certificate number
- Certified organization: name, address, city and country
- Scope of Certification: name of the standard used for the assessment and version number
- Assessment type: multisite, individual site
- Type of Certified Products
- Validity of the certificate: Valid from ddmmyyyy until ddmmyyyy
- Name, address, city and country of the Certification Body that issued the certificate
- Logo of the RTRS, used according the rules of the use of the logo of the RTRS.

### 3.6. Control of claims

3.6.1. The CB certification procedures shall include mechanisms to ensure compliance with RTRS requirements for the control of trademarks and claims by certified organizations (See RTRS Communication and Claims Policy).

### 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 and recognized certification body, (hereinafter referred to as the “issuing certification

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<sup>5</sup> Not applicable for the FEMAS and RTRS Module for RTRS Soya Products, see Module D

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 assessment 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. Requirements for Certification against the RTRS Chain of Custody Standard**

This module applies to those certification bodies wishing to offer certification against the requirements of the relevant sections of the RTRS Chain of Custody Standard.

The General Requirements (Section VII 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 develop documented procedures for carrying out the assessments and determining compliance with the RTRS CoC Standards.
- A 1.1.2. The CB procedures shall be consistent with specifications defined in ISO 19011:2002 Guidelines for Quality and /or environmental management systems assessment.
- A 1.1.3. The CB procedures shall include a specific procedure to determine the number of person-days required for the main CoC assessment and surveillance assessments. This shall take into account various factors including size and complexity of operations, scope of certificate, geographical distance between sites and information from previous assessments. The procedure shall also include how time should be distributed between sites and/or evidence gathering methods.

#### **A 1.2. Units of Certification**

- A 1.2.1. The Chain of Custody certification audit shall take place at the level of an individual site (facility).

### **A 2. Assessment requirements**

#### **A 2.1. Assessment teams and auditors**

- A 2.1.1. The CB must define minimum competencies for an auditor and members of assessment teams (where teams are used). The CB shall ensure that lead auditors:
  - A 2.1.1.1. Are fully and appropriately qualified to meet the RTRS minimum requirements for auditors (See Annex 1).
  - A 2.1.1.2. Have a sound knowledge of the relevant RTRS CoC standard and the relevant certification requirements contained in this document and in the logo, communications and claims document.
  - A 2.1.1.3. Are 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 used.
  - A 2.1.1.4. 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 2.2. Planning and preparation for main compliance assessment**

- A 2.2.1. The CB shall take account of the scope of the chain of custody assessment, the organizational, management and operational systems used and any other certifications (e.g.; Food safety, feed

assurance, quality, management) held by the operation seeking or holding certification when planning the duration and scope of the assessment.

- A 2.2.2. 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.
- A 2.2.3. As preparation for RTRS EU RED assessments, the CB shall request the certification applicant to provide:
  - A 2.2.3.1. 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 2.2.3.2. All relevant information concerning the mass balance. The auditor shall check the set-up of the mass balance system before the main compliance assessment begins.

### **A 2.3. Main compliance assessment**

- A 2.3.1. Certification applicants 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 2.3.2. Compliance assessments shall determine conformity or non-conformity with each indicator of the applicable parts of the RTRS Chain of Custody Certification Standard: including all General Requirements and requirements of the applicable specific Modules. 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 2.3.3. Multisite certification:
  - A 2.3.3.1. 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 2.3.3.2. The Internal Control System (ICS) of the company will be assessed for compliance in accordance with the RTRS requirements for Multi-site Chain of Custody (Module C of the RTRS Chain of Custody Standard).
  - A 2.3.3.3. A sample of the group members shall be assessed for compliance with the relevant section(s) of the RTRS Chain of Custody Standard [Note: details on calculation of sample size are provided in the RTRS EU RED Group and Multi-site certification requirements for CBs ].
  - A 2.3.3.4. The calculation of GHG savings at group level shall only permitted when members of the group have similar production systems and products.

The timing of the main assessment shall be freely set by the certification body. The CB, in liaison with the client may synchronise and combine RTRS Chain of Custody Certification assessments with other on-site assessments (e.g.; food safety, feed assurance) where appropriate and where the auditor or assessment team is suitably qualified.



- A 2.3.4. Assessments shall include, but shall not be limited to:
- A 2.3.4.1. Areas of potential environmental and social risk;
  - A 2.3.4.2. 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 2.3.4.3. 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 2.3.5. During assessments, free and safe access to all relevant facilities is required. If access to relevant facilities is denied the assessment will be considered void unless due to circumstances beyond the control of the certification applicant (*force majeure*) such as inaccessible roads, flooding, etc and / or if access is not safe for the auditor due to for example; civil war or terrorist activities, then the assessment is not possible. In the case of force majeure the certification body shall try its utmost to perform the assessment at a later stage or to obtain the required information through alternative means. In all other circumstances the applicant will be required to reapply for certification.
- A 2.3.6. 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.
- A 2.3.7. The CB shall ensure that no client shall be evaluated by the same auditor on more than three consecutive evaluations (including surveillance assessments).

