

<b>Document name</b>	<b>RTRS Principles and Criteria for Responsible Soy: Field Testing Version</b>
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<b>Produced by</b>	The RTRS Principles, Criteria and Verification Working Group (DG) as an output of their fifth meeting (Buenos Aires, Argentina) 09-13 March 2009. Incorporation of Criterion 4.4 written by the Executive Board, approved and ratified by the General Assembly on May 28 <sup>th</sup> , 2009.

## Field Testing

This field testing version of the Principles and Criteria for Responsible Soy Production will be available for field testing for a year. Following this, a final revision will be made, based on practical experience, to produce the first version of the full RTRS Principles and Criteria.

## Preamble

**Development of this Document:** The RTRS Principles and Criteria for Responsible Soy Production: Field Testing Version document is an output of the RTRS Principles, Criteria and Verification Working Group (DG). This multi-stakeholder group made up of representatives from the three RTRS member constituencies met on five occasions over a 17 month period, from October 2007 to March 2009. As part of their work the group reviewed and took into account comments received during three public stakeholder consultation periods. Criterion 4.4 was written by the Executive Board on May 25<sup>th</sup> during its meeting and was approved by the General Assembly on May 28<sup>th</sup>, 2009.

**Field Testing:** This version of the Principles and Criteria for Responsible Soy Production (P&C) will be available for field testing for a year to allow soy producers of all sizes and types in a wide range of locations to test the implementation of the requirements and comment on their findings. Following this, a final revision will be made, based on practical experience, to produce the first version of the full RTRS Principles and Criteria.

**National Interpretation:** Each soy producing country will be encouraged to make a national interpretation of the P&C which, once endorsed by the RTRS, will become the basis for certification in that country. National interpretation processes should refer to relevant international treaties and agreements in considering how to interpret the criteria for national use.

**Scope of application:** This document applies to all kinds of soybeans, including conventionally grown, organic, and genetically modified. These P&C have been designed to be used for all scales of soy production and places where soy is produced

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

**Monitoring:** Where indicators require monitoring to be undertaken, a baseline should be established at the time of certification with monitoring and review of trends over time. Producers are expected to commit to a process of continuous



**Round Table on Responsible Soy Association**

improvement. For group certification monitoring at the group level should be used where appropriate.

## Principle 1: Legal Compliance and Good Business Practice

Criterion text	Indicators	Guidance
<p>1.1 There is awareness of, and compliance with, all applicable local and national laws.</p>	<p>1.1.1 Awareness of responsibilities, according to applicable laws can be demonstrated.</p> <p>1.1.2 Applicable laws are being complied with.</p>	<p><b>Guidance for national interpretation:</b> Guidance on what the applicable laws are should be provided and applicable laws should be listed in the national interpretation document and on the RTRS website.</p> <p><b>Guidance for producers and auditors:</b> Producers need to have access to information which enables them to know what the law requires them to do. Examples include having a register of laws, or access to relevant legal advice.</p> <p><b>Guidance for auditors:</b> Legal compliance should be verified through:</p> <ul style="list-style-type: none"> <li>• checking publicly available data on compliance where available;</li> <li>• interviews with staff and stakeholders; and</li> <li>• field observations</li> </ul>
<p>1.2 Legal use rights to the land are clearly defined and demonstrable.</p>	<p>1.2.1 There is documented evidence of rights to use the land (e.g. ownership document, rental agreement, court order etc).</p>	<p><b>Guidance for national interpretation:</b></p> <ul style="list-style-type: none"> <li>• Provide further definition of acceptable evidence of legal use rights to land and appropriate methods of proving rights.</li> <li>• Provide guidance on how to deal with situations where the legal process for resolving land tenure and use rights is very long.</li> <li>• Address rental and sharecropper agreements where applicable.</li> </ul> <p><b>Guidance for producers and auditors:</b> Land use rights of traditional land users are considered in Criterion 3.2 which should</p>

Criterion text	Indicators	Guidance
<p>1.3 There is a commitment to continuous improvement with respect to the requirements of this standard.</p>	<p>1.3.1 The results of monitoring are reviewed and appropriate action is planned and taken when necessary.</p>	<p>be cross-referenced with this criterion.</p> <p><b>Guidance for producers and auditors:</b> For all indicators relating to monitoring there should be an approach that the baseline is established at the time of certification with monitoring and review of trends over time.</p> <p>For group certification monitoring at the group level should be used where appropriate</p>

