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ProTerra

Standard

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ProTerra Standard

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INTERNATIONAL STANDARD FOR ETHICS, SOCIAL RESPONSIBILITY AND ENVIRONMENTAL SUSTAINABILITY

Applicable to

Agricultural Production, Storage, Transport, and Agricultural Commodities Industrial Processing

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Introduction

Background

The first draft of the ProTerra Standard developed by Cert ID emerged from the Basel Criteria, a document developed through a cooperative work of the World Wildlife Fund, ProForest and COOP Switzerland to ensure purchasers that soybeans or their downstream derivatives are responsibly produced, transported, stored and processed. The ProTerra Standard enlarges that initial concept and is designed to be applicable worldwide where agricultural commodities are produced and/or processed. Therefore, application for certification is open to growers and their related organizations such as cooperatives, associations, groups or other types, transport operators, elevators, crushers and industrial processing, from any country. The requirements in this document are therefore formulated with this in mind.

Basis

The basis of any productive system should take into account, in the first instance, the human aspects, in such a way that they are allowed and assured a decent and respectful life. It means that the people must have, among other aspects, equal rights, and access to housing, food, education, health care and welfare, freedom of expression and association, and leisure.

In close relation to this, environmental and ecological sustainability are also imperative to ensure current and future generations the availability of natural resources necessary for a good quality of life.

Social degradation, disregard for ecological and environmental aspects, modern production and processing impacts, are today issues considered at Board level by leading retailers and food brands and governmental concerns. Simultaneously, there are an increasing number of consumers who take into consideration social and environmental aspects when making their purchasing decisions. To take into account these aspects means a differential in terms of access to the international market for agricultural commodities and their by-products. Such differential can only be achieved by the creation of standards of social and environmental responsibility, which can be applied, monitored and verified.

Purpose

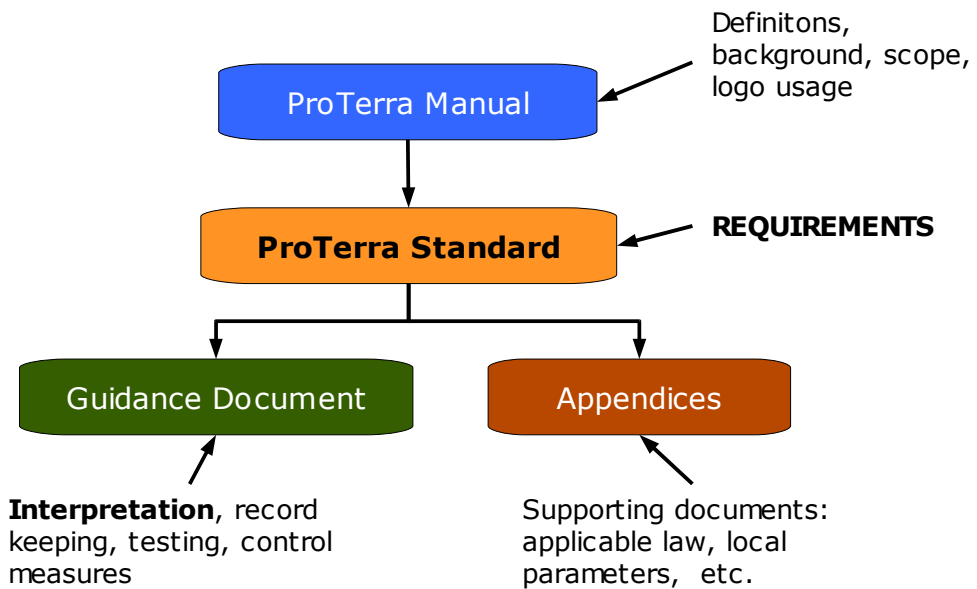
The ProTerra Standard responds to the growing demand for differentiated products capable of ensuring an ethical, social, and environmental responsibility within the production and supply chain, with an aim to establish a point of reference towards these goals. The purpose of ProTerra is to provide a set of requirements to manage the aforementioned issues with respect to agricultural commodities and their derivatives. ProTerra requires the adoption of good agricultural and manufacturing practices – and, if applicable, ecological

agriculture practices. ProTerra encourages a culture of continuous improvement for all processes and practices.

Scope

The ProTerra Standard is designed to encompass ethical, social responsibility, and environmental sustainability aspects regarding production, transport, storage, and processing of agricultural commodities and their food and feed derivatives.

Document Structure



Certification

Systematic, procedural and operational compliance with the requirements of the Standard is required to permit certification. Certification is applicable to three discrete operational stages:

- Agricultural Production
- Transport and Storage
- Industrial Processing

Cert ID shall assess and monitor the candidate facility in regard to the practical implementation of the ProTerra Standard requirements, and determine that an acceptable level of compliance has been achieved. A Cert ID ProTerra Standard Certificate, valid for one year from the date of assessment and site specific, shall be issued to the complying party.

Requirements

Some requirements, where explicitly indicated, are specific to one stage of the production chain. Other requirements are generic and are to be construed as applicable to all stages of the productive chain of agricultural commodities.

Basic Requirements (BR) - These are Basic requirements that shall be met from the beginning and maintained throughout the certification period.

