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NOTE: Although this Module may be translated into various languages for the convenience of users, the English version remains the definitive reference document in the event of any dispute.

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SECTION 1: INTRODUCTION

1.1 Scope

Certification against this Module is available to any trader or processor of agricultural or natural products (whether they are intended for food, feed or technical uses) who complies with this standard and any applicable Product Schedule (that accompanies this standard).

This standard is based on the following general principles:

- Agricultural and natural products come from producers / facilities where there is no irreparable damage caused to internationally significant or legally protected natural environments, as a consequence of product supply activities.
- *Good agricultural practices are implemented to minimise the environmental impact of producing Agricultural and natural products*
- Socially responsible employment practices ensure workers are afforded basic rights *in a safe and fair working environment.*
- *Awareness and full compliance with all relevant and applicable regulations and legislation at each stage of the supply chain.*

Goods produced from agricultural and natural products certified as compliant with this scheme may be described as 'Responsibly *Sourced*'. To achieve certification to this scheme, participants must provide evidence that they have taken all reasonable steps to avoid products that are not responsibly sourced entering their supply chain at any point.

Robust traceability and control at all stages of the supply chain will be essential in achieving certification to this Module. To achieve certification against this Module, assessments will include checks of all levels of the supply chain necessary to verify the effectiveness of a participant's controls and this will include visits to the regions from which any agricultural or natural products are being sourced.

FEFAC SOY SOURCING GUIDELINES

This module also incorporates the requirements of the FEFAC Soy Sourcing Guidelines. These guidelines are structured around five principles:

- *Legal Compliance*
- *Responsible Working Conditions*
- *Environmental Responsibility*
- *Good Agricultural Practices*
- *Respect for legal use of land/land rights*

For each of these principles there are a number of criteria and several indicators per criteria which have been designated as either 'Critical' or 'Desirable'

To achieve certification under this FEMAS module, where the scope includes soy products, it will be necessary for the participant to meet the requirements of all the critical indicators and at least five of the desired indicators. The module identifies the various indicators and their level of criticality.

*To aid users of this module, FEFAC Criteria are identified as either **FEFAC Criterion X: ESSENTIAL** or **FEFAC Criterion Y: DESIRED**.*

1.2 Implementation of This Module

This document is a module of FEMAS and intended to be read in conjunction with the FEMAS International Core Standard and, *if relevant, any specific country/product schedules* – together these documents define the requirements that must be adopted by a participant to achieve certification.

In some cases, a participant may already have certification to a standard that is designed to deliver the same outcome as the FEMAS International Core Standard (i.e. feed or food safety) or another accredited programme that addresses the critical issues relating to their industry sector. If this is the case, the participant does not need to adopt the FEMAS International Core Standard but will need to demonstrate that all of the requirements in this document have been fully implemented within their existing management system and that the goals of this Module are being effectively achieved.

This document is designed only for use as a supplement to an existing Product Quality standard. It does not presume to duplicate existing Product Quality standards but to supplement them in areas that are critical to 'Responsible Sourcing'. For this reason, this document simply expresses the additional requirements that the participant will need to address for Responsible *Sourcing* rather than detailing all of the systems and controls necessary for the effective implementation of this Module. Certification against this FEMAS Module is therefore only available to participants that can demonstrate they are also working to an acceptable Product Quality Standard – further information is given in section 1.4 below.

Note: Confirmation of the suitability of associated standards must be sought from FEMAS at the time of application for certification.

1.3 The Principles of FEMAS Responsible Sourcing

This Module has been developed to provide assurance to purchasers that the products they buy are from a supply chain that ensures they have been responsibly *sourced*.

This Module is based on the principles of risk assessment and Good Operating Practice (*Agricultural and Manufacturing*). Participants certificated to this Module will have demonstrated that they have rigorous controls at each stage of the supply chain that meet standards currently recognised as international "good practice" and which maintain the specification of the products supplied.

Where a participant owns or operates multiple sites, each site must be assessed for compliance against this Module in its own right.

FEMAS is a product certification programme, consequently each product supplied by a participant will be assessed on its own merits and any certificates of compliance issued will specify the products for which compliance is being certificated.

This FEMAS Module encompasses all the operations and activities of a participant that may have a bearing on the responsible sourcing of products supplied, from raw material selection and supplier approval, through to the point at which any products supplied are transferred to a third party.

Where activities or functions relevant to the requirements of this module are out-sourced to a third party, the participant is responsible for ensuring that these are carried out in a manner which meets the requirements.

Assessments will therefore include:

- The original selection and sourcing of raw materials by participants, with specific reference to sustainability, *the implementation of Good Agricultural Practice* and the welfare of workers;
- All transport to and from the participants premises or designated store;
- The processing of any products;
- The storage of raw materials, intermediate and finished products.

Although FEMAS represents ‘good practice’, compliance with this Module does not in itself absolve or diminish obligations that may be incumbent upon a participant as a result of any client, statutory or regulatory requirements. In addition to the requirements of this Module, participants must ensure that all products they supply meet the current legislative requirements of both the country in which they are produced and the countries to which the participant supplies them.

1.4 How to Use This Module

The requirements in this Module specify which aspects of the participants Product Quality management system need to have specific “Responsible *Sourcing*” controls in place.

This Module supplements the existing systems and controls with requirements needed to assure responsible *sourcing*. Participants must contact FEMAS to confirm that any Product Quality Standard that they are considering using to partner this Module is an acceptable standard. In general terms acceptable schemes will:

- Assure food / feed safety (or product quality if non-food / feed)
- Be based on Risk Assessment Principles
- Contain full quality management system requirements for the elements contained in this module
- Be certified by a Certification Body accredited to ISO *17065* for the scheme concerned

This Module must be read in conjunction with the relevant Product Schedule (see 1.5 below) that defines the specific controls that must be applied for certification in different sectors and geographical regions.

