

Sanctions Policy

Version 1.0

Mandatory version from November 2022



This is a public document of the Round Table on Responsible Soy Association (RTRS), for any comments regarding the content of this document or the RTRS Standard please contact the:

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In the event a Certification Body and/or any of its Clients is found to be in breach of RTRS Regulations, the RTRS Executive Board and/or the grievances committee shall be entitled to impose sanctions and corrective actions (the “Sanctions”) on the Certification Body and/or the relevant Client(s), which Sanctions shall be determined at the RTRS Executive Board and/or the grievances committee sole discretion.

In the determination of the Sanction RTRS Executive Board and/or the grievances committee may take into consideration the gravity of the breach, the importance of the rule infringed, the Certification Body’s and/or the relevant Client(s)’ record, the alternatives and means available to avoid or mitigate the infraction, the standard of care applied by Certification Body and/or the relevant Client(s), the potential impact on RTRS reputation or on third parties, the actions taken upon detection, the admission of guilt, and other circumstances of the case under analysis.

With the goal of preserving the benefits that the observance of RTRS Standards projects over the environment and the community, RTRS Executive Board shall be entitled (but not obliged) to enter into settlement agreements whereby the Certification Body and/or the relevant Client(s) accepts certain sanction(s) and/or covenants to adopt certain corrective action(s) to be determined by the RTRS Executive Board. The RTRS Executive Board may delegate this power in the RTRS Secretariat.

In the event any potential breach of RTRS Regulations is detected and until the relevant investigation is completed to RTRS entire satisfaction, the RTRS Secretariat may order (i) the suspension of (x) the relevant certificate, (y) the access of the relevant user to the Online Platform, and/or (z) the exercise of the Member’s rights (in case the offender is also an RTRS Member), and/or (ii) other precautionary measures as it may deem necessary to mitigate potential impact, protect RTRS reputation and interests, to protect affected third parties and to preserve the impartiality of the investigation.

Sanctions to be temporarily or permanently imposed and/or considered for settlement purposes may include, but shall not be limited to, the following (or any combination thereof):

1. Clients

- Suspension and or expulsion as RTRS Member.
- Suspension or revocation of certificate.
- Suspension or termination of the right to use RTRS Trademarks.
- Economic fines.
- Payment of and/or obligation to indemnify and hold harmless from damages and third-party claims.
- Removal of credits’ balance.
- Prohibition to act as reseller.
- Change of certification body.
- Classification as high risk.
- Attendance of RTRS lead auditor training course and/or other additional trainings.

- Adoption of community actions.
- Additional record keeping activities.
- Audits supervised by RTRS observer.
- Assumption of RTRS observer's costs.
- Removal of non-compliant farms/sites from the scope of the certificate.
- Obligation of compliant farms of a group having a group member in breach of RTRS Regulations to undergo a full individual audit.
- Prohibition to act as group manager.
- Prohibition as group manager to represent growers that have not been certified under RTRS Standards in the past.
- Prohibition to act as group manager of groups larger than a certain number of farms.

2. Certification Bodies

- Suspension and or expulsion as RTRS Member.
- Suspension or termination of Certification Body's license worldwide.
- Suspension or termination of the right to use RTRS Trademarks.
- Economic fines.
- Payment of and/or obligation to indemnify and hold harmless from damages and third-party claims.
- Prohibition to continue to audit the relevant Client.
- Additional audits from the Accreditation Body.
- Periodic reporting obligations confirming correct functioning of Certification Body's operational system, staff competences and procedures.
- Additional trainings for auditors and reviewers.
- Performance of additional audits over the Client.
- Assumption of costs of additional audits over the Client.
- Audits supervised by RTRS observer.
- Assumption of RTRS observer's costs.
- Change of Accreditation Body.

This policy may be amended, supplemented or otherwise modified by RTRS from time to time. To access the latest version of this policy please see the [Link](#).