Examples are:

- No forced labour
- No child labour abuse
- Areas of primary vegetation, namely rainforests, wetlands, swamps and floodplains, and areas of high preservation value shall not be converted into farming or agricultural areas.
- For agricultural crops where genetic modification is an issue, a system shall be in place to document that GM seeds have not been used.

Progressive Requirements – These are requirements that shall be met in time, according to a plan presented to ProTerra Standard when certification is sought. A report of progress shall be presented yearly to an independent auditor. Progressive Requirements are of two types:

Progressive Requirements (PR) - Require an action or program and monitoring along an extended time frame to verify implementation progress, without specific agreed upon deadlines.

Progressive Requirements Level 1 (PR1) - Require an action plan and/or schedule that sets agreed upon targets and deadlines for compliance.

1. PART I – Ethics and Social Responsibility

“All human beings are born free and equal in dignity and rights. They are endowed with reason and conscience and should act towards one another in a spirit of brotherhood.”

“Everyone has the right to life, liberty and security of person.”

Articles 1 and 3 of the Universal Declaration of Human Rights adopted and proclaimed on December 10, 1948 by the General Assembly of the United Nations.

1.1. Legislation

1.1.1. Knowledge of Pertaining Laws and Regulations

1.1.1.1.The grower, organization of growers, transporter, field elevator, or industrial processors shall be aware of and comply with all applicable national and local laws, regulations and applicable conventions, and shall have programs and procedures in place to assure compliance. All records of compliance shall be documented and retained.

1.1.1.2.Documentation of the legislative requirements shall be made available to the personnel of growers, organizations of growers, transport, warehouses and agricultural commodities industrial processing, by the owners or managers of the farms, elevators, transport and storage organizations and agricultural commodities industrial processing. Documents shall be in language and style simplified from the legal terminology to a format that aids workers to comply with or understand the regulations. Compliance tools such as record forms, simplified work instructions, and informational postings shall be provided for worker documentation use and reference. If training is required for compliance, records of dates, times, attendees, trainer, and training content shall be documented and retained.

1.1.2. Legal Compliance

Practices shall be compliant with the applicable laws and to the codes of practice.

1.1.2.1. International Treaties and Conventions

International Treaties and Conventions referring to human rights, health, labour and workers, and environment shall be respected and complied with, even if the country where certification is sought is not a signatory of such Treaties and Conventions.

1.1.2.2. National and Local Legislation

All national and local legislation of the country in which ProTerra certification is sought, regarding any aspect of the farm production, transport, storage, and agricultural commodities industrial processing shall be complied with, even if these laws exceed the requirements of the ProTerra Standard.

1.1.2.3. Employment legislation

All laws, rules, conventions and agreements of the country where ProTerra certification is sought, referring to farm workers, transport and storage workers, and agricultural commodities industrial processing workers, whether directly employed or subcontracted by the organization seeking ProTerra certification, shall be in compliance.

1.1.2.3.1. Social Security Law

All laws or regulations of the country where ProTerra certification is sought which assure or refer to social security or the welfare of farm workers, transport and storage workers, and agricultural commodities industrial processing workers, shall be in compliance.

1.1.2.4. Environmental Law

All laws or regulations of the country where ProTerra certification is sought that refer to environmental protection or to the use, or use restriction, of renewable, or non-renewable, natural resources shall be in compliance.

1.2. Social Responsibility and Development

Under the terms of the ProTerra Standard, social responsibility requires a commitment to prevent damage to the social system. Social development requires taking practical actions to promote the development of the region assets, including the human population. The local population shall benefit from regional development and shall have all rights respected.

1.2.1. General Requirements Applicable to Agricultural Production, Transport and Storage, and Agricultural Commodities Industrial Processing

1.2.1.1.(BR) – Disciplinary or control methods shall not be permitted that use corporal or mental coercion, confinement, threats of violence or other forms of corporal, sexual, psychological or verbal abuse/harassment.

1.2.1.2.(BR) - Child labour, except when permitted within national law, shall not be used in the farm, in the transport and storage, and in agricultural commodities industrial processing. In family agriculture, child labour can be allowed provided that it is not abusive and it does not interfere with the health, the education and the school attendance of the child.

1.2.1.3. All workers, either directly employed or sub-contracted, shall have equal opportunities. No discrimination shall be tolerated including:

"any distinction, exclusion or preference made on the basis of race, colour, sex, religion, political opinion, national extraction or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation, ... Any distinction, exclusion or preference in respect of a particular job based on the inherent requirements thereof shall not be deemed to be discrimination."

(Ref: ILO Convention 111, Articles 1 and 2)

1.2.1.4. An effective system shall be implemented to investigate all complaints and reports, including anonymous, regarding actual or alleged violation of the requirements. This system shall apply at the worksites or communities linked to the farms, transport and storage facilities, and agricultural commodities industrial processing.

1.2.1.5. All employed or sub-contracted workers shall have the necessary qualifications, experience, legal requirements, and adequate training to carry out their duties.

1.2.1.6. The grower or organization of growers, transporters, elevators and agricultural commodities industrial processors shall have an equitable relationship with local companies, contributing to and interacting with the local economy in a documented manner.