This Module is laid out in the same format as the **FEMAS International Core Standard**. For each clause the corresponding clause of the **FEMAS International Core Standard** is shown in brackets to facilitate cross-referencing. Certification against this Module is also possible for participants certified against the **FEMAS Standard for Intermediate Suppliers** but FEMAS references may not align in all cases between this document and the **FEMAS Standard for Intermediate Suppliers**.

NOTE: *In addition to the above, certification against the **FEMAS Non-GM Module** will additionally be required where:*

- *Participants seeking FEMAS certification are marketing feed ingredients on the basis that they do not contain Genetically Modified Organisms (GMOs) or are not derived from GMOs.*

or

- *Participants are marketing feed ingredients derived from organisms for which there is a commercially available GM alternative, but will not label these feed ingredients as containing GM.*

1.5 Product Schedules

This Module is written in a generic style that allows it to be applied to any product from any country or area. In order to facilitate its implementation with specific products, Product and/or Country Schedules will be produced, if necessary, to include additional criteria that must be met for that particular product. An example of such a Schedule would be for **Brazilian Soya Products**.

Where a Product and/or Country Schedule exists for a product, the requirements it includes must also be met for participants to achieve certification against this Module.

1.6 Statements Regarding FEMAS and Responsible Sourcing

The term 'FEMAS Responsibly *Sourced*' may be used as a brief description in relation to products certified against this Module. Any reference to 'FEMAS' certified products, without reference to this full term, shall be deemed **NOT** to include any assurance with regard to the specific criteria in this Module.

To avoid any chance of misleading customers, participants may not abbreviate any claim that products certified against this Module are 'FEMAS' certified unless they have also achieved full certification against the **FEMAS International Core Standard** or **FEMAS Standard for Intermediate Suppliers**. Where a standard other than the **FEMAS International Core Standard** or **FEMAS Standard for Intermediate Suppliers** has been used to provide the Product Quality aspects needed to implement this Module, all claims associated with certification against this Module must specify the full term: 'FEMAS Responsibly Procured'.

1.7 Application for Certification and the Assessment Process

1.7.1 Application for FEMAS Certification

Participants must apply for certification against this Module to the authorised FEMAS Certification Body. Details of the authorised Certification Body are available from the AIC website: www.agindustries.org.uk.

Under normal circumstances, assessment against all relevant FEMAS Modules and Schedules will be undertaken at the same time to avoid unnecessary duplication and to reduce costs.

1.7.2 The Assessment Process

Participants are required to undergo an assessment process to ensure that their operations comply with the requirements of FEMAS, before a Certificate of Conformity can be issued.

The assessment process comprises:

- i) **Pre-Assessment** – Pre-assessments will evaluate new participants' ability to meet the main criteria of FEMAS in order to achieve 'applied' status. Participants who sign a Certification Agreement with the authorised Certification Body and pay any fees due and undergo a successful Pre-assessment will be authorised to trade for a maximum of 6 months prior to full FEMAS certification and their company name will be added to the FEMAS Register as 'Applied'. At the authorised Certification Body's discretion, Pre-assessments will involve either an on-site or 'desk top' audit that key controls are in place. After a maximum of 6 months from the application date, participants must undergo an Initial Assessment and achieve full certification against this Module for all products for which certification is being sought, or their company name will be removed from the FEMAS Register.
- ii) **Initial Assessment** – A formal, in-depth, on-site assessment to confirm that participants comply with the requirements of FEMAS. The duration of Initial Assessments is dictated by the time required to fully assess the systems and procedures of the participant. The number of days required will be indicated prior to assessment, but may be extended if circumstances require this. Certificates of Conformity are only issued on satisfactory completion of all Action Points identified at Initial Assessment. The details and scope of certification for certified businesses will be added to the FEMAS Register.
- iii) **Surveillance Assessment** – A formal on-site assessment of certified sites, scheduled annually to ensure that the requirements of FEMAS continue to be met and that any amendments/updates to this Module have been implemented.

- iv) **Unscheduled Assessment** – A number of Unscheduled Assessments will be undertaken each year under the FEMAS Programme. These will not affect all certified businesses each year, but the authorised Certification Body retains the right to undertake Unscheduled Assessments of any and all FEMAS certified businesses at its discretion. The appointed assessor will advise certified businesses subject to Unscheduled Assessment two days prior to the assessment taking place. The Unscheduled Assessment programme will be funded from a small levy included in the cost of all Initial Assessments and no additional charges will be made for Unscheduled Assessments.
- v) FEMAS assessments are not of fixed duration and quotations will be provided on a case-by-case basis, prior to work commencing. The authorised Certification Body administers the programme and in most cases will perform the on-site assessment. However, the participant may select, if they wish, an alternative organisation to carry out the on-site assessment activity from a list of approved and qualified Inspection Bodies appointed by the authorised Certification Body for this purpose. The list of approved Inspection Bodies is available from the authorised Certification Body.
- vi) *The scope of the Verification Assessment, (Initial, Surveillance or Unscheduled), will, at the discretion of the authorised certification body, include elements from each stage of the supply chain including farmers and growers. This will be based on a risk management principles and the actual validation of effective FEMAS Responsible Sourcing controls in those facilities visited. A minimum of 3 participating farms will be included in each assessment.*

1.8 The FEMAS Register

Those companies that achieve FEMAS certification are listed on the FEMAS Register. The Register includes details of the scope under which FEMAS certificates have been granted. Interested parties may view the Register via the Feed and Assurance links of the Agricultural Industries Confederation website at:

www.agindustries.org.uk

1.9 Comments and Updates to this Module

Comments regarding this FEMAS Module should be sent to KIWA PAI at:

The Inspire, Hornbeam Square West, Harrogate, N. Yorkshire HG2 8PA

As an aid to users, the areas of significant change are highlighted in *blue italics*.

