

<b>Document name</b>	<b>APPLICATION GUIDELINE FOR FORMAL RECOGNITION OF CERTIFICATION BODIES UNDER RTRS STANDARDS V2.0</b>
<b>Document reference</b>	RTRS_AGR y CoC_ENG
<b>Date</b>	21 June 2011
<b>Produced and Approved</b>	Technical Unit of RTRS Secretariat

*Mandatory Version since 2011*

## I. HOW TO USE THIS DOCUMENT

This document has been created for the application for formal recognition of certification bodies under RTRS standards.

In section A you will find the general requirements for all applications (either application for recognition regarding the scope of the agricultural standard or chain of custody).

In section B you will find the recognition requirements under the RTRS standard for soy production (P&C)

In section C you will find the recognition requirements under the Chain of Custody (CoC) Standard

For example:

If you apply for preliminary or total recognition under the RTRS standard for soy production, you shall complete sections A and B, and relevant annexes.

If you apply for preliminary or total recognition under the Chain of Custody standard, you shall complete sections A and C, and relevant annexes.

If you apply for preliminary or total recognition under both standards, you shall complete sections A, B and C, and relevant annexes.

## II. RECOGNITION FEES

<b>Number of applications made</b>	<b>Fee</b>
<b>First standard applied for</b>	USD 3600
<b>Second standard applied for</b>	USD 1500

<b>Additional review fee*</b>	USD 800
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When applying for the first time, payment shall be made in two steps:

First payment: 50% after preliminary recognition is granted (USD 1800).

Second payment: remaining 50% after total recognition is granted (remaining USD 1800).

When applying for recognition of a second RTRS standard (i.e., when RTRS preliminary or total recognition has been previously granted under the agricultural standard or chain of custody), the USD 1500 amount shall be totally charged when granting preliminary recognition of the second requested standard.

These fees are charged only once, except that the certification body fails to comply with the deadlines established in the RTRS standards accreditation and verification systems, then you must, if authorized by RTRS, apply and pay again for the costs associated with recognition.

\*When the Certification Bodies fail to fulfill the requirements when submitting the application for recognition (e.g, incomplete documentation, lack of proof of the records required, documentation that does not apply for the scope of recognition), and this leads to perform a new review of the application, the RTRS will charge an extra review fee of USD 800.

## A. GENERAL REQUIREMENTS FOR APPLICATION

### 1. CERTIFICATION BODY APPLICATION

#### 1.1 Object of application

Mark with an X as applicable

<b>Application for</b> (mark with an X as applicable)	<b>Preliminary Recognition for the RTRS agricultural standard for Responsible Soy Production + Group and Multi-site certification standard</b>	
	<b>Total Recognition<sup>1</sup> for the RTRS agricultural standard for Responsible Soy Production + Group and Multi-site certification standard</b>	
	<b>Preliminary Recognition for the RTRS standard for Chain of Custody</b>	
	<b>Total Recognition<sup>2</sup> for the RTRS standard for Chain of Custody</b>	

#### 1.2 Previous Recognitions

Mark with an X as applicable

<b>RTRS</b>	<b>Have you been granted preliminary recognition?</b>	Yes Under which standard? Date of recognition	No
	<b>Have you been granted total recognition?</b>	Yes Under which standard? Date of recognition	No
<b>Accreditation body</b>	<b>Have you been accredited?</b>	Yes Under which standard? Name of Accreditation body	No

## 2. CERTIFICATION BODY IDENTIFICATION

### 2.1 Applicant body

<b>Name and corporate name</b>	
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<sup>1</sup> Total recognition may only be applied for if the applicant Certification Body has already been accredited under the RTRS standard for soy production by an RTRS-endorsed Accreditation Body.

<sup>2</sup> Total recognition may only be applied for if the applicant Certification Body has already been accredited under the RTRS standard for Chain of Custody by an RTRS-endorsed Accreditation Body.

Address		City	
State / Country		Postal code	
Telephone		Fax	
E-mail		Web page	

**2.2 Parent organization / head office (complete only if different from 2.1)<sup>3</sup>**

Name and corporate name			
Address		City	
State / Country		Postal code	
Telephone		Fax	
E-mail		Web page	

**2.3 Certification Body accounting data**

<b>BODY</b> (name appearing on the invoice)			
<b>1. INVOICING ADDRESS</b> (the one appearing on the invoice)			
Address		Postal code	
City		State	
<b>2. INVOICING ADDRESS</b> (address where invoice shall be sent if different from previous one)			
Address		Postal code	
City		State	
E – mail			

<b>CONTACT NAME (for invoicing and collections)</b>			
<b>TIMETABLE</b> (of the contact person for questions, payments, etc.)		<b>E – MAIL</b>	

<sup>3</sup> Provide information on the relationship between the Certification Body and the Parent Organization / Head Office.