1.2.1.7. The grower, organization of growers, transporters, country elevator, and agricultural commodities industrial processors shall demonstrate support for local ecological and environmental protection projects, through participation with local authorities, non-governmental organizations, or community trade associations. They shall also support programs improving the living conditions of the workers such as improvements to housing, water supplies, roads, reforestation, sewage treatment, collection and recycling of residues, and other items affecting the quality of life. They shall be participants and/or organizers of social projects in their local communities.

1.2.2. Relationship with Workers in Farm Production, Transport and Storage, and Agricultural Commodities Industrial Processing

1.2.2.1. Welfare

1.2.2.1.1.All workers, directly employed or sub-contracted, shall have a formal employment contract signed by the employer and employee or the employees labour representatives, or a signed work agreement between the employer and the sub-contractor.

1.2.2.1.2.All workers, employed or sub-contracted, shall be covered by an adequate, implemented and monitored health and safety policy compliant with legal requirements.

1.2.2.1.3.Reasonable maternity leave, health treatment absence time, and extra work hour rules shall be established in locations where no specific legislation covering these topics exists.

1.2.2.1.4.Differences in work conditions between permanent workers and temporary or seasonal workers shall be progressively reduced.

1.2.2.1.5.Workplace, machinery and equipment needed to perform the work shall be safe and shall not present risks or hazards to health. All legal safety requirements shall be in compliance. Cert ID under the ProTerra Standard shall seek independent expert assessment regarding these aspects if necessary.

1.2.3. Social Security of Workers in Farm Production, Transport and Storage and Agricultural Commodities Industrial Processing

1.2.3.1.In regions where no legislation grants workers and their family's social security benefits, a social security plan shall be established for the workers.

1.2.4. Freedom and Organization

1.2.4.1.The right of association and of negotiation by workers shall be acknowledged in written form and made readily available to inform workers of the right.

1.2.4.2. There shall be no discrimination between unrepresented workers or members of a Labour or Trade Union.

1.2.5. Payments

1.2.5.1. All workers, regardless of age or gender, shall be paid a fair, locally representative wage or salary and enjoy appropriate, legally compliant working conditions.

1.2.5.2. The employer shall specify the salaries for each function or job. Wages or salaries shall meet or exceed the Minimum or Basic Salary or Wage legally established for the region, if one exists, and shall meet or exceed the average salaries usually paid in that region for the equivalent function or job. Wages or salaries must enable an adequate standard of living.

1.2.5.3. Wages or salaries shall be regularly and legally paid, documented and recorded.

1.2.6. Responsible Agricultural Production

1.2.6.1. An assessment of social impacts shall be conducted with regard to the local population and, if present, indigenous peoples. The results and/or consequences shall be taken into consideration in planning farm activities and operational procedures. Small scale farms or growers shall be defined in terms of the local regional context in the proper Appendix section to this Standard. This requirement does not apply to small scale individual growers or family agriculture, but does apply to their organizations.

1.2.6.2. An effective system of communication and consultation between the growers and the local communities and other concerned or affected parties shall be in place and active. This requirement does not apply to small scale individual growers or family agriculture.

1.2.6.3. Evidence shall be provided that rights to land use are without impairment to the legal or customary rights of other users such as indigenous communities.

1.2.6.4. Health precautions regarding agrottoxics application

1.2.6.4.1.(BR) - The application or handling of pesticides, fungicides and herbicides shall not be permitted by persons under the age of 18, pregnant or nursing women, persons

with mental illness, or persons with chronic, hepatic, renal, or respiratory diseases.

1.2.6.4.2.The grower, or organization of growers, shall employ personnel with the technical knowledge, legal qualifications, and the ability to teach and instruct others in the safety, health aspects, and security for the handling, storage, and proper application of pesticides, fungicides and herbicides.

1.2.6.4.3.Workers handling pesticides, fungicides and herbicides shall be trained to store, apply, and dispose of pesticides, fungicides, and herbicides in accordance with the manufacturers' instructions and in a manner that protects the worker and others in the vicinity and protects the environment from the effects of the agrottoxics. All relevant information regarding the products they are handling shall be available to the applicator and exposed workers, in their local language, including information regarding exposure, emergency first aids, adverse symptoms, and health care.

1.2.6.5.(BR) All required personal protection equipment and clothing to safely handle pesticides, fungicides and herbicides shall be available. Wearing safety clothing and use of other personal protection devices is mandatory during handling and application. Pesticide, fungicide and herbicide manufacturer's instructions for applicator protection, and safety instructions regarding personal protection equipment, clothing and devices, shall be available and followed in practice.

1.2.7. Industrial Processing

Certified companies or organizations under this Standard, such as crushers, processors and factories for production of ingredients for feed and food derived from agricultural commodities must establish a declared policy to incentive or compel their suppliers of raw materials to comply with the ProTerra Standard as a way to encourage social and environmental responsibility by all participants in the chain.

1.2.7.1.Companies or organizations seeking ProTerra certification shall continuously monitor compliance with the ProTerra Standard Requirements by their suppliers of raw materials and specialist sub-contractors at their business locations.