#### **A 2.4. Documents and Records**

- A 2.4.1. The auditor shall identify and assess chain of custody management system documentation and a sufficient variety and number of records to make direct, factual observations to verify conformity with all of the requirements of the applicable module(s) of the RTRS Chain of Custody Standard
- A 2.4.2. Relevant RTRS Chain of Custody records relating to the receipt, processing (where relevant) and supply of certified soy or soy derivatives shall be reviewed.
- A 2.4.3. Note: Additional guidance on the rules for 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 2.4.4. In the context of RTRS EU RED certification, the auditor shall verify whether the certification applicant participates in any other EC-approved scheme. Whenever the case, the auditor shall verify that all relevant information, including the mass balance data and the auditing reports, is available.
- A 2.4.5. CBs shall have a documentation management system that addresses each of the following elements:
- A 2.4.6. i) General management system documentation (e.g. manual, policies, definition of responsibilities); ii) control of documents; control of records.
- iii) Management review of management system; iv) internal audit; v) procedures for identification and management of non-conformities; and vi) procedures for taking preventive actions to eliminate the causes of potential non-conformities.

#### **A 2.5. Site visits**

- A 2.5.1. The auditor shall visit a sufficient variety and number of locations and control points within each operation selected for evaluation as to make direct, factual observations as to conformity with:
- (a) The organization's documented systems and procedures

- (b) All the requirements of the relevant section(s) of the RTRS Chain of Custody Standard.

#### **A 2.6. Outsourced activities**

- A 2.6.1. In cases where the organization seeking or holding certification outsources activities to independent third parties (e.g.; subcontractors for storage, transport or other outsourced activities) the certification body shall verify the organization seeking certification has procedures in place to ensure that such independent third parties comply with the intent and requirements of the RTRS Chain of Custody certification standard and that these procedures are being implemented.
- A 2.6.2. The certification body shall verify compliance with the intent and requirements of the RTRS Chain of Custody Standard by the independent third parties engaged by an organization seeking or holding certification.
- A 2.6.3. The Certification body shall have in place, and implement procedures to determine when an audit at the site(s) operated by relevant subcontractors shall be necessary. This process must involve an analysis of the risk of uncontrolled mixing or substitution at the different outsourced sites, taking into account factors including, but not limited to:
  - (a) volume being outsourced,
  - (b) the type of process being outsourced,
  - (c) the organization's procedures for ensuring compliance by third parties
  - (d) the organization's own identification of critical control points (As required in 4.2. of the RTRS Chain of Custody Standard)

#### **A 2.7. Closing meeting**

- A 2.7.1. The CB shall end the assessment with a closing meeting during which the auditor informs the certification applicant of the main findings of the assessment, including non-conformities identified, and confirms the next steps in the process.

#### **A 2.8. Reporting**

- A 2.8.1. The CB shall prepare a certification report on the certification process against the relevant sections of the RTRS Chain of Custody Standard, including the GHG emissions occurring at the audited site. Emissions after allocation and achieved savings shall only be included in the audit report for the final economic operator. Should the emissions deviate significantly from typical values the report shall include information that explains the deviation. Providing it meets the requirements of the RTRS with regard to report content (See Annex 2 for the minimum requirements of a Chain of Custody Certification Report), this report may be combined with a report for another supply chain assessment schemes (e.g.; food safety or feed assurance schemes).

#### **A 2.9. Non conformities**

- A 2.9.1. All non-conformities that are identified by the CB during an assessment shall be evaluated to determine whether it constitutes a minor or major non-conformity and systematically recorded in the assessment report or associated checklists
- A 2.9.2. All non-conformities shall lead to Corrective Action Requests (CARs), suspension or withdrawal of the certificate.
- A 2.9.3. A non-conformity shall be considered minor if:
  - (c) It is a temporary lapse, *or*
  - (d) It is unusual/non-systematic, *or*

- (e) If the impacts of the non-conformity are limited in their temporal and organizational scale *and*
- (f) it does not result in a fundamental failure to achieve the objective of the relevant requirement

A 2.9.4. 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 to generally comply with RTRS requirements and/or achieve the objective of the relevant requirement in the Chain of Custody standard. Such fundamental failure shall be indicated by non-conformity(s) which:

- (g) continue over a long period of time, *or*
- (h) are repeated or systematic, *or*
- (i) are not corrected or adequately responded to by the responsible managers once they have been identified.

A 2.9.5. The certification body shall determine whether the number and impact of a series of minor non-conformities identified during evaluation is sufficient to demonstrate 'systematic' failure (i.e. failure of management systems). If this is the case then the repeated instances of minor non-conformities shall constitute a major non-compliance.