<b>TELÉPHONE</b>		<b>FAX</b>	
<b>Any other relevant information</b>			

### 3. ORGANIZATION

#### 3.1 Applicant Certification Body's Structure and Organization Chart

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#### 3.2 Applicant Certification Body's other activities

List of activities

**4. IF THE CERTIFICATION BODY HAS NOT BEEN GRANTED PREVIOUS RECOGNITION (either preliminary or total of any RTRS standards), it shall attach the following documents:**

- 4.1 Body's Legal Status
- 4.2 Current year last Balance Sheet and Budget
- 4.3 Current Quality Manual
- 4.4 RTRS membership Registration

**B. REQUIREMENTS FOR RECOGNITION OF CERTIFICATION BODIES UNDER RTRS STANDARD FOR SOY PRODUCTION**

**5 ORGANIZATION**

**5.1 Critical branches of applicant body where audit services will be provided for Certification under the RTRS standard – agricultural standard for responsible soy production (Geographical scope of recognition)**

<b>Name</b>			
<b>Address</b>		<b>City</b>	
<b>State / Country</b>		<b>Postal code</b>	
<b>Telephone</b>		<b>Fax</b>	
<b>E - mail</b>		<b>Web page</b>	
<b>Critical activities developed:</b>			
<b>Are there any qualified auditors at this branch or is it a commercial or a representative office?</b>			

**5.2 Name and qualifications of auditors who will carry out RTRS audits – agricultural standard for responsible soy production**

(Additionally, complete Annex 1 with the required information; copy and complete the annex as many times as the number of auditors proposed at this application form.)

Country or branch he/she belongs to	NAME	Kind of Qualifications Certificate	N° Certificate RTRS Auditor Course and date	Educational qualification	Work Field experience (n° of audit days and scope or kind of audits)

Technical personnel from table above employed under permanent contract:	Total: ..... people
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**5.3 Name and qualifications of internal reviewer(s) who will carry out revision of RTRS audit reports – agricultural standard for responsible soy production**

(Additionally, complete Annex 2 with the required information; copy and complete the annex as many times as the number of reviewers proposed at this application form.)

Country or branch he/she belongs to	NAME	Kind of Qualifications Certificate	N° Certificate RTRS Auditor Course and date <sup>4</sup>	Educational Qualification	Work Field experience (n° of audit days and scope or kind of audits)

<sup>4</sup> The course is not compulsory for preliminary recognition, but it is compulsory for Total recognition.




**5.4 Data of Accreditation body chosen for accreditation (Complete this item only if applying for Preliminary recognition)**

Country and Name of Accreditation Body	Contact data of Accreditation body's responsible person	Estimated date for finishing accreditation process

**5.5 Data of Accreditation body that carried out the Accreditation audit (Complete this item only if applying for Total recognition.)**

Country and Name of Accreditation Body	Contact data of Accreditation body's responsible person and auditor who carried out audit	Date of Accreditation audit

**6 DOCUMENTATION TO BE SUBMITTED TO THE RTRS TECHNICAL UNIT ATTACHED TO THIS APPLICATION FORM**

6.1 Copy of Certificate showing that the Certification Body is accredited under ISO 65 or ISO 17021. If not accredited under any of these standards, please inform<sup>5</sup>.

6.2 Procedure for calculating audit days for certification audits, follow-ups and re-certification of the RTRS production standard (procedure shall specifically include the criteria for calculating audit days and the way these are calculated on the basis of the number of hectares to be certified).

6.3 Copy of RTRS auditor Course certificate and copy of any other certificate necessary for auditors to be qualified for the RTRS standard and which show compliance with the requirements laid down in the RTRS accreditation and verification system.

**Attach documentation under item 6.4 only if applying for Total recognition**

6.4 Copy of Accreditation Certificate under RTRS standard with scope covered by accreditation.

**7 CERTIFICATION BODY STATEMENT**

"I do hereby state that I know and accept the requirements and obligations of the following RTRS documents":

- RTRS Statutes
- RTRS Code of Conduct
- Current RTRS bylaws
- RTRS Use of the Logo & Claims Policy

<sup>5</sup> Where the applicant certification body is not accredited under ISO 65 or ISO 17021, the RTRS reserves the right to ask for information other than contained in this form and even to reject the application.