## Principle 2: Responsible Labor Conditions

Criterion text	Indicators	Guidance
<p>2.1 Child labor, forced labor, discrimination and harassment are not engaged in or supported.</p>	<p>2.1.1 No forced, compulsory, bonded, trafficked or otherwise involuntary labor is used at any stage of production.</p> <p>2.1.2 No workers of any type are required to lodge their identity papers with anyone and no part of their salary, benefits or property is retained.</p> <p>2.1.3 Spouses and children of contracted workers are not obliged to work on the farm.</p> <p>2.1.4 Children and minors (below 18) do not conduct hazardous work or any work that jeopardizes their physical, mental or moral well being.</p> <p>2.1.5 Children under 15 (or higher age as established in national law) do not carry out productive work. They may accompany their family to the field as long as they are not exposed to hazardous, unsafe or unhealthy situations and it does not interfere with their schooling</p> <p>2.1.6 There is no engagement in, support for or tolerance of any form of discrimination which annuls or affects the recognition, fruition or equal exercise of rights or liberties at work.</p> <p>2.1.7 All workers receive equal remuneration for work of equal value, equal access to training and benefits and equal opportunities for promotion and to fill all positions open.</p>	<p><b>General Guidance:</b></p> <p><b>Guidance for national interpretation, producers and auditors:</b> The principle applies also to migrant, seasonal and other contract labor</p> <p><b>Guidance for indicators 2.1.1-2.1.3</b></p> <p><b>Guidance for producers and auditors:</b> Personnel should be free to leave their work place after their hours of work have been completed, and be free to terminate their employment provided that they give reasonable notice.</p> <p><b>Reference:</b> ILO Convention 29 on Forced Labor and 105 on Abolition of Forced Labor.</p> <p><b>Guidance for indicators 2.1.4-2.1.5</b></p> <p><b>Guidance for national interpretation:</b> Where legal and considered essential – national interpretations may consider including that on family farms, children between 13 and 15 years old may carry out light productive activities during the peak season, providing this does not exceed 14 hours per week and does not interfere with their schooling</p> <p><b>Guidance for producers and auditors:</b> Children and minors (below 18) do not work in dangerous locations, in unhealthy situations, at night, or with dangerous substances or equipment, nor do they carry heavy loads. They are not exposed to any form of abuse and there is no evidence of trafficked, bonded or forced</p>

Criterion text	Indicators	Guidance
	<p>2.1.8 Workers are not subject to corporal punishment, mental or physical oppression and coercion, verbal or physical abuse, sexual harassment or any other kind of intimidation.</p>	<p>labor.</p> <p><b>Reference:</b> ILO Convention 138 on Minimum Age and 182 on Worst Forms of Child Labor.</p> <p><b><u>Guidance for indicators 2.1.6-2.1.7</u></b></p> <p><b>Guidance for national interpretation, producers and auditors:</b> Discrimination includes, but is not limited to: any distinction, exclusion, restriction or preference based on race, color, social class, nationality, religion, disability, sex, sexual orientation, pregnancy, union membership or political association, with the purpose or effect of annulling, affecting or prejudicing the recognition, fruition or equal exercise of rights or liberties at work, be it in the process of contracting, remuneration, access to training, promotion, lay-offs or retirement.</p> <p>Divergence in salary is not considered discriminatory when the company has a policy, which is fully known to the employees, which specifies different pay scales for different levels of qualifications, length of experience etc.,</p> <p><b>Guidance for producers and auditors:</b> documented evidence of relevant personal data of workers should be verified (e.g. sex and date of birth). The data collected should be locally appropriate and legal (eg. it may not be appropriate or legal to ask for the religion of employees in some countries).</p> <p><b>Reference:</b> ILO Convention 111 on Discrimination and ILO</p>

Criterion text	Indicators	Guidance
<p>2.2 Workers, directly and indirectly employed on the farm, and sharecroppers, are adequately informed and trained for their tasks and are aware of their rights and duties.</p>	<p>2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written contract, in a language that they can understand.</p> <p>2.2.2 Labor laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g., working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc) are available in the languages understood by the workers or explained carefully to them by a manager or supervisor.</p> <p>2.2.3 Adequate and appropriate training and comprehensible instructions on fundamental rights at work, health and safety and any necessary guidance or supervision are provided to all workers.</p>	<p>Convention 100 on Equal Remuneration.</p> <p><b>Guidance for national interpretation, producers and auditors:</b> The requirements of indicator 2.2.1 are recommended even for small/family producers, but not required. “Workers indirectly employed on the farm” refers here to employees of services providers who carry out services directly related to the production process. The scope of ‘services directly related to the production process’ should be defined by national interpretations.</p>
<p>2.3 A safe and healthy workplace is provided for all workers.</p>	<p>2.3.1 There is a health and safety policy which applies to all workers and is adequately implemented and monitored.</p> <p>2.3.2 Relevant health and safety risks are identified, procedures are developed to address these risks by employers, and these are monitored.</p> <p>2.3.3 Immediate steps are taken to stop any operation where there is an imminent and serious danger to safety and health, and to evacuate as appropriate.</p> <p>2.3.4 Potentially hazardous tasks are only carried out by</p>	<p><b>References:</b> ILO convention 155 on Occupational Safety and Health; ILO Convention 184 on Safety and Health in Agriculture; ILO Recommendation 192 on Safety and Health in Agriculture.</p> <p><b>Guidance for auditors:</b> The means of verification used should be appropriate to the size and scale of the operation.</p>