1.10 Definitions

For the purposes of this standard, the following definitions apply:

Check: Monitoring and measuring of processes and products against policies, objectives and requirements for the product, with the reporting of results.

Contamination: The undesired introduction of impurities of a chemical or microbiological nature or of foreign matter during production, sampling, packaging or repackaging, storage or transport.

Corrective Action: Any action to eliminate both a non-conformity and the cause of the non-conformity.

Cross-Contamination: Contamination of a material or product with another material or product.

Feed (or Animal Feed): Any Substance or product, including additives, whether processed, partially processed or unprocessed, intended to be used for oral feeding to animals. (Regulation (EC) No 178/2002)

Food (or Foodstuffs): Any substance or product, whether processed, partially processed or unprocessed, intended to be, or reasonably expected to be ingested by humans.

‘Food’ includes drink, chewing gum and any substance, including water, intentionally incorporated into the food during its manufacture, preparation or treatment.

‘Food’ shall not include: feed; live animals unless they are prepared for placing on the market for human consumption; plants prior to harvesting; medicinal products; cosmetics; tobacco and tobacco products; narcotic or psychotropic substances; residues and contaminants. (Regulation (EC) No 178/2002)

GAP: *Good Agricultural Practice – a collection of principles applied to on-farm production and post-production processes resulting in safe for consumption products whilst taking into account economic, social and environmental sustainability*

GMP: Good Manufacturing Practice is a system designed to ensure that products are consistently controlled and manufactured to defined standards (often with respect to hygiene and safety).

Participant: A producer or processor seeking certification or certified against this Module.

Purchaser: The party supplied with the product by the participant.

Quality/Responsible Sourcing Management System: An organised system of documented procedures, controls and practices with the specific purpose of ensuring that the standards intended by the company are met during the course of its activities.

Raw Materials: All materials used by participants for manufacturing, processing or blending into finished products.

Record: A document providing evidence of a necessary action having been carried out.

Risk: A function of the probability of an adverse effect and the severity of that effect.

Risk Analysis: The process of collecting and evaluating information on risks to decide which are significant and therefore must be effectively managed.

Safe for Consumption: Products shall be deemed to be safe for consumption if they do not have an adverse effect on human or animal health when consumed and, in the case of feed, do not make the food derived from food-producing animals injurious to health or unfit for human consumption when used as intended and in accordance with normal practice.

Site: Factories / buildings sharing the same premises, under the same senior management control and involved in various stages of the same continuous process.

Specification: A list of tests, references to analytical procedures, and other criteria showing the numerical limits or ranges that must be met by a product for it to be deemed acceptable for its intended use.

Supplier: The external organisation or person that provides the raw materials or processed products from which the participant will produce his own products or which the participant will trade onwards without further processing.

Traceability: The ability to trace and follow a substance through all stages of production, processing and distribution.

Validation: Obtaining evidence of effectiveness.

Verification: The application of methods, procedures, tests and other evaluations to determine compliance.

SECTION 2: RESPONSIBLE SOURCING MANAGEMENT SYSTEM

Section 2 of the FEMAS Core Standard covers the requirements for the Responsible Sourcing Management System. The requirements for Responsible Sourcing are similar and thus in this section the clause numbers correspond to those in the core standard. It is expected that participants will have just one management system in place incorporating both quality and responsible sourcing

2.1 General Requirements

2.1.1 (FEMAS 2.1.1) the participant must ensure that their Management System includes compliance with the requirements of this Module.

2.1.2 (FEMAS 2.1.2) The structure of the Management System must be specific to the organisation of the participant and include policies, requirements and documented procedures that ensure the responsible sourcing of agricultural and natural products.

2.2 (FEMAS 2.2) Management Responsibilities

Management must be committed to the implementation of this Module and the operation of effective systems. Documentary evidence must be provided to demonstrate this.

2.2.1 (FEMAS 2.2.1) Management must:

- i) Include in a documented Company Policy the commitment to responsible sourcing of any agricultural or natural products utilised;
- ii) Identify the products / product categories and production sites to which the criteria laid down in this Module apply;
- iii) Provide adequate resources for the implementation and control of the requirements of this module;
- iv) Review at least annually, the continuing suitability and effectiveness of the Management System with regard to responsible sourcing.

2.3 (FEMAS 2.3) Management Structure

2.3.1 (FEMAS 2.3.1) Participants must have a nominated person responsible for achieving the requirements and objectives of the responsible sourcing system. The nominated person may also have other duties and responsibilities but must have appropriate authority to carry out the function effectively.

2.4 (FEMAS 2.4) Documentation

Participants must produce and implement their own set of operating procedures that incorporate the requirements of this Module.

2.4.1 (FEMAS 2.4.2) Documented procedures must form part of a structured and certificated Management System, or be part of a national, industry or company scheme that delivers equivalent controls and is approved by FEMAS¹. Independently certified systems are a pre-requisite for certification against this Module.

2.4.2 Where this Module requires procedures these must be incorporated into the management system and:

- i) Be reviewed at least annually, approved, dated, and signed by an authorised person;
- ii) Be readily available and understood by those required to operate to the requirements of the procedure;
- iii) Be revised to reflect any significant changes that have an effect on the operations of the participant and ensure the content of procedures remain current and accurate.

2.5 (FEMAS 2.5) Record Keeping

Participants must ensure that:

- i) All records required by this standard are kept for a minimum of five years, unless longer periods are required by legislation;
- ii) Storage facilities for records prevent any deterioration or damage to records under normal storage conditions;
- iii) Records are sorted and filed in such a way that information is complete and easily retrievable;
- iv) Records are legible.