NOTE: The auditor may also identify the early stages of a problem which does not of itself constitute a non-conformity, but which the auditor considers may lead to a future non-compliance if not addressed by the organization. Such observations should be recorded in the main assessment or surveillance assessment report as 'observations' for the benefit of the client

A 2.9.6. The certification body shall not issue or re-issue a certificate to an organization if there is any major non-conformity with the requirements of the applicable module(s) of the RTRS Chain of Custody standard or other applicable requirement.

A 2.9.7. 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 2.9.8. CBs shall approve the Action Plan prior to issuing a certificate.

A 2.9.9. The CB shall require major CARs be fully addressed within three months

NOTE: Action(s) taken to correct a major non-compliance may continue over a period of time which is longer than 3 months. However, action must be taken within the specified period which is sufficient to prevent new instances of non-compliance within the scope of the certification.

A 2.9.9.1. The CB shall determine and verify if that major CARs have been addressed to their satisfaction prior to (re)issuing a certificate.

A 2.9.9.2. Verification that major CARs have been closed out shall be carried out by a specific pre-condition assessment (for new certificates) CAR assessment (for surveillance assessments), or documentation review.

A 2.9.10. The CB shall require that minor CARs be fully addressed within one year.

A 2.9.11. CB shall verify the satisfactory closing out of all CARs at the next surveillance assessment.

**A 2.10. Awarding and maintenance of certificates**

- A 2.10.1. CBs shall issue a certificate of compliance, if the organization is found to comply with all the requirements of this standard and use of the logo, communications and claims document.
- A 2.10.2. A certificate shall be valid for 5 years with a requirement for an annual surveillance assessment to confirm continued compliance with the requirements of the standard and applicable documents during this period.
- A 2.10.3. Prior to the end of the 5 year period, a full re-assessment must take place prior to the issue of a new certificate.
- A 2.10.4. The information on the certificate shall include in addition to point 3.5.2 type of products covered and control system categories.
- A 2.10.5. 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 2.10.6. 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 2.11. Reporting to RTRS**

- A 2.11.1. The CB shall register each new certificate and any other requested information by the RTRS, in the RTRS certification database, and in its own list of certified organizations.
- A 2.11.2. The CB shall report the volume of soy, soy derivatives, or soy-containing products entering and exiting the organization every year (in an on-line database or directly, as requested by the RTRS).

Note: Additional guidance on the rules for 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 2.12. Surveillance assessments**

- A 2.12.1. 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 2.12.2. The CB may also make short notice surveillance assessments, particularly where they have cause for concern about compliance with the requirements of the RTRS standard.
- A 2.12.2.1. The CB shall inform the client of such surveillance assessments with at least 24 hours notice.
- A 2.12.3. 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 2.12.4. As part of surveillance assessments, the CB shall check at least the following:
- a) List of all sites that are under the scope of certification. Each site shall have its own mass balance records.
  - b) List of all inputs per site, including description of materials and details of all suppliers.
  - c) List of all outputs per site, including description of materials and details of all customers.

- d) Note the mass balance records must contain information on both the inputs and the outputs of sustainable and unsustainable material (including where relevant fossil fuels) handled by the sites.
- e) Conversion factors applied (especially in the case of processing residues to ensure that the process is not being modified to produce more waste or residue material).
- f) The mass balance timeframe, which shall be transparent, documented and consistent, and an appropriate period of time (see B 2.1.3).
- g) A sample of the calculations (inputs, outputs, conversion factors, and any balances carried forward). All data should be checked against the book keeping system.”.
- h) Inputs and outputs should be accompanied, where relevant, by a set of sustainability characteristics. Auditors should check that sustainability characteristics have been allocated appropriately. At the end of the mass balance period, the sustainability data carried forward should be equivalent to the physical stock.

### **A 3. Claims**

**A 3.1. Certification bodies shall verify that use of claims by the operation seeking or holding certification are in compliance with the RTRS requirements on logos and claims (See RTRS Communications and Claims Policy) on a sampling basis. The CB shall define the size of the sample that will permit them to reach the level of confidence necessary for the surveillance assessment.**

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

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

The RTRS EU RED Compliance Requirements for the Supply Chain is a standard for operations in the soy value chain whose end-products are used for biofuels with a market in the European Union (EU), and it addresses the sustainability requirements of the European Union Renewable Energy Directive (RED-II).

The General Requirements (Section VII 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 supply chain facilities where actual GHG emissions data has been measured, monitored and recorded the certification body

shall comply with the requirements ISO 14065:2013 or justify equivalent, and/or have experience of carrying out audits in conformity with ISO 14064-3:2019<sup>6</sup> (or justify equivalent).