Criterion text	Indicators	Guidance
	<p>capable and competent people who do not face specific health risks.</p> <p>2.3.5 Adequate and appropriate protective equipment and clothing is provided and used in all potentially hazardous operations such as pesticide handling and application, machine operation, land preparation and harvesting.</p> <p>2.3.6 There is a system of warnings followed by sanctions for workers that do not apply safety requirements.</p> <p>2.3.7 Accident and emergency procedures exist and instructions are clearly understood by all workers.</p> <p>2.3.8 In case of accidents or illness, access to first aid and medical assistance is provided without delay.</p>	
<p>2.4 There is freedom of association and the right to collective bargaining for all workers.</p>	<p>2.4.1 There is the right for all workers and sharecroppers to establish and/or join an organization of their choice.</p> <p>2.4.2 The effective functioning of such organizations is not impeded. Representatives are not subject to discrimination and have access to their members in the workplace.</p> <p>2.4.3 All workers have the right to perform collective bargaining.</p> <p>2.4.4 There is no inhibition of workers from interacting with external parties (e.g. NGOs, trade unions, labor inspectors, agricultural extension workers, certification bodies).</p>	<p><b>Reference</b> for 2.4.1: ILO Convention 87 on Freedom of Association and Protection of the Right to Organize.</p> <p><b>Reference</b> for 2.4.3: ILO Convention 98 on Right to Organize and Collective Bargaining.</p>

Criterion text	Indicators	Guidance
<p>2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed on the farm.</p>	<p>2.5.1 Gross wages that comply with national legislation and sector agreements are paid at least monthly to workers.</p> <p>2.5.2 Deductions from wages for disciplinary purposes are not made. Wages and benefits are detailed and clear to workers and workers are paid in a manner convenient to them. Wages paid are recorded by the employer.</p> <p>2.5.3 Normal weekly working hours do not exceed 48 hours. Weekly overtime hours do not exceed 12 hours.</p> <p>2.5.4 If additional overtime hours are necessary the following conditions are met:</p> <ul style="list-style-type: none"> <li>a) It only occurs in short and exceptional circumstances (eg. peak harvest).</li> <li>b) Where there is a trade union or representative organization the overtime conditions are negotiated and agreed with that organization.</li> <li>c) Where there is no trade union or representative organization agreement, the farm can have only two exceptional periods per crop cycle.</li> <li>d) The average of working hours in the two-month period after the start of the exceptional period is still no more than 60 hours per week.</li> </ul> <p>2.5.5 Working hours per worker are recorded by the employer.</p>	<p><b>Guidance for national interpretation, producers and auditors:</b> ‘Workers indirectly employed on the farm’ refers here to employees of services providers who carry out services directly related to the production process. The scope of ‘services directly related to the production process’ should be defined by national interpretations.</p> <p><b>Guidance for national Interpretation for 2.5.1:</b> Establish whether the minimum wages stipulated by national legislation or sector agreements are adequate to meet basic needs. Where they are not adequate then clear guidance is provided by the national interpretation as to:</p> <ul style="list-style-type: none"> <li>a) what is acceptable in order to meet basic needs (eg. reference values) (Reference ILO Convention 131 Minimum Wage Fixing)</li> <li>a) the methodology to be used to stipulate this (eg SA8000 calculation)</li> <li>b) a methodology to achieve basic needs (eg. step by step approach of SA8000-2008 version)</li> </ul> <p>National interpretations may include additional indicators in relation to this point.</p> <p><b>Reference</b> for 2.5.5 and 2.5.6: ILO Convention 1 on Hours of Work.</p>

Criterion text	Indicators	Guidance
	<p>2.5.6 Overtime work at all times is voluntary and paid according to legal or sector standards. In case overtime work is needed, workers receive timely notification. Workers are entitled to at least one day off following every six consecutive days of work.</p> <p>2.5.7 Salaried workers have all entitlements and protection in national law and practice with respect to maternity. Workers taking maternity leave are entitled to return to their employment on the same terms and conditions that applied to them prior to taking leave and they are not subject to any discrimination, loss of seniority or deductions of wages.</p> <p>2.5.8 If workers are paid per result, a normal 8 hour working day allows workers, (men and women), to earn at least the national or sector established minimum wage.</p> <p>2.5.9 If employees live on the farm, they have access to affordable and adequate housing, food and potable water. If charges are made for these, such charges are in accordance with market conditions. The living quarters are safe and have at least basic sanitation.</p>	