2. PART II – Environmental Sustainability

Under the terms of the ProTerra Standard, Environmental Sustainability requires a commitment to prevent damage to the Environment and to take positive action to promote and respect environmental development. Growers, organizations of growers, country elevators, transporters, and agricultural commodities industrial processing shall adopt best practices for agricultural production, transportation, storage and manufacturing.

2.1.Agricultural Production

2.1.1. Agricultural Practices

2.1.1.1.The grower or organization of growers shall adopt high standards for commodity handling practices and, where possible, employ organic agriculture practices. They shall also implement continuous improvement steps designed to maximize energy efficiency and minimize energy use, especially from non-renewable sources.

2.1.1.2.There shall be a plan that outlines the current and future use of the farm.

2.1.2. Conservation and Environmental Handling

The grower or organization of growers shall incorporate environment protection measures as a part of the farms's procedures.

2.1.2.1.Assessment of Environmental Aspects

A study of environmental impacts shall be performed on the farm to assure that the unit is in compliance with the requirements specified in this Standard and all legal requirements are in compliance.

2.1.2.2.Management of Environmental Aspects

The results of the environmental impacts study shall be integrated with the operational procedures through a plan that defines actions to reduce environmental impacts regarding sustainability of the environment, wildlife and endangered species, local population and indigenous peoples.

2.1.2.2.1.The implementation of the environmental impact reduction plan shall be monitored annually, by means of an independent expert assessment or audit.

2.1.2.3.Vegetation

2.1.2.3.1.(BR) – Areas of primary vegetation, namely rainforests, wetlands, swamps and floodplains, and areas of high preservation value shall not be converted into farming or agricultural areas.

2.1.2.3.1.1. (PR1) – Agriculture and/or farming activities shall not be established in areas cleared of native vegetation, including rainforests, after 1994.

2.1.2.3.2. Growers shall be knowledgeable regarding the species of flora and fauna, and the habitats existing within and surrounding the farm.

2.1.2.3.3. A plan shall be developed and implemented to maintain and maximize biodiversity existing within and surrounding the farm.

2.1.2.3.4. Protected fauna or plant species shall not be gathered or illegally disseminated as specified in national and international regulations.

2.1.2.3.5. When permitted by law, the gathering of wild species, or products from wild areas, shall be performed in a manner to assure sustainability and survival of those species in their natural habitat.

2.1.2.3.6. Areas of wild vegetation shall be maintained around forests or preserved ecosystems, and/or other protected areas.

2.1.2.3.7. Crop growing areas shall be protected, through or by the use of a maintained native or adequate planted vegetation barrier or buffer zone to separate them from potential polluting sources, such as roads.

2.1.2.4. Water

2.1.2.4.1. Water, soil, and irrigation management shall not cause contamination of ground water and other water supplies, salinization, or desertification of the soil.

2.1.2.4.2. Quality and quantity of natural water resources shall be preserved. Actions shall be taken to maintain native, or in the lack of, adequate vegetation in the surroundings in or along the borders of lakes, rivers, artificial lakes, and dams. These areas shall not be used for agriculture nor treated with pesticides, fungicides or herbicides.

2.1.2.4.3.When water is used for irrigation, it shall be done efficiently and sustainably to minimize and conserve water consumption to a minimum reasonably effective amount.

2.1.2.4.4.Handling and usage of water shall neither lower the level of the underground water table nor reduce availability and quantity of drinkable water or irrigation water required by neighboring local communities or farms.

2.1.2.5.Fire

2.1.2.5.1.Clearing areas by burning vegetation is not permitted, except when expert opinion prescribes this type of handling as the most adequate ecological option. Progressive management requires developing alternative methods to reduce the need for burning.

2.1.2.5.2. If fire is the expert prescribed ecological option for clearing an area, trained, legally qualified, people shall apply the technical procedure, employing all required safety and environmental measures.

2.1.2.6.Soil

2.1.2.6.1.The aptitude of the soil for the production of the intended crops shall be determined to guarantee the soil suitability for long term use. Expert opinion shall be sought when marginal suitability conditions exist. Results determined shall be used to plan the future crop production operations.

2.1.2.6.2.Soil Fertility shall be preserved and improved, by the adoption of effective agricultural practices, which include soil covering, and vegetation and crop succession an rotation. For perennial systems, effective handling of soil cover plants is sufficient.

2.1.2.6.3.Soil erosion caused by wind, water, human activity and/or presence of farm animals, and damage to soil structure, shall be minimized.

2.1.2.6.4.Succession and rotation of species cultivated on a same field shall be registered.

2.1.2.7.Handling of Aspects of Agricultural Production

2.1.2.7.1. Seeds

2.1.2.7.1.1. Seeds, seedlings, and propagation material shall be of high quality and documented known origin.

2.1.2.7.1.2. (BR) Genetically Modified Organisms (GMOs) For agricultural crops where genetic modification is an issue, a system shall be in place to document that GM seeds have not been used, as well as legal compliance with traceability and labelling laws of the country of origin and destination for the agricultural commodities and their derivative products.