2.6 FEFAC Criterion 1: ESSENTIAL (FEMAS 2.6) Compliance with legal and regulatory requirements relating to Responsible Sourcing

In addition to the requirement within the Core Standard relating to food/feed safety issues, participants must demonstrate that they are aware of all applicable laws and regulations relating to the production and supply of materials within the area/country in which they are sourced. These would include, but not restricted to: environmental, land use, safe working conditions and employment terms for all personnel at each stage of the supply chain.

2.6.1 FEFAC Criterion 1: ESSENTIAL *A system must be in place to monitor and keep up to date with any changes and that any information relating to responsible sourcing that may affect the status of products must be reliably and effectively transmitted to all parts of the supply chain that may affect the continued responsible sourcing of products. Any changes in practices or procedures necessitated by new information must be documented and implemented effectively.*

¹ Participants should confirm the acceptability of certification schemes by contacting the authorised Certification Body. In most circumstances, only schemes accredited to ISO 17065 or ISO 17021 + ISO TS 22003 will be acceptable to FEMAS.

2.6.2 FEFAC Criterion 2: ESSENTIAL *A documented system for monitoring compliance with all applicable legislation must be in place (in addition to the requirement to include this within the internal audit schedule)*

2.7 (FEMAS 5.18) Internal Audits

Participants must include compliance with this Module within their documented procedures for internal auditing. These must include:

- i) Compliance with the requirements of this document and any relevant related Schedules;
- ii) Compliance with the requirements of the participant's risk assessment;
- iii) Compliance with the participant's formal procedures;
- iv) Compliance with legislation pertaining to Responsible *Sourcing*;
- v) Satisfaction of specified customer requirements.

2.7.1 The programme of internal audits must ensure that all relevant activities are audited at least once a year.

2.7.2 *Where participants subcontract or delegate to third parties duties that are critical in the sourcing and/or maintaining the integrity of responsibly sourced materials through the supply chain, participants shall include these third party activities within their own internal auditing schedule unless the third parties are themselves certificated to the FEMAS Module for Responsible Sourcing of Agricultural and Natural Products (or another assurance programme delivering similar controls, acceptable to FEMAS) under a scope that will encompass the materials concerned.*

SECTION 3 FACILITIES & BUSINESS RESOURCES

3.1 (FEMAS 3.2) Personnel

Participants must ensure that all workers are subject to socially responsible practices *and that the applicable International Labour Organisation (ILO) conventions are being complied with*. As a minimum:

3.1.1 FEFAC Criterion 3: ESSENTIAL *All labour should be voluntary, including overtime. There should be no forced, compulsory, bonded, trafficked or otherwise involuntary labour and workers are free to leave their employment at any time with reasonable notice*

3.1.2 FEFAC Criterion 23: ESSENTIAL *Workers must have a written contract or agreement, in a language understandable by both parties, detailing the key elements of the relationship regardless of whether or not this is a legal requirement within that country.*

3.1.3 FEFAC Criterion 7: ESSENTIAL *Unless required to do so under national legislation, no worker is required to lodge identity papers with any third party*

3.1.4 FEFAC Criterion 4: ESSENTIAL *No child under 15 years of age (or the minimum age provided by the country's laws, whichever provides the greater protection) should be employed. No-one between 15-18 years of age should undertake any form of hazardous work.*

3.1.5 FEFAC Criterion 8 and 22: ESSENTIAL *Comply with employment legislation in the region where they are located with routine working time (excluding overtime) not exceeding 48 hours per week and gross wages meeting national legal standards and/or sector agreements.*

3.1.6 FEFAC Criterion 9: ESSENTIAL *Overtime must be voluntary and must be paid in accordance with local and national laws or sector agreements.*

3.1.7 FEFAC Criterion 24: DESIRED *Working hours and Overtime must be monitored.*

3.1.8 FEFAC Criterion 10: DESIRED *Overtime must not exceed 12 hours per week unless over limited periods, such as at harvest time or peak production, this is unavoidable and agreed between workers and management.*

3.1.9 FEFAC Criterion 25: ESSENTIAL *All wage payments must be recorded by the employer. No deductions, including any for disciplinary purposes, must be made unless legally sanctioned and any such deductions must be clearly recorded.*

3.1.10 FEFAC Criteria 19, 20 and 21: ESSENTIAL *Workers are free to join or form organisations and unions of their own choosing and to bargain collectively with their*

representatives given access to their members on request and to carry out their functions within the workplace without discrimination.

3.1.11 FEFAC Criteria 5 and 6: ESSENTIAL *Fair and equal treatment of all workers. There should be no engagement in support for or tolerance of harassment, discrimination, physical or mental punishment, sexual harassment or any other forms of abuse or intimidation.*

3.1.12 FEFAC Criterion 11: ESSENTIAL *All workers receive equal remuneration for work of equal value, equal access to training and benefits and equal opportunities for appointments and promotions to positions.*

3.1.13 FEFAC Criterion 12: ESSENTIAL *Provide a working environment where all reasonable precautions are taken to preserve the health and safety of workers.*

And as a minimum:

3.1.13.1 FEFAC Criterion 13: ESSENTIAL *A documented risk assessment identifying those tasks which are hazardous and hazardous tasks only carried out by appropriately trained individuals.*

3.1.13.2 FEFAC Criterion 12: ESSENTIAL *Workers have access to clean drinking and washing water and basic sanitary facilities.*

3.1.13.3 FEFAC Criterion 14: ESSENTIAL *Personal Protective Equipment (PPE) is provided as determined by risk assessment and its use enforced for any hazardous tasks.*