### Principle 3: Responsible Community Relations

Criterion text	Indicators	Guidance
<p>3.1 Channels are available for communication and dialogue with the local community on topics related to the activities of the soy farming operation and its impacts.</p>	<p>3.1.1 Documented evidence of communication channels and dialogue is available.</p> <p>3.1.2 The channels adequately enable communication between the producer and the community.</p> <p>3.1.3 The communication channels have been made known to the local communities.</p>	<p><b>Guidance for producers and auditors:</b></p> <p>Communication channels need to use local languages and appropriate mediums (eg. the internet is not an appropriate mechanism for communication with communities that have no access to internet).</p> <p>The communication requirements must be adequate to identify any disputes with traditional land users as referred to in Criterion 3.2</p> <p>Where people on or adjacent to the property are demonstrated to be illegal (for example illegal squatters), producers should try to engage in communication but they are not obliged to maintain a dialogue.</p> <p>Local communities may be represented by democratically established representatives in communication or negotiation or in audit situations. Where this is the case, this does not exempt the producer or the auditor from the responsibility of communicating with other members of the community, especially groups such as the poor, illiterate, youth, women or indigenous groups.</p> <p><b>Guidance to auditors:</b></p> <p>In the case of small/family producers documented evidence is not required and is substituted by verbal evidence.</p> <p>It is important to include interviews with the community to evaluate the existence of the communication channels and their</p>

Criterion text	Indicators	Guidance
		appropriateness.
<p>3.2 In areas with traditional land users, conflicting land uses are avoided or resolved.</p>	<p>3.2.1 In the case of disputed use rights, a comprehensive, participatory and documented community rights assessment is carried out.</p> <p>3.2.2 Where rights have been relinquished by traditional land users there is documented evidence that the affected communities are compensated subject to their free, prior, informed and documented consent.</p>	<p><b>Guidance for producers and auditors:</b></p> <p>The community rights assessment should aim to:</p> <ul style="list-style-type: none"> <li>a) identify the traditional uses and rights of traditional land users; and</li> <li>b) identify the places and landscape conditions needed to satisfy these rights.</li> <li>c) identify the places/issues where there is conflict between the property rights and the traditional land use rights</li> <li>d) reach a solution to resolve possible conflicting land uses and/or agree proposals for compensation.</li> </ul> <p>Where a legal judgment has been reached the terms of this judgment will be respected. If there is litigation in process, while this is <i>sub judice</i> this will not prejudice access to certification provided that guidance provided by the judge is followed. In the absence of such guidance, the traditional land user can continue to exercise the claimed rights until the case is resolved.</p> <p>Traditional land users may be represented by democratically established representatives in communication or negotiation or in audit situations. Where this is the case, this does not exempt the producer or the auditor from the responsibility of communicating with other members of the community.</p>
<p>3.3 A mechanism for resolving</p>	<p>3.3.1 The complaints and grievances mechanism has been made known and is accessible to the communities.</p>	<p><b>Guidance for national interpretation:</b> Guidance is needed on an</p>

Criterion text	Indicators	Guidance
<p>complaints and grievances is implemented and available to local communities and traditional land users.</p>	<p>3.3.2 Documented evidence of complaints and grievances received are maintained.</p> <p>3.3.3 Any complaints and grievances received are dealt with in a timely manner.</p>	<p>appropriate interpretation of ‘timely manner’.</p> <p><b>Guidance to producers and auditors:</b> In the case of groups of producers, records of complaints and grievances can be maintained at the group level.</p> <p><b>Guidance for auditors:</b> Interviews with members of local communities and their representatives are important in verifying compliance with this criterion.</p>
<p>3.4 Fair opportunities for employment and provision of goods and services are given to the local population.</p>	<p>3.4.1 Employment opportunities are made known locally.</p> <p>3.4.2 There is collaboration with training programs for the local population.</p> <p>3.4.3 Opportunities for supply of goods and services are offered to the local population.</p>	<p><b>Guidance for producers and auditors:</b> Indicator 3.4.3 refers to goods and services which are central to the production activities.</p> <p><b>Guidance to auditors:</b></p> <p>3.4.1: Evidence may include records kept of proportion of local employees</p> <p>3.4.3: Evidence includes quotations for services from local suppliers.</p> <p><b>Guidance for producers and auditors: (3.4.2):</b> With reference to small/family producers, these may participate in training programs where they exist. At group level the collaboration with training programs may occur at the level of the certificate holder.</p>