B 1.1.1.1. Where certification bodies only offer certification services in which the supply chain facilities 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. Auditors 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 the Supply Chain 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 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 processing match their description and scope. In case specific technologies are set out, the default values can only be used if those technologies were 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) GHG emissions shall be reported in. g CO<sub>2</sub>eq/dry ton of soy.
- c) 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.
- d) Actual values of cultivation, processing transport, storage and other intermediary steps shall be recorded and transmitted through the chain of custody as per the requirements described in Section 3 of the RTRS EU RED Compliance Procedure for the Supply Chain.

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<sup>6</sup> ISO 14064-3:2019 –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)

- e) 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. Auditors shall verify that economic operators use a mass balance system in line with the RTRS EU RED Chain of Custody Standard, which:

B 2.1.3.1. Allows consignments of raw material or fuels with differing sustainability and greenhouse gas emissions saving characteristics to be mixed for instance in a container, processing or logistical facility, transmission and distribution infrastructure or site;

B 2.1.3.2. Allows consignments of raw material with differing energy content to be mixed for the purposes of further processing, provided that the size of consignments is adjusted according to their energy content;

B 2.1.3.3. Requires information about the sustainability characteristics and sizes of the consignments referred to in point (a) to remain assigned to the mixture;

B 2.1.3.4. Provides for the sum of all consignments withdrawn from the mixture to be described as having the same sustainability characteristics, in the same quantities, as the sum of all consignments added to the mixture and requires that this balance be achieved over an appropriate period of time.

B 2.1.4. Auditors shall verify that, if a consignment of raw material or fuel has already been taken into account in the calculation of the share of renewable energy in any Member State, no further sustainability claims is issued for the same consignment in another Member State.

B 2.1.5. Where a consignment is processed, auditors shall verify that information on the sustainability and greenhouse gas emissions saving characteristics of the consignment are in line with the requirements detailed in Module E.1.5 of the RTRS EU RED Chain of Custody Standard.

## **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 the Supply Chain in a report. This report may take the form of a section within the main report of compliance against the RTRS Chain of Custody Standard.

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 2.3. Awarding Certificates**

B 2.3.1. Any certificate issued (see A 2.5 and 3.5.2 of this document) shall include the scope of the certificate, referencing whether they are in compliance with the RTRS EU RED Compliance Requirements for the Supply Chain.



#### **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.
- B 2.4.4. Certification applicants shall disclose on registration whether they are a current or previous participant of another voluntary scheme.
- B 2.4.5. Certification bodies shall cross-check the declarations of certification applicants against other voluntary scheme certificate lists.
- B 2.4.6. Certification bodies shall cross-check the Customer Due Diligence/ Know Your Customer, in particular on companies with a limited trading history.
- B 2.4.7. 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 **¡Error! No se encuentra el origen de la referencia..**

## **Module C. Additional Requirements for Multi-site CoC Certification**

This module applies to those certification bodies wishing to offer certification against the requirements of the relevant sections of the RTRS Chain of Custody Certification Standard Module C, Multi-site Chain of Custody.

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

### **C 1. Operational Requirements**

#### **C 1.1. Units of Certification**

C 1.1.1. The certificate shall be held by a single company and covers all sites participating in the multi-site group.

### **C 2. Assessment requirements**

#### **C 2.1. Planning**

C 2.1.1. The CB shall review the company's risk assessment of the sites within the company's defined multi-site system and take a decision on whether the risk assessment is sufficiently robust.

C 2.1.2. The CB shall not proceed with an audit until it is satisfied that the company's risk assessment is sufficiently robust.

C 2.1.3. All sites participating in the multi-site system shall be audited by the Certification Body (CB) at least once during the 5 year validity of the chain of custody certificate.

#### **C 2.2. Compliance assessment**

C 2.2.1. The CB shall assess centrally administered multi-site Internal Control System (ICS) of the company for compliance in accordance with the RTRS Multi-site Chain of Custody Standard (Module C). Assessment of the central administrator/ICS system shall always be included as part of the main certification assessment visit and subsequent surveillance assessments.

C 2.2.2. The CB shall select a sample of sites to be visited to assess of compliance with the relevant section(s) of the RTRS Chain of Custody Certification.

C 2.2.3. For the purposes of sampling, the CB shall categorize each site included within the scope of the multi-site system. Each category will include sites with the same type of operations that are implementing the same type of chain of custody system(s).

C 2.2.4. For the main assessment and re-assessment after 5 years, the minimum number of sampled sites per assessment shall be determined taking the square root ( $\sqrt{\quad}$ ) of the number of sites in each category.