3.1.13.4 FEFAC Criterion 15: ESSENTIAL *Easy access to appropriate medical facilities in the event of an accident with basic first-aid kits provided at each location.*

3.1.13.5 FEFAC Criterion 16: DESIRED *There must be an awareness and understanding of all relevant health and safety matters with documented accident and emergency procedures in place and a system introduced for monitoring their effectiveness.*

3.1.13.6 FEFAC Criterion 18: DESIRED *There is a documented accident and emergency procedure and evidence that instructions have been communicated to and understood by all relevant personnel.*

3.1.13.7 FEFAC Criterion 17: DESIRED *There is a documented procedure including warnings followed by legally-permitted sanctions for managing disciplinary measures relating to breaches of safety requirements.*

3.2 (FEMAS 3.3) Processing

3.2.1 Where processing of agricultural or natural products is undertaken, only products that have been demonstrated to be food/feed safe² may be processed within the facility unless clear, robust and effective segregation and identification can be demonstrated at all stages to ensure food/feed safety of FEMAS certified products is not compromised.

3.2.2 With regard to responsible sourcing, a mass balance approach may be taken if this has been agreed with the receiving customer(s) and the requirements of 3.2.1 (above) and all other FEMAS criteria have been met. A mass balance approach is only permitted with Responsibly *Sourced* products, where all consignments being co-mingled meet the requirements of the FEMAS *Core Standard*.³

3.2.3 The approved FEMAS mass balance approach to responsibly sourced products is illustrated below and shall be applied at the level of each site involved in any FEMAS certified supply chain.



Above: *The FEMAS Mass Balance Model.*

² Details of food/feed safety certification schemes acceptable to FEMAS may be obtained from the authorised certifier.

³ *The Mass Balance approach is the preferred option within this module. However, other schemes which achieve a similar objective (e.g. “book and claim”) will be considered and to be acceptable, written authorisation must be obtained from the authorised certifier.*

3.3 (FEMAS 3.4) Storage Facilities

- 3.3.1** Where storage of agricultural or natural products is undertaken, only products that have been demonstrated to be food/feed safe⁴ may be stored within the facility unless clear, robust and effective segregation and identification can be demonstrated at all stages to ensure food/feed safety of FEMAS certified products is not compromised.
- 3.3.2** With regard to responsible sourcing, a mass balance approach may be taken if this has been agreed with the receiving customer(s) and the requirements of 3.3.1 (above) and all other FEMAS criteria have been met. *A mass balance approach is only permitted with Responsibly Sourced Non-GM products, where all consignments being co-mingled meet the requirements of the FEMAS Non-GM Module.*
- 3.3.3** Any storage must comply with the FEMAS mass balance approach to responsibly *sourced* products described in 3.2.3 above.

3.4 (FEMAS 3.8) Cross-Contamination

Participants must ensure that control systems at all levels of the supply chain prevent accidental cross-contamination and meet the segregation or mass balance requirements of FEMAS that apply to them.

- 3.4.1** If at any point responsibly sourced products become accidentally or intentionally contaminated with other products, all affected product will lose its status as responsibly *sourced* unless the FEMAS mass balance requirements are met. All FEMAS criteria relating to Non-GM certification and/or Food/Feed Safety must be met to retain the relevant FEMAS status.
- 3.4.2** Because testing is unlikely to be an effective means of assessing cross-contamination, participants must carry out verification trials and audits at a frequency determined by risk assessment, to confirm that any segregation processes throughout the supply chain are capable of maintaining the responsibly sourced status of any products supplied.

3.5 (FEMAS 3.11) Cleaning

Participants must ensure that cleaning practices prevent accidental cross-contamination between responsibly *sourced* products and other products or products of unknown status.

⁴ Details of food/feed safety certification schemes acceptable to FEMAS may be obtained from the authorised certifier.

3.6 (FEMAS 3.12) Waste

3.6.1 FEFAC Criterion 31: ESSENTIAL *Waste must be segregated and stored by type (e.g. fuel, batteries, tyres, lubricants, sewage and other waste streams) and disposed of in compliance with national legislation.*

3.6.2 FEFAC Criterion 33: ESSENTIAL *A plan should be developed and implemented to identify quantities of waste generated, by type and measures put in place to reduce the amounts of waste generated and, where practicable, to increase the level of recycling.*

SECTION 4: TRANSPORT REQUIREMENTS

4.1 (FEMAS 4.1) General Requirements

All transport used to carry responsibly sourced products must be controlled to avoid contamination with other products or products of unknown status.

4.1.1 (FEMAS 4.1.4) to facilitate traceability where transport is used to carry responsibly sourced products, the individual load compartments used must be recorded. For road / rail vehicles this may be the trailer / car number or, where load compartments are split into sections, the individual section must be recorded. For water transport, where load compartments are split into holds, the individual hold numbers must be recorded.

4.2 (FEMAS 4.3) Water-borne Transport

Where participants are responsible for loading responsibly *sourced* products into vessels and / or discharging responsibly *sourced* products from vessels, they must designate a competent person (designated inspector) to ensure that the segregation or FEMAS Mass Balance Requirements⁵ of any responsibly *sourced* products is maintained. Such controls must apply whether the participant or a third party contracted the vessel.