## Principle 4: Environmental Responsibility

Criterion text	Indicators	Guidance
<p>4.1 On and off site impacts (both positive and negative, both social and environmental) of large new infrastructure being built on the farm have been assessed and appropriate measures taken to minimize and mitigate any negative impacts.</p>	<p>4.1.1 A social and environmental assessment is carried out prior to the establishment of large new infrastructure.</p> <p>4.1.2 The assessment is carried out by someone who is adequately trained and experienced for this task.</p> <p>4.1.3 The assessment is carried out in a comprehensive and transparent manner.</p> <p>4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are documented and are being implemented.</p>	<p><b>Guidance for national interpretation:</b></p> <p>Provide further guidance on defining ‘large’ infrastructure and the appropriate professional qualifications or experience of person(s) carrying out the assessment of impacts. Examples of new infrastructure include: on-farm silos, storage areas, buildings, roads, bridges and dams.</p> <p><i>Note: A list of elements to be included, as a minimum, in assessments will be developed as a result of field testing.</i></p> <p>Identify existing requirements for impact assessment which are adequate to meet this criterion.</p> <p>May produce templates or guidance on how impact assessment should be carried out.</p> <p><b>Guidance for producers and auditors:</b> The assessment should be appropriate to the scale of the operation and the new infrastructure.</p>
<p>4.2 Pollution is minimized and production waste is managed responsibly.</p>	<p>4.2.1 There is no burning of crop residues or waste, except under one of the following conditions:</p> <ul style="list-style-type: none"> <li>• where there is a legal obligation to burn as a phytosanitary measure;</li> <li>• for drying soy;</li> <li>• for generation of energy.</li> </ul>	<p><b>Guidance for national interpretation:</b></p> <p>Identify any additional important pollutants not identified under 4.2.2.</p> <p>Provide information on existing programs for re-using or recycling waste products.</p> <p><b>Note to producers and auditors:</b> chemical use and disposal is dealt with under Principle 5.</p>

Criterion text	Indicators	Guidance
	<p>4.2.2 There is adequate storage and disposal of fuel, batteries, tires, oil and lubricants, including used items.</p> <p>4.2.3 There are facilities to prevent spills of oil and other pollutants.</p> <p>4.2.4 There is adequate disposal of sewage.</p> <p>4.2.5 Re-use and recycling is utilized wherever possible.</p>	
<p>4.3 Efforts to reduce emissions of Greenhouse Gases (GHGs) are made.</p>	<p>4.3.1 Total direct fossil fuel use over time is recorded, and its volume per hectare and per unit of product for all activities related to soy production is monitored.</p> <p>4.3.2 If there is an increase in the intensity of fossil fuel used, there is a justification for this. If no justification is available there is an action plan to reduce use.</p>	<p><b>Note for field testing:</b> The RTRS Principles, Criteria and Verification Development Group (DG) identified simple indicators that address key sources of greenhouse gas emissions in soy production. Further development will be informed by field testing and by other processes working on this issue and may include issues such as farm carbon balance, and mechanisms for calculating fossil fuel use.</p> <p><b>Guidance for national interpretation, producers and auditors:</b> Other issues which are relevant to GHG emissions are covered in other principles including:</p> <ul style="list-style-type: none"> <li>• Fertilizer use: Use of fertilizers is included in Criterion 5.5.</li> <li>• Maintaining soil carbon levels: Maintaining and monitoring soil carbon content is addressed under Criterion 5.3</li> <li>• Emissions from land-use change: <i>Requirements still need to be finalized as discussed under 4.4.</i></li> </ul> <p><b>Guidance for national interpretation:</b></p> <p>Provide guidance on how to deal with the situation where operations by machine on a farm are outsourced.</p>

Criterion text	Indicators	Guidance
		<p>(4.3.1) Evaluate the appropriateness of the requirement for recording for small/family producers.</p> <p><b>Guidance for producers and auditors:</b></p> <p>On farms which produce multiple crops an estimate of the use of fossil fuel for soy production should be calculated.</p> <p>‘Activities related to soy production’ include: soil preparation, on-farm transport, application, cultivation and harvest.</p> <p>The use of conservation agriculture (no tillage) techniques should be recognized as delivering reduced emissions of GHGs.</p>
<p>4.4 Conservation and compensation of native vegetation</p>	<p>4.4.1 Expansion for soy cultivation during field test period may not take place on land cleared of native habitat after May 2009.</p> <p>Exception: Producers who want or plan to clear native habitat after the cut-off date of May 2009 must produce scientific evidence from a comprehensive and professional third-party assessment of the area concerned that identifies the absence of:</p> <ul style="list-style-type: none"> <li>○ all primary forest</li> <li>○ other High Conservation Value Areas (HCVAs)</li> <li>○ local peoples’ lands</li> </ul> <p>Payment for Environmental Services will be explored during field test period beginning after the cut-off date of May 2009.</p>	