*Note: when calculating the square root, numbers shall be rounded up to the nearest whole number.*

- C 2.2.5. For the surveillance assessments, the minimum number of sampled sites per audit or surveillance visit shall be determined taking 0.6 times the square root of the number of sites in each category (*Min number of sampled sites per audit or surveillance visit =  $0.6 \times \sqrt{nb}$  sites*).
- C 2.2.6. Where the combination of sites sampled at the main assessment and the subsequent annual surveillance assessments is fewer than necessary ensure all sites are visited over the 5 year certificate validity period, the minimum number of sites shall increased each year to ensure at all sites are visited.
- C 2.2.7. Site selection shall include at least 30% of randomly selected sites with the remainder chosen taking into account the company's own risk assessment and the performance of sites during previous audits. The same site may be sampled in consecutive years, however in these cases it may be necessary to increase the sample size to ensure all sites are visited at least once during the 5 year certificate validity.
- C 2.2.8. If a site is added to the scope of the organization's certificate after the initial audit or annual surveillance and subsequently removed before the next annual surveillance, the CB shall include this site in the next surveillance even though it is no longer included in the scope of the certificate.
- C 2.2.9. The certification body shall not choose sites based on convenience of logistics.

### **C 2.3. Non-conformities**

- C 2.3.1. A major non-conformity identified by the CB during a main or surveillance assessment shall result in expansion of the assessment sample size of the ongoing assessment to determine whether the major non-conformity is a systematic failure of the Internal Control System (ICS) or non-conformity limited to a single site.
- C 2.3.2. A major non-conformity identified by the CB as limited to a single site and not symptomatic of a broader system failure shall result in that site being withdrawn from the scope of the certificate.
- C 2.3.3. A major non-conformity identified by the CB as a systematic failure of the Internal Control System (ICS) shall result in a suspension or withdrawal of the multi-site certificate, including all sites within the scope of the certificate until the company demonstrates that the CAR has been adequately addressed.

## **Module D. Requirements for Certification against the Feed Material Assurance Scheme Module and RTRS Module for RTRS Soya Products**

This module applies to those certification bodies wishing to offer certification against the requirements of the RTRS Chain of Custody Standard and the FEMAS and RTRS Module for RTRS Soya Products. The FEMAS and RTRS Module for RTRS Soya Products shall only be certified in conjunction with the FEMAS Core Standard, so additional requirements may apply according FEMAS Accreditation and Certification requirements.

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

### **D 1. Operational Requirements**

#### **D 1.1. Documented Procedures**

- D 1.1.1. The CB shall develop documented procedures for carrying out the assessments and determining compliance with the FEMAS and RTRS Module for RTRS Soya products.
- D 1.1.2. The CB shall develop documented procedures for carrying out the assessments and determining compliance with the FEMAS and RTRS Module for RTRS Soya products.
- D 1.1.3. The CB procedures shall be consisted with specifications defined in ISO 19011: 2001 Guidelines for Quality and/or environmental management systems assessment.
- D 1.1.4. The CB procedures shall include a specific procedure to determine the number of person-days required for the main assessment for the FEMAS Core Standard and apart for this specific module assessment and surveillance assessments. This shall take into account various factors including size and complexity of operations, scope of certificate, geographical distance between sites and information from previous assessments. The procedure shall also include how time should be distributed between sites and/or evidence gathering methods.

#### **D 1.2. Units of Certification**

- D 1.2.1. The supply chain certification audit shall take place at the level of an individual site (facility).

### **D 2. Assessment requirements**

#### **D 2.1. Assessment teams and auditors**

- D 2.1.1 The CB must define minimum competencies for an auditor and members of assessment teams (where teams are used). The CB shall ensure that lead auditors:

D 2.1.1.1. Are fully and appropriately qualified to meet the RTRS minimum requirements for auditors (See Annex 1).

D 2.1.1.2. Have a sound knowledge of the relevant FEMAS and RTRS Module for RTRS Soya Products and the relevant certification requirements contained in this document and in the communications and claims Policy document.

D 2.1.1.3. Are 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 used.

## **D 2.2. Planning**

D 2.2.1. The CB shall take account of the scope of the supply chain assessment<sup>7</sup>, the organizational, management and operational systems used and any other certifications (e.g.; Food safety, feed assurance, quality, management) held by the operation seeking or holding certification when planning the duration and scope of the assessment.

## **D 2.3. Compliance assessments**

D 2.3.1. Compliance assessments shall determine conformity or non-conformity with each indicator of the applicable parts of the FEMAS & RTRS Module for RTRS Soya Products: including all General Requirements and requirements of the applicable specific Modules.

D 2.3.2. The timing of the main assessment shall be set by the certification body. The CB, in liaison with the client may synchronise and combine FEMAS and RTRS Module for RTRS Soya Products Certification assessments with other on-site assessments (e.g.; FEMAS Core Standard) where appropriate and where the auditor or assessment team is suitably qualified.