2.1.2.7.2. Harvesting of Crops

2.1.2.7.2.1. Production shall be maximized through effective management to avoid crop waste by following good agricultural practices in harvesting the product, loading vehicles, shipment practices, and vehicle unloading. A program of continuous improvement shall be established to minimize harvest losses, maintain high quality of the product and increase profitability.

2.1.2.7.2.2. Post-harvest handling of soil shall be by means of a method, determined by the type of soil and environmental factors that will serve to maintain/increase soil fertility, to reduce the potential for future crop pests and diseases, and to avoid wind and water erosion.

2.1.2.7.3. Toxic or Polluting Materials

2.1.2.7.3.1. Agrochemicals and Other Inputs

Growers and organizations of growers shall have procedures for controlling and using the minimal amount of inputs for the desired effect. Inputs shall be selected to have the least environmental and ecological impact possible for the required application.

2.1.2.7.3.2. Pesticides, fungicides and herbicides

2.1.2.7.3.2.1.(PR1) – The use of pesticides, fungicides and herbicides for pests, diseases and non-crop plants shall be minimized through integrated pest management (IMP), the choice of more resistant Non-GM crop plant varieties and the handling of soil and plants.

2.1.2.7.3.2.2.All pesticides, fungicides and herbicides shall be handled, stored, and used according to the manufacturers' instructions. The pesticides, fungicides or herbicides shall be stored in the original containers or in application use containers which shall be clearly labeled with contents identified.

2.1.2.7.3.2.3.Use of pesticides, fungicides or herbicides shall be on crops and for target species for which such pesticides, fungicides or herbicides are legally registered in the farm's country. Pesticides, fungicides and herbicides shall be used at the prescribed dosage, during the required timeframe and/or crop conditions, and other factors as determined by the manufacturer's recommendations and legal restrictions. Quarantine periods shall be respected.

2.1.2.7.3.2.4.Aerial pesticide, fungicide or herbicide spraying shall not be carried out over water bodies, preserved, protected or residential areas.

2.1.2.7.3.2.5.The application of pesticides and fungicides shall be made only when based on a written technical prescription by a legally qualified expert declaring its need. Pesticide and fungicide selected to be used shall be the least toxic active ingredient that will effectively treat the problem. Preference shall be given to ecologically sound biological controls that reduce or eliminate the target pest and diseases.

2.1.2.7.3.2.6.The use of herbicides shall be made only based on a written technical prescription by a legally qualified expert declaring that there is no other viable alternative. Herbicide selected to be used shall be the least toxic active ingredient that will effectively treat the problem. Preference shall be given to the succession, rotation or association of plants and/or mechanical methods to control the presence of undesired weeds.

2.1.2.7.3.2.7.(PR1) – Monitoring of health and environmental risks shall be regularly conducted and documented.

2.1.2.7.3.3. Residues

2.1.2.7.3.3.1.Residues and pollutants shall be minimized, handled and disposed of properly. This shall include pesticides, fungicides and herbicides, fertilizers, processing aids, cleansing products, detergents, and oil derivatives.

2.1.2.7.3.3.2.Growers, other than individual smallholders, and/or suppliers shall carry out testing for chemical residues on the crops and shall be able to provide evidence of residue testing.

2.1.2.7.3.3.3.Growers or organizations of growers shall handle all agrochemical residues and their respective empty containers with proper precaution following manufacturer's recommendations, and clean all application equipment after usage.

2.1.2.7.3.3.4.Empty pesticide, fungicide and herbicide containers shall be washed three times with water then cleaned according to manufacturers instructions. Containers shall be perforated to prevent reuse and when possible shall be returned to the supplier, or disposed of into environmentally safe places designated and specifically prepared to receive such containers.

2.1.2.7.3.3.5.Mandatory documented training shall be provided to teach procedures required to safely manage accidents, leaks, or spills of potentially toxic products to avoid contamination of soil and water courses, and risks to public health.

2.1.2.7.3.3.6.Organic residues, such as sewage, excrements, straw, harvest plant residues, and others shall be appropriately managed to avoid pollution and/or to prevent becoming a source of pathogenic contamination or pest harbourage. These residues shall not to be incinerated.

2.1.2.7.3.3.7.Non-organic residues shall be segregated and where appropriate, recycled. If recycling is not possible alternate use or a legal means of disposal shall be employed.

2.1.2.7.3.3.8. There shall be no discharge of sewage water that could cause pollution to water supplies for human beings or animals or that could contaminate the soil or crops with chemicals or their by-products, or with excess of nutrients or pathogens. Sewage shall not be used to irrigate crops.