## Principle 5: Good Agricultural Practice

Criterion text	Indicators	Guidance
<p>5.1 The quality and supply of surface and ground water is maintained or improved.</p>	<p>5.1.1 Good agricultural practices are implemented to minimize diffuse and localized impacts on surface water quality from chemical residues, fertilizers, erosion or other sources and to promote aquifer recharge.</p> <p>5.1.2 There is monitoring, appropriate to scale, to demonstrate that the practices are effective.</p> <p>5.1.3 Any direct evidence of localized contamination of ground or surface water is reported to, and monitored in collaboration with, local authorities.</p> <p>5.1.4 Where irrigation is used, there is a documented procedure in place for applying best practices and acting according to official guidance (where this exists), and for measurement of water utilization.</p>	<p><b>Guidance for national interpretation on 5.1.2:</b> information should be provided on how the monitoring can be carried out.</p> <p><b>Guidance for producers and auditors on 5.1.2:</b> Where appropriate there should be monitoring of parameters such as pH, temperature, dissolved oxygen, turbidity and electrical conductivity. Monitoring should be considered at watershed level. Basic analysis kits are available for parameters such as pH, dissolved oxygen, nitrogen and phosphorus.</p> <p><b>Guidance for producers for 5.1.2:</b> Where there are wells these should be used to monitor ground water.</p> <p><b>Guidance for producers for 5.1.4:</b> When using irrigation attention should be paid to other potential uses such as household use or use by other food crops and if there is a lack of water priority should be given to human consumption.</p>
<p>5.2 Natural vegetation areas around springs and along natural watercourses are maintained or re-established.</p>	<p>5.2.1 The location of all watercourses has been identified and mapped, including the status of the riparian vegetation.</p> <p>5.2.2 Where natural vegetation in riparian areas has been removed there is a plan with a timetable for restoration which is being implemented.</p>	<p><b>Guidance for national interpretation:</b></p> <p>Develop more specific guidance regarding restoration plans which are adapted to the national situation taking into account the scale of operation, differences between biomes within countries and different legal requirements.</p> <p>Requirements for small/family producers should be clarified.</p>

Criterion text	Indicators	Guidance
<p>5.3 Soil quality is maintained or improved and erosion is avoided by good management practices.</p>	<p>5.3.1 Knowledge of techniques to maintain soil quality (physical, chemical and biological) is demonstrated and these techniques are implemented.</p> <p>5.3.2 Knowledge of techniques to control soil erosion is demonstrated and these techniques are implemented.</p> <p>5.3.3 Appropriate monitoring, including soil organic matter content, is in place.</p>	<p><b>Guidance for national interpretation:</b> Identify the most appropriate techniques to maintain soil quality and minimize soil erosion.</p> <p>Techniques to maintain soil quality may include:</p> <ul style="list-style-type: none"> <li>• Conservation agriculture</li> <li>• Crop rotation</li> <li>• Balanced fertilization</li> </ul> <p>Techniques to control soil erosion may include:</p> <ul style="list-style-type: none"> <li>• Management of on-farm roads</li> <li>• Management of sloping areas</li> <li>• Maintenance of permanent soil cover</li> </ul> <p>Identify appropriate indicators for monitoring which need to be based on the key issues for production and region. Any monitoring indicators chosen should be the most straightforward and give good information. Suggestions include</p> <ul style="list-style-type: none"> <li>• Analysis of organic matter, total nitrogen (N), phosphorous (P),</li> <li>• Measurement of surface residues – quality and quantity 30 days before the mean sowing date with a tolerance of +/- 10 days</li> </ul>
<p>5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation</p>	<p>5.4.1 A plan for ICM is implemented.</p> <p>5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.</p> <p>5.4.3 Use of phytosanitary products follows professional recommendations (or, if professional recommendations are not available, manufacturer’s recommendations).</p>	<p><b>Guidance for national Interpretation and auditors:</b> Take into account scale and context especially for small/family producers – this relates to both the level of ICM expected and the records maintained.</p> <p><b>Guidance for producers and auditors for 5.4.2:</b> The parameters that are monitored include the number of applications of phytosanitary products per crop cycle, volume of phytosanitary product used per hectare and toxicological class of product.</p>