⁵ *The Mass Balance approach is the preferred option within this module. However, other schemes which achieve a similar objection (e.g. “book and claim”) will be considered and to be acceptable written authorisation must be obtained from the authorised certifier.*

SECTION 5: PRODUCT MANAGEMENT

5.1 (FEMAS 5.1) Risk Assessment

A documented risk assessment, *following HACCP principles*, must form the basis for procedures and controls implemented by the participant to retain the Responsibly Sourced status of products. *Whilst HACCP is normally used as a tool to control feed/food safety risks, this type of approach is appropriate when assessing risks (albeit not safety risks) relating to responsibly sourced materials.*

- 5.1.1 Documented risk assessments must consider the risks of contamination or loss of identity from the origin of any agricultural or natural products, through any transport, storage, handling and processing to the point at which responsibility for products transfers to the participant's customer.
- 5.1.2 The validity of documented risk assessments will be tested as part of the FEMAS assessment process.
- 5.1.3 Documented risk assessments must be reviewed as circumstances change. With regard to the responsibly *sourced* status of crops, this will require documented reviews to be undertaken at least each crop year.

5.2 (FEMAS 5.1.3 and 5.5) Product Specifications and Sales Contracts

Specifications and sales contracts associated with products supplied in compliance with this Module, must specify the product to be '**Certified as FEMAS Responsibly *Sourced***'. Where additional sustainability criteria have been met by the product, e.g. Roundtable on Responsible Soya (RTRS) beans or product derived from RTRS beans, this must also be specified.

- 5.2.1 The use of this wording on specifications and sales contracts is only authorised in cases where the specific products referred to are confirmed as complying with the requirements of this Module and covered in the scope of the FEMAS certificate issued to the participant.
- 5.2.2 The Term 'FEMAS' in isolation on a specification does not in itself offer any specific assurance with regard to the responsibly *sourced* status of a product.

5.3 (FEMAS 5.10) Feed Ingredient Delivery Documents & Labels

Participants may if they wish (and where local regulations allow) append the term '**FEMAS Responsibly *Sourced***' to the product name on delivery documents and labels associated with products supplied in compliance with this Module. The use of this term on delivery documents and labels is only authorised in cases where the specific batch of products so identified is confirmed as complying with all the requirements of this Module.

5.4 (FEMAS 5.14) Traceability

An effective traceability system is paramount in establishing the status of assured products *and products must be traceable during all stages of production and/or trade for which the participant is responsible either directly or where the participant out-sources activities.*

5.5 Product Integrity

Where products intended to be offered as Responsibly *Sourced*, documentary evidence must be available to demonstrate that products have been sourced from the stated origin and that their status has been maintained during transit, storage and handling.

5.5.1 FEMAS assessments will include 'desk top audits' of such products. Among the evidence required for these assessments, participants must provide the following:

- Evidence confirming the country(ies) and region(s) producing the agricultural and natural products concerned;
- An inclusive list of all stores and ports utilised for the storage and handling of Responsibly *Sourced* products and documentary evidence that segregation will be maintained in these facilities
- *Documentary evidence that the requirements set out in Section 6 of this module are being met*

5.5.2 *Where products intended to be offered as Responsibly Sourced are from regions where internationally significant or legally protected natural environments exist, it will be necessary to include assessment and validation of the supply chain by a FEMAS assessor back to the source of the products, unless the entire supply chain is already certificated to the FEMAS Responsible Sourcing Module or an alternative scheme acceptable to FEMAS⁶*

5.6 (FEMAS 5.15) Non-Conforming Products

Products that fail to meet the requirements of this Module must be considered by participants to be non-conforming. Non-conforming product procedures must include:

- i) Identification of batches / lots affected;
- ii) Documentation for managing and recording non-conforming products;
- iii) Evaluation of the cause of the non-conformance;
- iv) Segregation of batches / lots affected;
- v) Communication with relevant parties;
- vi) Corrective action to avoid repetition of the non-conformance.

⁶ Participants should confirm the acceptability of certification schemes by contacting the authorised Certification Body. In most circumstances, only schemes accredited to ISO *17065 or ISO 17021 + ISO TS 22003* will be acceptable to FEMAS.

5.6.1 Products identified as non-conforming must be dealt with in one of the following ways:

- i) Sent to waste;
- ii) Traded as 'Not Assured as Responsibly *Sourced*'.

5.7 (FEMAS 5.16) Complaints Procedure

Participants must manage complaints associated with Responsibly *Sourced* Products within their documented complaints procedure. This procedure must include systems for:

- i) Recording the characteristics of complaints;
- ii) Allocating responsibility for managing complaints;
- iii) Recording the name of complaining customers;
- iv) Recording the product(s) under complaint;
- v) Investigating the causes of complaints;
- vi) Recording any actions taken to resolve complaints;
- vii) Recording correspondence with customers with regard to complaints.

5.7.1 With due regard to the seriousness and frequency of complaints, corrective actions must be carried out in a timely and effective manner.

5.7.2 Where appropriate, complaint information must be used to avoid recurrence and implement ongoing improvements.

5.7.3 Wherever possible, complaints must be resolved to the customer's satisfaction.

SECTION 6: SOURCING MANAGEMENT

6.0 Product Integrity

To ensure that responsibly procured agricultural and natural products meet the criteria of this Module, participants must comply with the following principles:

i) Participants must have control over the procurement and supply of agricultural and natural products such that all reasonable measures are taken to exclude non-compliant products from the assured supply chain.

and / or

ii) Where agricultural and natural products are purchased via a third party, the participant must provide evidence that the products concerned also meet the requirements of this Module. Where this cannot be demonstrated, the FEMAS assessment of the participant will also include assessment of the suppliers concerned.

To become certified to this module, participants must carry out a documented risk assessment, following HACCP principles, covering the essential elements of responsible sourcing and, as a minimum, this must include:

- Land use and impact on local communities
- Environmental Impact
- Working conditions for all those involved in the supply of responsibly sourced materials

6.1 LAND USE and COMMUNITY RELATIONS

6.1.1 FEFAC Criterion 52: ESSENTIAL There must be documented evidence that materials are sourced for farms where there is an agreed and undisputed legal title or right to use the land.