2.2. Transport and Storage

- 2.2.1.** Transporters and country elevators shall have practices and procedures that guarantee that protection of the natural environment has been considered within all stages of transport and storage.
- 2.2.2.** Quality and quantity of existing natural water resources around storage facilities shall be conserved, assuring the continuing existence of native vegetation in or along the borders of lakes, rivers, artificial lakes, and dams when present.
- 2.2.3.** In storage facilities processing agricultural commodities by means such as cleaning and drying, operational practices shall be adopted that minimize the use of energy, especially energy from non-renewable sources. Energy sources should preferably be derived from recycled materials that are available locally. Example fuels could be reforestation wood, bio-fuels, wood chips, and crushed sugarcane fiber. Green house gas emission restrictions and limits shall also be observed regardless of energy source.
- 2.2.4.** The use of water in the storage localities shall be in an efficient and sustainable way, minimizing consumption and recycling water whenever possible.
- 2.2.5.** Handling and usage of water in the storage facilities shall neither lower the level of the underground water table nor reduce availability and quantity of drinkable water or irrigation water required by neighbouring local communities or farms.
- 2.2.6.** In storage facilities, there shall be no discharge of sewage water that could cause pollution to water supplies for human beings or animals or that could contaminate the soil or crops with chemicals or their by-products, or with excess of nutrients or pathogens.
- 2.2.7.** Sewage waters shall be treated and filtered to assure that when released back into the environment they present good quality water meeting applicable legal standards.
- 2.2.8.** The use of pollutants such as printing ink and discarded containers in storage facilities shall be minimized. Containers shall be

manufactured from the least possible amount of environmentally friendly materials yet shall effectively protect their content to avoid losses, make handling easy during storage and transport, and allow for easy recycling at the end of their life, if possible.

2.2.9. (PR1) In the storage facilities, the non-organic residues shall be segregated and directed to be recycled. If recycling is not possible a legal means of disposal or alternate use shall be employed.

2.3. Industrial Processing

2.3.1. Industrial processors shall guarantee that natural environment protection has been considered within all stages of agricultural commodities industrial processing. Programs and procedures shall be in place to effectively assure that adequate treatment of all inputs, products, industrial effluents and emissions, meet the appropriate stated legal requirements and limits.

2.3.1.1. Industrial processors shall carry out testing for chemical residues on the crops and shall be able to provide evidence of residue testing.

2.3.2. The industrial processor shall possess documentation from its suppliers stating that they are in compliance with the Basic Requirements (**BR**) and incentive compliance with the Progressive Requirements (**PR** and **PR1**) of the ProTerra Standard. The processor shall monitor suppliers to verify compliance with the present requirements by periodic second or third party audit or other agreed upon effective method.

2.3.3. Quantity and quality of existing natural water resources around processing facility locations shall be conserved, assuring the continuing existence of native vegetation in and along the borders of lakes, rivers, artificial lakes, and dams when present.

2.3.4. The use of water in agricultural commodities industrial processing locations shall be in an efficient and sustainable way, minimizing consumption and recycling water whenever possible.

2.3.5. Handling and usage of water in industrial processing facilities shall neither lower the level of the underground water table nor reduce availability and quantity of drinkable water or irrigation water required by neighbouring local communities or farms.

2.3.6. Where agricultural commodities are industrially processed there shall be no discharge of sewage water that could cause pollution to water supplies for human beings or animals or that could contaminate

the soil or crops with chemicals or their by-products, or with excess of nutrients or pathogens.

- 2.3.7.** Sewage waters shall be treated and filtered to assure that when released back into the environment they present good quality water meeting applicable legal standards.
- 2.3.8.** Drinking and residual water shall be monitoring for physical, chemical and biological characteristics to assure its good quality and legal compliance.
- 2.3.9.** The use of pollutants such as printing ink and discarded containers shall be minimized. Containers shall be manufactured from the least amount of environmentally friendly possible materials yet shall effectively protect their content to avoid losses, make handling easy during storage and transport, and allow for easy recycling at the end of their life, preferably through recycling.
- 2.3.10.(PR1)** – In agricultural commodities industrial processing facilities the non-organic residues shall be segregated and directed to be recycled. If recycling is not possible a legal means of disposal or alternate use shall be employed.
- 2.3.11.**In agricultural commodities industrial processing facilities operational practices shall be adopted that minimize the use of energy, especially energy from non-renewable sources. Energy sources should preferably be derived from recycled materials that are available locally. Example fuels could be reforestation wood, bio-fuels, wood chips, and crushed sugarcane fibre. Green house gas emission restrictions and limits shall also be observed regardless of energy.
- 2.3.12.(PR1)** – Green house gas emissions such as carbon dioxide, methane, nitrogen and sulphur oxides, etc., shall be monitored and reduced.
- 2.3.13.(PR1)** – If products are used which are classified as ozone layer destroyers, a schedule for their elimination as described by the Montreal Protocol shall be followed to eliminate or replace them. Among such products are Chlorofluorocarbons (CFCs), halons, Hydrochlorofluorocarbons (HCFCs) and HBFCs.
- 2.3.14.**Systems and procedures shall be in place required to comply with specific pollution control emission limits. These systems shall be maintained, operated adequately, and performance documented. The control systems shall not be reduced in effectiveness for greater flow or deviations, unless necessary under emergency conditions. At the



end of emergency conditions, the systems shall be restored to optimal performance for compliance.

2.3.15. Concentrations of contaminants emitted through smoke pipes, chimneys, boilers, ovens, incinerators, and electricity generators shall not exceed specific established limits.

3. PART III – Product Traceability

All products certified to comply with the ProTerra requirements shall be traceable back to the farm. Information from all production stages shall be recorded and shall link to production periods and lots, including but not limited to the following aspects. All records shall be kept for a minimum period of two years and longer if required by local legislation.