- Current RTRS Standard for Responsible Soy Production
- Current RTRS Accreditation and Certification Standard for Responsible Soy Production
- Current Progressive entry level for RTRS production standard certification
- Current RTRS Group and Multi-site standard. (Other RTRS requirements for those producers applying for group or multiple-farm certification at farm level.)
- Current requirements for Certification Bodies regarding RTRS Group and Multi-site certification. (Other accreditation and verification requirements for Certification Bodies regarding the certification process for those producers applying for group or multi-site certifications.)
- Current RTRS\_EU\_RED System
- Current RTRS\_EU\_RED for producers. (Other EU RED requirements for biofuels certification)
- Payment of RTRS recognition fee

I also do hereby state that the information contained in this document is true and I attach the documentation required by item 7 to this application form.

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Place and date

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Responsible signer's signature, full name and position

**C. REQUIREMENTS FOR RECOGNITION OF CERTIFICATION BODIES UNDER RTRS STANDARD FOR CHAIN OF CUSTODY**

**8 ORGANIZATION**

**8.1 Critical branches of applicant body where audit services will be provided for Certification under the RTRS CoC standard**

<b>Name</b>			
<b>Address</b>		<b>City</b>	
<b>State / Country</b>		<b>Postal code</b>	
<b>Telephone</b>		<b>Fax</b>	
<b>E – mail</b>		<b>Web page</b>	
<b>Critical activities developed:</b>			
<b>Are there any qualified auditors in this branch?</b>			

**8.2 Name and qualifications of auditors who will carry out RTRS – CoC audits (additionally, complete Annex 3 with the required information)**

<b>Country or branch he/she belongs to</b>	<b>NAME</b>	<b>Kind of Qualifications Certificate</b>	<b>N° Certificate RTRS - CoC Auditor Course and date</b>	<b>Educational Qualification</b>	<b>Work Field experience (n° of audit days and scope or kind of audits)</b>

<b>Technical personnel from table above employed under permanent contract:</b>	Total: ..... People
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**8.3 Data of Accreditation body chosen for accreditation (Complete this item only if applying for Preliminary recognition)**

Country and Name of Accreditation Body	Contact data of Accreditation body's responsible person	Estimated date for finishing accreditation process

**8.4 Data of Accreditation Body that carried out the Accreditation audit (Complete this item only if applying for Total recognition.)**

Country and Name of Accreditation Body	Contact data of Accreditation body's responsible person and auditor who carried out audit	Date of Accreditation audit

## 9 DOCUMENTATION TO BE SUBMITTED TO THE RTRS TECHNICAL UNIT ATTACHED TO THIS APPLICATION FORM

9.1 Copy of Certificate showing that the Certification Body is accredited under ISO 65. If not accredited under any of these standards, please inform<sup>6</sup>.

9.2 The CB procedure shall include a specific procedure for determining the number of persons-days required for RTRS-CoC main and surveillance assessments. It shall take into account several factors including the size and complexity of operations, the scope of the certification, the geographical distance among sites, and information on previous assessments. The procedure shall also include the way time should be allocated among sites and/or evidence collection methods.

9.3 Copy of RTRS auditor Course certificate and copy of any other certificate necessary for auditors to be qualified for the RTRS standard and which show compliance with the requirements laid down in the RTRS accreditation and verification system. (See Annex 1, item 1 "Technical skills and qualifications" and item 2 "Formal qualifications")

**Attach documentation under item 9.4 only if applying for Total recognition**

9.4 Copy of Accreditation Certificate under the RTRS standard with scope covered by accreditation.

## 10 CERTIFICATION BODY STATEMENT

"I do hereby state that I know and accept the requirements and obligations of the following RTRS documents":

- RTRS Statutes
- RTRS Code of Conduct
- Current RTRS bylaws
- RTRS Claims Use of the Logo & Claims Policy
- Current RTRS Standard for Chain of Custody
- Current accreditation and certification requirements of RTRS chain of custody for CBs
- RTRS EU RED requirements for the Supply Chain
- Payment of RTRS recognition fee

I also do hereby state that the information contained in this document is true and I attach the documentation required by item 9 to this application form.

<sup>6</sup> Where the applicant certification body is not accredited under ISO 65 or ISO 17021, the RTRS reserves the right to ask for information other than contained in this form and even to reject the application.

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Place and date

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Responsible signer's signature, full name and position

**Annex 1 – RTRS Lead Auditor Qualifications – agricultural standard for responsible soy production**

**Complete the following chart with each auditor’s relevant information regarding the necessary capacities to become an RTRS lead auditor.**