Criterion text	Indicators	Guidance
<p>of systematic, recognized Integrated Crop Management (ICM) techniques.</p>	<p>5.4.4 Records of monitoring of pests, diseases and weeds.</p>	<p><b>Guidance for producers:</b> the level of potential harmfulness of a phytosanitary product can be determined from its toxicological class for the purposes of this criterion.</p> <p><b>Guidance for auditors:</b> Where targets are not met, documented evidence is presented to justify this.</p>
<p>5.5 All application of agrochemicals is documented and all handling, storage, collection and disposal of chemical waste and empty containers, is monitored to ensure compliance with good practice.</p>	<p>5.5.1 There are records for agrochemical use of:</p> <ul style="list-style-type: none"> <li>a) products applied, quantity and dates;</li> <li>b) identification of the area where the application was made;</li> <li>c) names of the persons that carried out the preparation of the products and field application;</li> <li>d) identification of application equipment used;</li> <li>e) weather conditions during application.</li> </ul> <p>5.5.2 Containers are properly stored, washed using triple rinsing principles, and water and containers are properly disposed of. Waste and residual agrochemicals are disposed in an environmentally appropriate way.</p> <p>5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.</p> <p>5.5.4 The necessary precautions are taken to avoid people entering into recently sprayed areas.</p> <p>5.5.5 Fertilizers are used in accordance with professional</p>	<p><b>Guidance for national interpretation:</b> where national regulation is sufficient for 5.5.3 this is identified. Where additional requirements are necessary these are clarified.</p> <p><b>Guidance for national interpretation and auditors for 5.5.1:</b> scale and context, especially for small/family producers, should be taken into account.</p> <p><b>Guidance for Producers and auditors:</b></p> <p>Records are maintained for at least 5 years.</p> <p>Areas used for the storage and distribution of agrochemicals, flammable and toxic substances are designed, constructed and equipped to reduce the risks of accidents and negative impacts on human health and the environment.</p>

Criterion text	Indicators	Guidance
	<p>recommendations (provided by manufacturers where other professional recommendations are not available).</p>	
<p>5.6 Agrochemicals listed in the Stockholm and Rotterdam Conventions or banned by the Pesticide Action Network (PAN) Dirty Dozen are eliminated.</p>	<p>5.6.1 A list of agrochemicals banned by the Stockholm and Rotterdam Conventions and by the Pesticide Action Network (PAN) Dirty Dozen is available.</p> <p>5.6.2 A plan is implemented to eliminate the use of agrochemicals listed in the Stockholm and Rotterdam Conventions or in the Pesticide Action Network (PAN) Dirty Dozen within three years after the approval of the Principles and Criteria (May 2009). After this period these agrochemicals are not used.</p>	<p><b>Guidance for national interpretation:</b> provide lists of country-specific banned agrochemicals.</p>
<p>5.7 The use of biological control agents is documented, monitored and controlled in accordance with national laws and internationally accepted scientific protocols.</p>	<p>5.7.1 There is information about requirements for use of biological control agents.</p> <p>5.7.2 Records are kept of all use of biological control agents that demonstrate compliance with national laws.</p>	<p><b>Guidance for national interpretation:</b></p> <p>Translate relevant laws and protocols into understandable guidance for different types of procedures. Add additional indicators referring to guidance to be followed. (eg. guidance from international protocols)</p> <p><b>Guidance for national interpretation and auditors for 5.7.2:</b> Scale and context, especially for small/family producers, should be taken into account.</p>

Criterion text	Indicators	Guidance
<p>5.8 Systematic measures are planned and implemented to monitor, control and minimize the spread of invasive introduced species and new pests.</p>	<p>5.8.1 Where there are institutional systems in place to identify and monitor invasive introduced species and new pests, or major outbreaks of existing pests, producers follow the requirements of these systems, to minimize their spread.</p> <p>5.8.2 Where such systems do not exist, incidences of new pests or invasive species and major outbreaks of existing pests are communicated to the proper authorities and relevant producer organizations or research organizations.</p>	<p><b>Guidance for national interpretation:</b></p> <p>For 5.8.1 provide guidance on which are the institutions which provide the systems mentioned.</p> <p>For 5.8.2 provide guidance on how communication is to be carried out, i.e. what means of communication are appropriate.</p>
<p>5.9 Appropriate measures are implemented to prevent the drift of agrochemicals to neighboring areas.</p>	<p>5.9.1 There are documented procedures in place that specify good agricultural practices, including minimization of drift, in applying agrochemicals and these procedures are being implemented.</p> <p>5.9.2 Records of weather conditions during spraying operations are maintained.</p> <p>5.9.3 Aerial application of agrochemicals within 200m of populated areas is preceded by advance notification.</p> <p>5.9.4 There is no aerial application of agrochemicals in WHO Class 1A, 1B and 2 within 500m of populated areas or water bodies.</p> <p>5.9.5 There is no application of agrochemicals within 30m of</p>	<p><b>Guidance for national interpretation:</b></p> <p>Define good agricultural practices for agrochemicals application.</p> <p>There should be a list with all WHO 1A, 1B and 2 agrochemicals including local or trade names.</p> <p>Provide guidance on what should be considered ‘populated areas’ and ‘water bodies’.</p> <p><b>Guidance for national interpretation, producers and auditors:</b> Requirements for small/family producers with respect to 5.9.1 and 5.9.2 should be appropriate to scale and context.</p> <p><b>Guidance for producers and auditors:</b></p> <p>Factors that influence drift include among others wind speed and</p>