3.1. Agricultural Production

3.1.1. Seeds

Certificates of the basic, certified or inspected seeds, or of seed origin and variety, shall be kept for a minimum period of two years and longer if required by local legislation. Records of seeds produced within the farm for use within the farm in planting a subsequent crop shall also be maintained. Every season records shall be kept identifying the seeds used for planting crops and their source. Records shall be retained for a minimum of two years or longer if specified by local regulations. Archive samples from seed lots shall be retained for a minimum of one year or longer if specified by local regulations.

3.1.2. Pesticides, Fungicides, Herbicides and Other Agrochemicals and Inputs

Farms shall maintain records of all pesticides, fungicides, herbicides, other agrochemicals and other inputs purchased, used, and disposed of. A list of all pesticides, fungicides, herbicides, other agrochemicals, and other inputs legal for use on the grown crops shall be maintained. If contractors are used for agrochemical or pesticide, fungicide, herbicide application, copies of their credentials and licenses to conduct business and application records copies shall be provided to the farm.

3.1.2.1. Documentation must be maintained, demonstrating that specific pesticides, fungicides and herbicides have been applied only to those specific crops for which they are legally permitted and registered in the country where the farm is located, with information on the specific recommendations followed regarding application dilution dosages, amounts and quarantine times.

3.1.3. Visits, Analyses, Studies and Assessments

Records shall be kept of visits, regulatory and other inspections, and studies carried out on farm and in the region. Records of appraisals, assessments, action plans, and any analyses carried out on soil, water, seeds and crops, shall also be maintained. Records shall be retained two years or longer if specified by local regulations. Archive

samples from seed and crops shall be retained one year or longer if specified by local regulations.

3.1.4. Training

Records shall be kept of all training conducted. An example would be operations training regarding correct technical application of pesticides, fungicides and herbicides. Records shall be complete and document the date, time, attendees, trainer, and content material used during training. This item applies to growers or organizations who shall keep and maintain training records.

3.1.5. Succession and rotation of the crops

Records shall be kept of the succession and rotation of the crops grown on the same land.

3.1.6. Agricultural Production Records

Records shall be maintained of production and yields of the farm, with identification of production lots, seed variety, periods, and delivery destinations for delivery for the production lots. Records shall be retained two years or longer if specified by local regulations. Archive samples from product lots shall be retained one year or longer if specified by local regulations.

3.2. Transport and Storage

3.2.1. Audits, Procedures and Analyses, Anomalies and Corrective Actions

Records shall be kept and maintained of all audits, internal and external, conducted on the facilities, equipment, vehicles, and documents such as quality manuals, written procedures, occurrences of anomalies, accidents, complaints, corrective actions (CAR) and results of analyses of received, stored, or shipped agricultural commodities. Records shall be retained two years or longer if specified by local regulations. Archive samples from product lots shall be retained one year or longer if specified by local regulations.

3.2.2. Training

Records shall be kept of all training given to employees, specially regarding health and safety, sample collection, classification, analysis, identification and segregation of crops, and cleaning and segregation procedures. Records shall be complete and document the date, time, attendees, trainer, and content material used during training. Records shall be retained two years or longer if specified by local regulations.

3.2.3. Cleaning

Records shall be maintained regarding all inspection and cleaning of vehicles, equipment and facilities. These records shall include the date, the inspector's name, and the identification of the vehicle, equipment and facility – silo, pit, warehouse, country elevator, and the locality of the same. Records shall be retained two years or longer if specified by local regulations.

3.2.4. Agricultural Commodity Movement

Records shall be kept connecting the supplier with the buyer receiving a shipment in order to assure traceability of the final product. Trucks that unload agricultural commodities at an elevator or warehouse shall be weighed and control documents will record weight, number, date, driver name, numbers of vehicle license plates, farm name and plot if possible, number of silo or warehouse and locality, analysis regarding quality and identity of crop, when this is the case. A lot number should be assigned to each shipment linked to the identification information listed above. Records shall be retained two years or longer if specified by local regulations. Archive samples from product lots shall be retained one year or longer if specified by local regulations.

3.3. Industrial Processing

3.3.1. Audits, procedures, analyses, non-conformances and corrective actions

Records shall be kept and maintained of all audits, internal and external, conducted on the facilities, equipment, vehicles, and documents such as quality manuals, written procedures, occurrences of anomalies, accidents, complaints, corrective actions (CAR) and results of analyses done on received, stored, shipped or industrially processed agricultural commodities, and shipped resulting products. Records shall be retained two years or longer if specified by local regulations. Archive samples from product lots shall be retained one year or longer if specified by local regulations.

3.3.2. Training

Records shall be kept of all training given to employees, especially regarding health and safety, sample collection, classification, analysis, identification and segregation of crops, and cleaning and segregation procedures, handling of information and procedures relating to traceability and certification under the present requirements. Records shall be complete and document the date, time, attendees, trainer, and content material used during training. Records shall be retained two years or longer if specified by local regulations.

3.3.3. Cleaning

Records shall be maintained regarding all inspection and cleaning of vehicles, equipment and facilities. These records shall include the date, the inspector's name and the identification of the vehicle, equipment and facility – receiving pit, warehouse, industrial processing facility, and the locality of the same. Records shall be retained two years or longer if specified by local regulations.