Requirement	Mark with an X as applicable	
<b>Technical skills and qualifications</b>		
Have you satisfactorily completed an RTRS-approved training course covering knowledge of RTRS principles, criteria, indicators and guidance, skills related to the specific standard requirements, and the requirements of the basic process to carry out RTRS assessments?	Yes Date: Attach proof	No
Have you satisfactorily completed any of the following training courses for Lead Auditors: ISO 9000, 14000, or OHSAS 18000 (min. 37 hours); or An ISO 19011 course (min. 24 hours). Note: it must include a practical part (e.g., it cannot be a totally <i>on-line</i> course).	Yes Which? Date: Attach proof	No
Have you ever participated as a training observing auditor in at least three RTRS assessments in different organizations in a total minimum of 10 days?	Yes Attach proof	No
Have you been the lead auditor under supervision in at least two of these assessments?	Yes Attach proof	No
<p>Note: it is acknowledged that lead auditors of the first RTRS audits will not be able to acquire experience as RTRS audit team members. Therefore, for these initial audits, the following requirements shall apply: that he/she has been lead auditor for other similar standards covering all the range of social, environmental, technical and legal elements for agriculture or forestry (for example, the Roundtable on Sustainable Palm Oil (RSPO), the Sustainable Agriculture Network (SAN), the Forest Stewardship Council (FSC), UTZ Certified, or equivalents) in at least two (2) main assessment audits.</p>		



Requirement	Mark with an X as applicable	
<p>Have you been a lead auditor for another similar standard covering all the range of social, environmental, technical and legal elements for agriculture or forestry in at least two (2) main assessment audits?</p>	<p>Yes Under which standard? Attach proof</p>	<p>No</p>
<p>Note: the RTRS may authorize accreditation bodies to accept lead auditors having experience in performing standard assessments other than the one specified above, such as adequate experience to comply with what is stated above, providing this experience includes assessment of social, environmental, technical and legal elements of agricultural production or forestry. For example, GlobalGap or ISO 14001 lead auditors will be accepted only if they can show they have experience and training in assessing other standards with social requirements or if they are accompanied by experts in this field.</p>		
<p>Do you have experience in performing standard assessments other than the one specified above, such as adequate experience for complying with what is stated above and including assessment of social, environmental, technical and legal elements of agricultural production or forestry?</p>	<p>Yes Under which standard? Attach proof</p>	<p>No</p>
<p><b>Formal qualifications:</b></p>		
<p>Do you have at least one post high school degree or equivalent (course minimum duration of 2 years) in a discipline related to the scope of the certification or 5 years' professional experience in one of the disciplines related to the standard assessed (e.g., agronomy, ecology)?</p>	<p>Yes Degree or field of experience: Attach proof</p>	<p>No</p>

**Annex 2 – Internal Reviewer Qualifications for the RTRS standard – agricultural standard for responsible Soy Production**

**Complete the following chart with the each reviewer’s corresponding information regarding required capacities.**

Requirement	Mark with an X as applicable	
<b>Skills</b>		
Have you satisfactorily completed an RTRS-approved training course covering knowledge of RTRS principles, criteria, indicators and guidance, skills related to the specific standard requirements, and the requirements of the basic process to carry out RTRS assessments?	Yes Attach proof	No
Have you satisfactorily completed any of the following training courses for Lead Auditors: ISO 9000, 14000, or OHSAS 18000 (min. 37 hours); or An ISO 19011 course (min. 24 hours).	Yes Which? Date: Attach proof	No
Do you have experience in the field of RSPO, SAN, UTZ, FSC, GlobalGap or ISO 14001 audits?	Yes Under which standard? Attach proof	No
<b>Formal qualifications</b>		
Do you have at least one post high school degree or equivalent (course minimum duration of 2 years) in a discipline related to the scope of the certification or 5 years’ professional experience in one of the disciplines related to the standard assessed (e.g., agronomy, ecology)?	Yes Degree or Field of experience: Attach proof	No

**Annex 3– RTRS Lead Auditor Qualifications for the RTRS standard – Chain of Custody**

**Complete the following chart with each auditor’s relevant information regarding the necessary capacities to become an RTRS lead auditor.**

Requirement	Mark with an X as applicable	
<b>Technical skills and qualifications</b>		
Have you satisfactorily completed an RTRS-approved training course covering knowledge of the RTRS standard – Chain of Custody and basic audit techniques?	Yes Date: Attach proof	No
Have you satisfactorily completed an ISO 9000, 14000, or OHSAS 18000 (min. 37 hours), or ISO 19011 (min. 24 hours) training course for Lead Auditors?  Note: it must include a practical part (e.g., it cannot be a totally <i>on-line</i> course).	Yes Which? Date: Attach proof	No
Have you ever participated in at least 10 days’ training in audit practices, supervised by a Lead Auditor, for similar certification schemes (for example, including traceability), involving at least two audits of different organizations?	Yes  Explain in what similar scheme: name, version, scope, number of audits as a Lead Auditor or member of the audit team and include a brief comparison with similarities between this standard and the RTRS CoC Standard.  Attach proof	No
<b>Formal qualifications:</b>		
Do you have at least one post high school degree or equivalent (course minimum duration of 2 years)?	Yes Degree: Attach proof	No