6.1.1.2 FEFAC Criterion 26: ESSENTIAL The use of the land complies with any legal restrictions

6.1.1.3 FEFAC Criterion 27: ESSENTIAL No areas protected by law (e.g. legal reserves, conservation area) are to be used to grow agricultural or natural products unless there is clear, documented evidence of the conditions to be met. Where any alteration to land use has taken place, then either the area has been restored to its former state or legally approved compensating actions have been taken

6.1.1.4 FEFAC Criterion 28: ESSENTIAL *No agricultural or natural products can be produced on land subject to a prohibition enshrined in national legislation or international agreements (e.g. soybeans grown in Brazil on deforested land after 2008)*

6.1.2 FEFAC Criterion 29: ESSENTIAL *There must be a map for each farm identifying land use for the entire area with the area of native vegetation clearly shown and a plan to protect and recover natural vegetation.*

6.1.3 FEFAC Criterion 30: ESSENTIAL *Areas of native vegetation must be preserved, safeguarded and where necessary, restored particularly sensitive areas such as those around water courses, hills and steep slopes.*

6.1.4 FEFAC Criterion 53: ESSENTIAL *There must be documented evidence that no materials are sourced from farms where the land has been acquired without compensation being given to and without the consent of local communities.*

6.1.5 FEFAC Criterion 54: ESSENTIAL *There must be no conversion of land where there is an unresolved land use claim by traditional land users under litigation, without the documented agreement of both parties.*

6.1.6 FEFAC Criteria 37 and 56 ESSENTIAL *Complaints and Grievances*
There must be an effective mechanism in place to both communicate and to manage any complaints, disputes or notifications which arise amongst the farmer, local authority, traditional land user or local communities. All complaints and grievances must be recorded. This includes both land use itself and also incidents arising from it (e.g. contamination of ground or surface water).

6.1.6.1 FEFAC Criterion 58: DESIRED *The Complaints and Grievances System must be transparent, must be made known to and accessible by local communities and traditional land users.*

6.1.6.2 FEFAC Criterion 55: DESIRED *In cases where there is a dispute relating to land usage, the mechanism must include a fully documented community rights assessment taking into account the interests of all relevant stakeholders.*

6.1.6.3 FEFAC Criterion 57: ESSENTIAL *Where a relevant competent authority, following a complaint or grievance, requires some corrective or preventative action this must be carried out within the time-frame set by that competent authority.*

6.1.7 FEFAC Criterion 59: DESIRED *Effective channels of communication must be set up and their means of access made known to the local communities*

6.2 Environmental Impact

The key element of reducing the impact on the environment of producing agricultural and natural products is the adoption and implementation of good agricultural practices. For compliance against this module the following requirements, must, as a minimum be met:

6.2.1 Soil Management

6.2.1.1 FEFAC Criterion 40: ESSENTIAL *Evidence of a plan to maintain (and, ideally) improve soil quality by the introduction and implementation of a range of practices and techniques identified through risk assessment.*

6.2.1.2 FEFAC Criteria 36 and 41: ESSENTIAL *The introduction and implementation of practices, identified through risk assessment, to minimise soil erosion **and** its consequential impact on water courses.*

6.2.1.3 FEFAC Criterion 42: DESIRED *A system is in place to monitor the effectiveness of practices and techniques introduced to maintain soil quality and minimise soil erosion.*

6.2.2 Water Management

6.2.2.1 FEFAC Criterion 36: ESSENTIAL *A plan must be developed and implemented to demonstrate effective water usage and to minimise any risks, identified through risk assessment, of water pollution or contamination or any adverse impacts resulting from water usage. This will include, but not restricted to, maintaining a buffer zone around water courses and avoiding fertiliser dosage and timings that would be sensitive to leaching.*

6.2.2.2 FEFAC Criterion 38: DESIRED *Where irrigation is used, there must be evidence of compliance with relevant legislation and of measures taken to minimise water usage.*

6.2.2.3 FEFAC Criterion 39: DESIRED *A monitoring system to assess the effectiveness of the plan to protect surface and ground water quality is introduced.*

6.2.3 Agrochemical (fertiliser and crop protection agents) Usage and Management

6.2.3.1 FEFAC Criterion 43: ESSENTIAL *No agrochemicals listed in the Stockholm and Rotterdam Conventions can be used on any crop covered under this module.*

6.2.3.2 FEFAC Criteria 44, 45 and 46: ESSENTIAL *The usage of any agrochemicals must be documented and applied by appropriately trained personnel to minimise any risks to the environment (water, air, wild flora and fauna) and people, as identified through risk assessment. As a minimum, there must be a 30m buffer zone established between the area and any water course or area of human habitation with precautions taken to avoid personnel entering into recently sprayed areas.*

6.2.3.3 FEFAC Criterion 44: ESSENTIAL *Agrochemicals must be stored in safe and secure locations minimising any risk to either people or the environment. There must also be a system in place to manage the safe disposal of agrochemicals, including empty containers, which meets manufacturers' recommendations and local legislation.*

6.2.3.4 FEFAC Criterion 48: ESSENTIAL *The use of phytosanitary products must follow manufacturers' instructions and comply with any local legislation. There must be evidence of rotation of products containing different active ingredients as a means of reducing the risk of resistance.*

6.2.3.5 FEFAC Criterion 47: ESSENTIAL *Where aerial spraying is carried out, this must be done without any adverse impact on populated areas and water bodies. There must be no use of applications of pesticides listed in WHO Class Ia, Ib and II within 500m of populated areas or water courses. Where aerial spraying of applications of other pesticides takes place, residents within 500m of the planned application area must be given adequate advance notice.*