Criterion text	Indicators	Guidance
	populated areas or water bodies.	direction, temperature, equipment utilized and topography, Criterion 5.9.5 does not apply to manual application if adequate measures are taken to prevent drift (eg use of knapsack applicators with shields).
5.10 Appropriate measures are implemented to allow for coexistence of different production systems.	5.10.1 Measures are taken to prevent interference in production systems of neighboring areas.	<b>Guidance for national interpretation:</b> Provide guidance on the relevant coexistence situations and the measures associated with them.
5.11 Origin of seeds is controlled to improve production and prevent introduction of new diseases.	5.11.1 All purchased seed must come from known legal quality sources. 5.11.2 Self-propagated seeds may be used, provided appropriate seed production norms are followed and legal requirements regarding intellectual property rights are met.	<b>Guidance for national interpretation:</b> define ‘known legal quality sources’.

## Annex 1. List of Acronyms

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

## Annex 2. Glossary of Terms

Biological Control	A method of controlling pests that relies on predation, parasitism, herbivory, or other natural mechanisms, rather than agrochemicals.
Criteria	The 'content' level of a standard. Conditions that need to be met in order to achieve a Principle
Forced and compulsory labor	All work or service that a person has not offered to do voluntarily and is made to do under the threat of punishment or retaliation, or is demanded as a means of repayment of debt. (Definition source; SA8000 standard, referencing the ILO definition).
High Conservation Value Areas	<p>High Conservation Value Areas are critical areas in a landscape which need to be appropriately managed in order to maintain or enhance High Conservation Values (HCVs). There are six main types of HCV Area, based on the definition originally developed by the Forest Stewardship Council for certification of forest ecosystems, but now increasingly expanded to apply to other credible assessments of other ecosystems.</p> <p>HCV1. Areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).</p> <p>HCV2. Globally, regionally or nationally significant large landscape-level areas where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.</p> <p>HCV3. Areas that are in or contain rare, threatened or endangered ecosystems.</p> <p>HCV4. Areas that provide basic ecosystem services in critical situations (e.g. watershed protection, erosion control).</p> <p>HCV5. Areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).</p> <p>HCV6. Areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).</p>
Indicators	The 'operational' level of a standard expressed in measurable statements which allow assessment of conformance.
Indirectly employed workers	<p>Workers indirectly employed on the farm refers in this standard to employees of services providers who carry out services directly related to the production process.</p> <p>Further definition of those 'services directly related to the production process' should be carried out by national interpretation processes.</p>

Integrated Crop Management	A system of crop production which conserves and enhances natural resources while producing a crop on an economically viable and sustainable foundation. A whole-farm, long-term strategy incorporating both new technologies and traditional knowledge and practices.
Local Communities	Groups of people and families legitimately living or working in or adjacent to the property to be certified, or between properties in case of multiple or group certification, and influenced by or influencing the activities of the property.
No-tillage	A way of growing crops from year to year without disturbing the soil through ploughing. Also known as direct drilling, zero tillage and conservation tillage.
Phytosanitary products	Agrochemicals used for controlling pests and weeds including herbicides, fungicides and pesticides
Principles	The 'intent' level of the standard, expressed in fundamental statements about a desired outcome
Sharecroppers	A type of tenant farmer who is allowed by the owner to use the land in return for a share of the crop produced on the land.
Soy Value Chain	Stakeholders in the soy value chain, including, but not limited to: input and services suppliers, producers, processors, soy users, traders, financiers, retailers and consumers
Standard	Standards are documents containing technical specifications or other precise criteria which are used as rules, or guidelines and form the requirements to be met.
Traditional land users	Communities (or individuals where population is very sparse) that have been exercising use or access rights on the property being certified for an extended period of time.  [When applying for certification the producer will identify traditional land users (Criterion 3.2). Traditional land users will provide reasonable proof that they have been exercising use or access rights on the area of the property over the 10 years prior to receipt of the land title by the producer. In the case of traditional indigenous communities, articles 14-18 of ILO convention 169 do also apply.]
Universal Declaration of Human Rights	Text adopted by the General Assembly of the United Nations on December 10, 1948, recognizing the inherent dignity and the equal and inalienable rights of all members of the human family.
Workers	Where used in this document 'workers' includes permanent, temporary and seasonal workers and sharecroppers
Zoning	The classification of allowable or preferred land use