D 2.3.3. During assessments, free and safe access to all relevant facilities is required. If access to relevant facilities is denied the assessment will be considered void unless due to circumstances beyond the control of the certification applicant (*force majeure*) such as inaccessible roads, flooding, etc and / or if access is not safe for the auditor due to for example; civil war or terrorist activities, then the assessment is not possible. In the case of force majeure the certification body shall try its utmost to perform the assessment at a later stage or to obtain the required information through alternative means. In all other circumstances the applicant will be required to reapply for certification.

D 2.3.4. The CB shall ensure that no client shall be evaluated by the same auditor on more than three consecutive evaluations (including surveillance assessments).

## **D 2.4. Documents and Records**

D 2.4.1. D 2.4.1 The auditor shall identify and assess the chain of custody management system documentation and a sufficient variety and number of records to make direct, factual observations to verify conformity

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<sup>7</sup> Under the FEMAS Module for RTRS Soya Products only Segregation and Mass Balance System can be certified. Multi-site and Non GM Certifications are not allowed under this Module.

with all of the requirements of the applicable module(s) of the FEMAS and RTRS Module for RTRS Soya Products.

- D 2.4.2. D 2.4.2 Relevant FEMAS and RTRS Module for RTRS Soya Products chain of custody records relating to the receipt, processing (where relevant) and supply of certified soy or soy derivatives shall be reviewed.

Note: Additional guidance on the rules for 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.

#### **D 2.5. Site visits**

- D 2.5.1. The auditor shall visit a sufficient variety and number of locations and control points within each operation selected for evaluation as to make direct, factual observations as to conformity with:

- (j) The organization's documented systems and procedures
- (k) All the requirements of the relevant section(s) of the FEMAS and RTRS Module for RTRS Soya Products.

#### **D 2.6. Outsourced activities**

- D 2.6.1. In cases where the organization seeking or holding certification outsources activities to independent third parties (e.g.; subcontractors for storage, transport or other outsourced activities) the certification body shall verify the organization seeking certification has procedures in place to ensure that such independent third parties comply with the intent and requirements of the FEMAS and RTRS Module for RTRS Soya Products and that these procedures are being implemented.

- D 2.6.2. The certification body shall verify compliance with the intent and requirements of the FEMAS and RTRS Module for RTRS Soya Products by the independent third parties engaged by an organization seeking or holding certification.

- D 2.6.3. The Certification body shall have in place, and implement procedures to determine when an audit at the site(s) operated by relevant subcontractors shall be necessary. This process must involve an analysis of the risk of uncontrolled mixing or substitution at the different outsourced sites, taking into account factors including, but not limited to:

- (l) volume being outsourced,
- (m) the type of process being outsourced,
- (n) the organization's procedures for ensuring compliance by third parties
- (o) the organization's own identification of critical control points

#### **D 2.7. Closing meeting**

- D 2.7.1. The CB shall end the assessment with a closing meeting during which the auditor informs the certification applicant of the main findings of the assessment, including non-conformities identified, and confirms the next steps in the process.

#### **D 2.8. Reporting**

- D 2.8.1. The CB shall prepare a certification report on the certification process against the relevant sections of the FEMAS and RTRS Module for RTRS Soya Products. Providing it meets the requirements of the RTRS with regard to report content (See Annex 2 for the minimum requirements of a Supply Chain

Certification Report), this report may be combined with a report for another supply chain assessment schemes (e.g.; FEMAS Core Standard Certification).

#### **D 2.9. Non conformities**

D 2.9.1. All non conformities that are identified by the CB during an assessment shall be evaluated to determine whether it constitutes a minor or major non-conformity and systematically recorded in the assessment report or associated checklists

D 2.9.2. All non-conformities shall lead to Corrective Action Requests (CARs), suspension or withdrawal of the certificate.

D 2.9.3. non-conformity shall be considered minor if:

- a) It is a temporary lapse, *or*
- b) It is unusual/non-systematic, *or*
- c) If the impacts of the non-conformity are limited in their temporal and organizational scale *and*
- d) it does not result in a fundamental failure to achieve the objective of the relevant requirement

D 2.9.4 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 to achieve the objective of the relevant requirement in the Chain of Custody standard. Such fundamental failure shall be indicated by non-conformity(s) which:

- a) continue over a long period of time, *or*
- b) are repeated or systematic, *or*
- c) are not corrected or adequately responded to by the responsible managers once they have been identified.

D 2.9.4.

D 2.9.4.1. The certification body shall determine whether the number and impact of a series of minor non-conformities identified during evaluation is sufficient to demonstrate 'systematic' failure (i.e. failure of management systems). If this is the case then the repeated instances of minor non-conformities shall constitute a major non-compliance.