6.2.3.6 FEFAC Criterion 51: DESIRED *An Integrated Crop Management Plan should be developed and implemented to include:*

- *Monitoring of crop health at all stages of growth*
- *The use of non-chemical and chemical control*
- *Means of improving crop resilience to pests and diseases*
- *Reducing, over time, the use of potentially harmful phytosanitary products*

6.2.3.7 FEFAC Criterion 49: DESIRED *A system is implemented to identify, monitor and control the spread of invasive introduced species and new pests.*

6.2.3.8 FEFAC Criterion 50: ESSENTIAL *Appropriate measures for the coexistence of different production systems must be implemented.*

6.2.4 Waste (FEMAS Core 3.12)

6.2.4.1 FEFAC Criterion 32: ESSENTIAL *There must be no burning as a means of disposal of crop residues, waste or other materials unless these materials are used as a fuel for crop drying or their burning is required by national legislation as a sanitary measure.*

6.2.4.2 FEFAC Criterion 31: ESSENTIAL *Waste must be segregated and stored by type (e.g. fuel, batteries, tyres, lubricants, sewage and other waste streams) and disposed of in compliance with national legislation.*

6.2.4.3 FEFAC Criterion 33: ESSENTIAL *A plan should be developed and implemented to identify quantities of waste generated, by type and measures put in place to reduce the amounts of waste generated and, where practicable, to increase the level of recycling.*

6.2.5 Energy

6.2.5.1 FEFAC Criterion 34: DESIRED *The use of fossil fuels must be monitored.*

6.2.5.2 FEFAC Criterion 35: ESSENTIAL *Evidence must be available to demonstrate that measures are in place to reduce the usage of fossil fuels.*

6.3 Working conditions on farm

Participants must ensure that all workers are subject to socially responsible practices and that the applicable International Labour Organisation (ILO) conventions are being complied with. As a minimum:

6.3.1 FEFAC Criterion 3: ESSENTIAL *All labour should be voluntary, including overtime. There should be no forced, compulsory, bonded, trafficked or otherwise involuntary labour and workers are free to leave their employment at any time with reasonable notice.*

6.3.2 FEFAC Criterion 23: ESSENTIAL *Workers must have a written contract or agreement, in a language understandable by both parties, detailing the key elements of the relationship regardless of whether or not this is a legal requirement within that country.*

6.3.3 FEFAC Criterion 7: ESSENTIAL *Unless required to do so under national legislation, no worker is required to lodge identity papers with any third party.*

6.3.4 FEFAC Criterion 4: ESSENTIAL *No child under 15 years of age (or the minimum age provided by the country's laws, whichever provides the greater protection) should be employed. No-one between 15-18 years of age should undertake any form of hazardous work.*

6.3.5 FEFAC Criterion 8 and 22: ESSENTIAL *Comply with employment legislation in the region where they are located with routine working time (excluding overtime) not exceeding 48 hours per week and gross wages meeting national legal standards and/or sector agreements.*

6.3.6 FEFAC Criterion 9: ESSENTIAL *Overtime must be voluntary and must be paid in accordance with local and national laws or sector agreements.*

6.3.7 FEFAC Criterion 24: DESIRED *Working hours and Overtime must be monitored.*

6.3.8 FEFAC Criterion 10: DESIRED *Overtime must not exceed 12 hours per week unless over limited periods, such as at harvest time or peak production, this is unavoidable and agreed between workers and management.*

6.3.9 FEFAC Criterion 25: ESSENTIAL *All wage payments must be recorded by the employer. No deductions, including any for disciplinary purposes, must be made unless legally sanctioned and any such deductions must be clearly recorded.*

6.3.10 FEFAC Criteria 19, 20 and 21: ESSENTIAL *Workers are free to join or form organisations and unions of their own choosing and to bargain collectively with their representatives given access to their members on request and to carry out their functions within the workplace without discrimination.*

6.3.11 FEFAC Criteria 5 and 6: ESSENTIAL *Fair and equal treatment of all workers. There should be no engagement in support for or tolerance of harassment, discrimination, physical or mental punishment, sexual harassment or any other forms of abuse or intimidation.*

6.3.12 FEFAC Criterion 11: ESSENTIAL *All workers receive equal remuneration for work of equal value, equal access to training and benefits and equal opportunities for appointments and promotions to positions.*

6.3.13 FEFAC Criterion 12: ESSENTIAL *Provide a working environment where all reasonable precautions are taken to preserve the health and safety of workers*

And as a minimum:

6.3.13.1 FEFAC Criterion 13: ESSENTIAL *A documented risk assessment identifying those tasks which are hazardous and hazardous tasks only carried out by appropriately trained individuals.*

6.3.13.2 FEFAC Criterion 12: ESSENTIAL *Workers have access to clean drinking and washing water and basic sanitary facilities.*

6.3.13.3 FEFAC Criterion 14: ESSENTIAL *Personal Protective Equipment (PPE) is provided as determined by risk assessment and its use enforced for any hazardous tasks.*

6.3.13.4 FEFAC Criterion 15: ESSENTIAL *Easy access to appropriate medical facilities in the event of an accident with basic first-aid kits provided at each location.*

6.3.13.5 FEFAC Criterion 16: DESIRED *There must be an awareness and understanding of all relevant health and safety matters with documented accident and emergency procedures in place and a system introduced for monitoring their effectiveness.*

6.3.13.6 FEFAC Criterion 18: DESIRED *There is a documented accident and emergency procedure and evidence that instructions have been communicated to and understood by all relevant personnel.*

6.3.13.7 FEFAC Criterion 17: DESIRED *There is a documented procedure including warnings followed by legally-permitted sanctions for managing disciplinary measures relating to breaches of safety requirements.*