3.3.3.1. Records shall maintained including all cleanings, the date of production, the production line or facilities, product lot numbers, volume and identification of raw material, ingredient and input suppliers, volume of product made, lot number, and locality where product was produced. Records shall be retained two years or longer if specified by local regulations.

3.3.3.2. Records shall be maintained for all purge procedures conducted during the production changes from one product to another. A required purge example is the change from GMO production to Non-GMO production, in industrial processing units that are not dedicated to one type of product only. Records shall be retained two years or longer if specified by local regulations.

3.3.4. Traceability of Product Lots

Records shall be kept of written procedures and documentation used to identify production lots required to assure product traceability. Records shall be retained two years or longer if specified by local regulations. Archive samples from product lots shall be retained two years or longer if specified by local regulations.

4. PART IV – Continuous Improvement to Reach Full Compliance with the ProTerra Standard Requirements

Continuous improvement requires a commitment to constantly incrementally improve the quality and reliability of the raw materials, processes, products, and procedures. Several mechanisms may be used to drive this ongoing process of improvement. Mechanisms include certification programmes, first, second and third party audits, proper addressing of complaints and suggestions review from clients and employee reports on internal production system non-conformances. These mechanisms and procedures are all part of an information feedback system that provides information for continuous improvement of the quality system with a goal of reaching full conformity with the ProTerra Standard requirements.

- 4.1.** There shall be a written management commitment to reach, within a predetermined time frame, full conformity with the ProTerra Standard requirements, by the growers, or organization of growers, transporters and elevators, and agricultural commodities industrial processors who are initially not in total compliance.
- 4.2.** An action plan to achieve total compliance within the timeframe previously agreed in the signed written commitment shall be designed and implemented. The action plan shall be monitored during implementation to insure compliance to the timeline.
- 4.3.** Growers or organizations of growers, transporters and elevators, and agricultural commodities industrial processors shall determine and prioritize primary causes of all complaints and non-conformances capable of impairing their capacity under the present Requirements. Appropriate corrective actions shall be determined to be taken in a defined timeframe.
- 4.4.** Follow up verification shall be conducted, through internal audits, dialogue with the interested parties, training, and continuing education to assure that the corrective actions are effective and capable of preventing future complaints and anomalies.
- 4.5.** In the action plan, continuous improvement shall be verified by scheduled or unscheduled independent third party audits. Auditors shall visit places of interest, verify records and interview workers and relevant parties as a means sampling compliance to requirements.
- 4.6.** The results of such audits shall be used to guide the development of improvement plans and corrective actions.

Definition of Terms

Agrochemical –All inputs used directly or indirectly in agricultural production, and for the maintenance of equipment and storage.

Included:

- Detergents
- Control agents including
 - Fungicides
 - Herbicides
 - Pesticides
- Fertilizers
- Mineral oil based products
- Processing aids such as cleansing agents

Basic Requirement (BR) – This requirement is essential and shall be met by applicants to be granted the ProTerra Standard certification. The Basic requirement shall be complied with from the beginning and maintained throughout the entire certification period.

Grower – A person or organization which develops activities required for the cultivation of crop plants and/or management of animals.

Organization of growers – A cooperative, association, group or other types of organization collectively seeking a common objective through combined effort.

Progressive Requirement (PR) – Requirement that requires an agreed action plan or program and monitoring along an extended time frame to verify implementation progress without specific agreed upon deadlines. The implementation plan shall be submitted to ProTerra Standard when certification is sought and a progress report shall be presented annually to an independent auditor.

Progressive Requirement Level 1 (PR1) – A requirement that requires an action plan and/or schedule or timeframe that sets agreed upon goals and deadlines for its progressive implementation and compliance. The implementation plan shall be submitted to the ProTerra Standard when certification is sought and a progress report shall be presented annually to an independent auditor

Shall – A mandatory requirement that must be performed.

List of Supporting Documents:

- A. Quality Manual - ProTerra Standard background, definitions, scope, assessment and certification procedures, documents and tools, use of ProTerra Standard logo.
- B. Guide for Interpretation of ProTerra Standard.
- C. Appendices to the ProTerra Standard – commodity and country or region specific:
 - I. Specific Module for the specific agricultural commodity and its by-products and region of certification.
 - II. Legislation - An updated collection of applicable laws, international, national, and local regarding labour, agriculture, pesticides and environment applicable to the specific agricultural commodity and region of certification.
 - III. Local Applicable Definitions – Updated definitions applicable locally regarding for example family agriculture and small scale farm.
 - IV. Chemicals - An updated list of pesticides forbidden in the European Union and other destinations countries as applicable, the producing country, and by the World Health Organization.
 - V. Geographical definition for specific biomes or ecosystems such as rain forests for the region of certification – example attached.



Document Revision History			
Title	Date	Pages	Type of Document
Cert ID ProTerra Standard Version 1.0	April 17, 2006	1-28	Normative document and code of practice for certification of responsible production of food and feed in agriculture, transport, storage and industrial processing - Initial release for public. NON-CONTROLLED COPY.
Revision No.	Revision Date	Pages	Modification Information