NOTE: The auditor may also identify the early stages of a problem which does not of itself constitute a non-conformity, but which the auditor considers may lead to a future non-compliance if not addressed by the organization. Such observations should be recorded in the main assessment or surveillance assessment report as 'observations' for the benefit of the client

D 2.9.4.2. The certification body shall not issue or re-issue a certificate to an organization if there is any major non-conformity with the requirements of the applicable FEMAS and RTRS Module for RTRS Soya Products or other applicable requirement.

D 2.9.4.3. 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.

D 2.9.4.4. CBs shall approve the Action Plan prior to issuing a certificate.

D 2.9.4.5. The CB shall require major CARs be fully addressed within three months

NOTE: Action(s) taken to correct a major non-compliance may continue over a period of time which is longer than 3 months. However, action must be taken within the specified period which is sufficient to prevent new instances of non-compliance within the scope of the certification.

D.2.9.4.5.1. The CB shall determine and verify if that major CARs have been addressed to their satisfaction prior to (re)issuing a certificate.

D.2.9.4.5.2. Verification that major CARs have been closed out shall be carried out by a specific pre-condition assessment (for new certificates) CAR assessment (for surveillance assessments), or documentation review.

D 2.9.4.6. The CB shall require that minor CARs be fully addressed within one year.

D 2.9.4.7. CB shall verify the satisfactory closing out of all CARs at the next surveillance assessment.

**D 2.10. Awarding of certificates**

D 2.10.1. CBs shall issue a certificate of compliance, if the organization is found to comply with all the requirements of the FEMAS and RTRS Module for RTRS Soya Products and use of the logo, communications and claims Policy.

D 2.10.2. A certificate shall be valid for 3 years with a requirement for an annual surveillance assessment to confirm continued compliance with the requirements of the standard and applicable documents during this period.

D 2.10.3. Prior to the end of the 3 year period, a full re-assessment must take place prior to the issue of a new certificate.

**D 2.11. Issuing of certificates**

D 2.11.1. The allocation certificate numbers for FEMAS & RTRS Module for RTRS Soya Products certificates shall follow the following system:

D 2.11.1.1. FEMAS and RTRS Module for RTRS Soya Products shall be unique and shall be comprised of 3 or 4 component parts, as shown in the table below:

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
Reference to the certificate being for Feed Assurance Material Scheme.	FEMAS	Obligatory second element of all the 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 the standard against which compliance is assessed	COC (FEMAS & RTRS Module for chain of custody certification)	
Unique sequential number	e.g. 0012	Corresponding to the number the certificate issued by the CB.



D 2.11.1.2. Some examples:

- RTRS-FEMAS-CU-COC-0034
- RTRS-FEMAS-SGS-COC-0034

D 2.11.2. Certificate Content: The certificate issued will content at least the following information:

- Certificate number
- Certified organization: name, address, city and country
- Scope of Certification: name of the standard used for the assessment and version number
- Validity of the certificate: Valid from ddmmyyyy until ddmmyyyy
- Name, address, city and country of the Certification Body that issued the certificate
- Logo of FEMAS and the RTRS, the logo of the RTRS used according the rules of the use of the logo of the RTRS.
- Type of products certified
- Chain of Custody System used, mass balance or segregation

#### **D 2.12. Reporting to RTRS**

D 2.12.1. The CB shall register each new certificate and any other requested information by the RTRS, in the RTRS certification database, and in its own list of certified organizations.

D 2.12.2. The CB shall report the volume of soy, soy derivatives, or soy-containing products entering and exiting the organization every year (in an on-line database or directly, as requested by the RTRS).

Note: Additional guidance on the rules for 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.

#### **D 2.13. D 2.13 Surveillance assessments**

D 2.13.1. During the lifetime of the certificate the CB shall conduct, as a minimum, annual surveillance assessments.

D 2.13.2. The CB may also make short notice surveillance assessments, particularly where they have cause for concern about compliance with the requirements of the Module.

D 2.13.2.1. The CB shall inform the client of such surveillance assessments with at least 24 hours notice.

### **D 3. Claims**

**D 3.1. Certification bodies shall verify that use of claims by the operation seeking or holding certification are in compliance with the RTRS requirements on logos and claims (See Use of the logo and Communications and Claims Policy).**

**Annex 1. RTRS Lead Auditor Qualifications for Certification against the RTRS Chain of Custody Standards**

**Minimum Competencies/qualifications for an RTRS Chain of Custody Certification lead auditor as defined by RTRS are as follows:**

**1. Technical skills and qualifications**

- 1.1. Successful completion of an RTRS-endorsed training course<sup>8</sup> which covers an understanding of the RTRS CoC standard and basic auditing techniques. See Annex 3 for details.
- 1.2. Successful completion of one of the following Lead Auditor training courses:
  - 1.2.1. ISO 9000, 14000, or OHSAS 18000, (min 37 hours duration); or
  - 1.2.2. An ISO 19011 course (min of 24 hours duration)Note: must include a practical component. (e.g.; cannot be entirely an on-line course)
- 1.3. Supervised period of training in practical auditing by a qualified lead auditor of at least 10 days audit experience in similar certification schemes, involving a minimum of two audits of different organizations.
- 1.4. If there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit. The audit team may be supplemented by technical experts, as required, who shall operate under the direction of an auditor. The certification body shall also ensure that the certification decision is taken by a technical reviewer that was not part of the audit team.
- 1.5. A minimum of two years' experience in biofuels life-cycle assessment, and specific experience in auditing GHG emission calculations following the RED-II calculation methodology. Relevant experience in depending on the type of audits to be conducted by the individual auditor.
- 1.6. Demonstrated experience in agriculture, ecology, natural science, forestry or similar.
- 1.7. Demonstrated experience in auditing chain of custody system, in particular segregation/mass balance systems, supply chain logistics, traceability and data handling, inventories and on-product claims.

**2. Formal qualifications:**

- 2.1. A minimum of post high (secondary) school diploma or equivalent (minimum course duration of 2 years).

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<sup>8</sup> The endorsed training course could include also a train the trainer system approved and endorsed by the RTRS

**Annex 2. Assessment report; for certification against the RTRS CoC Standard<sup>9</sup>**

This annex presents the minimum content requirements for an RTRS CoC Certification Report

Certified Company	Name and address (including country) of the operation certified and all relevant sites of operation(s) seeking or holding certification including contact details of the management representative responsible for overseeing the certification process.
Certification body	Name of CB, CB Certificate number,
Accreditation Data	Name of the Accreditation Body that accredited the CB, and date of accreditation Recognition Status from RTRS
Summary	A summary of the report, including a brief description of the scope of the certification.
Conclusion	The final decision of the certification body. This section shall also include any recommendation, non-compliances or conditions and a clear, unambiguous statement as to the certification status of the applicant company.
Certificate details	Certificate number, validity (start date and end date), and date of first certification
Background to the Report	a) Author(s): The name(s) of the auditor(s). Qualification (s) of auditor(s) The name(s) of the management representatives of the certification body involved in making the certification decision. b) Previous Assessments (if applicable): Summary of previous certification assessments and conclusion, with recommendations or non-conformities. c) On-site Visits: Itinerary with dates. The main items and places inspected. Names and affiliations of people consulted.
Scope	A clear description of the scope of the assessment including: <ul style="list-style-type: none"> <li>• the supply chain model(s) covered by the certificate</li> <li>• the sections of the RTRS CoC Standard the operation was assessed against (and the document version where relevant)</li> <li>• the products covered by the certificate (i.e. products in and products out)</li> </ul>
Description of	A clear description of the organizational systems, management systems

<sup>9</sup> Also applies for the FEMAS and RTRS Module for RTRS Soya Products

<i>Operation's management system</i>	and operational systems to ensure compliance with the RTRS CoC Standard
<i>GHG calculation</i>	GHG emissions of the operations included in the scope of certification. Indication of whether emissions are based on default values or actual values and if relevant the achieved savings. Should the emissions deviate significantly from typical values the report shall include information that explains the deviation.
<i>Certified volume purchased and claimed</i>	Confirmation of the company's summary of annual certified volume of RTRS certified soy beans, soy oil, soy meal or derivatives over a specified period. Indication of whether RTRS credits were sold via the RTRS Certificate Trading Platform or via a physical flow. (amounts of each)
	Date of initial certification Date of re-certification (where relevant)
<i>Acknowledgement of responsibility</i>	Formal sign-off by the certification body

### **Annex 3. 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>10</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.

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

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<sup>10</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.

- 2.1. 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>11</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>12</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.

### **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.

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<sup>11</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>12</sup> RTRS shall define and communicate whenever such alterations in the standard are “relevant” and require a new course or a refresh course.

- 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.
- 6.5. 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.
- 10.4. If the licensee wishes to offer a course or exam in a language other than the three official languages mentioned above, RTRS shall:
  - 10.4.1. Request a written authorization to RTRS before any announcement is made on this type of courses.
  - 10.4.2. Have the corresponding translations done and send a copy of all the translated material to the RTRS Course Manager, who shall authorize its use.
  - 10.4.3. 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.
  - 10.4.4. 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.
- 10.5. 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.
- 10.6. 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.



- 10.7. 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).
- 10.8. 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.
- 10.9. Once they have been corrected, the exams shall be sent to the RTRS Course Manager in digital format.
- 10.10. The tutor shall enclose the grid with the proposed grading for the 3 areas that are to be evaluated (participation, theory and practice).
- 10.11. 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.
- 10.12. 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.
- 10.13. 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**

- 11.1.1. 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.
- 11.1.2. 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.
- 11.1.3. 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.
- 11.1.4. 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.