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How to complete this screening exercise

This exercise is available as a PDF interactive document. From page 4 you will be asked a series of questions to which you will need to provide answers. Many questions simply require a simple reply of 'Yes' or 'No' by clicking in the relevant box upon which you will see a tick / mark appear. Other questions require a simple addition of answers to produce a score.

According to the scope and complexity of your proposed certification, certain answers will require the preparation of assessments or completion of templates. By clicking on the name of the document or provided link, you will be taken to the relevant location or in many cases the relevant document will download automatically. In case you experience any problems you can find all standards, guidance and available templates at <http://rsb.org/sustainability/> or you can email us at applications@rsb.org

This document can also be printed on paper and can be completed by hand if preferred.

The completed document and any other related documents must be shared with your auditor.

Introduction

The Roundtable on Sustainable Biomaterials has developed a screening exercise intended to help operators seeking certification to identify: a) the social and environmental aspects relevant to their operations which will need to be more closely monitored, and b) when a more detailed study or assessment of a particular aspect of the standard is required. In some cases, a household survey may be necessary to provide a better understanding of the baseline conditions, and to monitor on-going impacts. The survey questions developed by the RSB for this purpose are included in the Annex of this document.

If the project's potential impact is significant in a particular area, the screening exercise may indicate the need for independent social or environmental experts to conduct a detailed assessment, and to provide mitigation and monitoring recommendations, to ensure that the operator does not violate any of the RSB's social or environmental criteria. Whenever relevant, local stakeholder involvement might be necessary to inform and educate community members about the project, and the social or environmental measures being taken by the operator to mitigate the risks of negative local impacts and to promote positive outcomes.

The screening applies to any existing or new operation. For existing operations, the operator will likely have to use retrospective documentation and evidences.

Important Note: While the Screening Tool provides instructions related to the implementation of the RSB Principles & Criteria, the audit process may raise further elements of understanding, which may require Participating Operators to conduct additional due diligence and implement corrective measures. It is recommended that Participating Operators pay attention to any additional element of information to fully understand potential impacts and the need to implement responsible management practices in line with the RSB Principles & Criteria.

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Operator Sizes and Types

The RSB has set different requirements for operations of different sizes, and which represent different parts of the supply chain.

a) Please tick your operator type below:

Operator Type	Yes	No
Primary biomass producer		
Processor		
Trader		

⇒ **Primary biomass producers:**

All primary biomass producers regardless of size need to perform the screening exercise

⇒ **Processors** (includes feedstock processors, biofuel producers, biomaterial producers / all feedstocks, i.e. primary biomass and waste):

All processors need to perform the screening exercise.

⇒ **Traders** (includes all non-processing entities: Waste/Residues Collectors, Biofuel trader, Biomaterial traders, Blenders):

No Screening required as Principle 2 does not apply, **do not continue** with this tool.

b) The different size categories are listed below. Please tick the box of your relevant category:

Operator:	Primary Biomass Producer	Processor	
	Hectares total agricultural production	Metric tons/year of biomass/Intermediates or Million liters of biofuels/year	
Large	75 ≤ 500	≥ 500,000 MT/a for Biomass/Intermediates or ≥ 100 Mio l/a for Biofuels	
Medium	NA	50,000 ≤ 500,000 MT/a for Biomass/Intermediates or 10 ≤ 100 Mio l/a for Biofuels	
Small	10 ≤ 75	5000 ≤ 50,000 MT/a for Biomass/Intermediates or 1 ≤ 10 Mio l/a	
Micro	<10	< 5,000 MT/a for Biomass/Intermediates or < 1 Mio l/a for Biofuels	

SECTION 1: Principle 2

Step 1.1 – Previous/Existing impact assessments

Screening Question – Step 1.1	Yes	No
Have you already carried out a Social Impact Assessment (SIA) or an Environmental and Social Impact Assessment (ESIA)?		

⇒ If **YES**, please note that if during the completion sections 2 to 6 of this screening tool it becomes clear that RSB requires you to address any additional social impacts (e.g. food security, land rights), which were not covered at the same level as required by RSB when you completed your Social Impact Assessment, you should integrate those additional RSB assessment requirements as they emerge from this screening tool. RSB guidelines for each social principle are available for reference. Now continue with Section 2 of the screening tool.

⇒ If **NO**, please answer the questions under step 1.2 to assess the likelihood of social impacts.

Step 1.2 – Major social issues

The following questions should be answered by the operator in good faith and supported by documents and information collected from local reliable sources. In developing countries, the information may more easily be acquired after a consultation process with the local communities. Medium and large operators in poor countries may want to consider hiring a social expert to help them identify the likelihood of social impacts. Relevant available information acquired by the operator to answer the questions below should be made available to auditors.

Screening Questions – Step 1.2	Yes	No
1. Is the proposed or existing operation causing (or likely to cause) any negative impacts on local livelihoods or upon formal and informal economic activities (including displacement and loss of livelihood/jobs)? <i>e.g. by leading to a loss or reduction in return from economic activities such as fishing/ farming/ tourism/ hunting/ grazing/ gathering of material or agriculture.</i>		
2. Has the project reduced (or is it likely to reduce) access to locally used infrastructure, resources and/or facilities? <i>e.g. roads, bridges, ferries, sanitation facilities, energy production facilities, schools, hospitals, etc. or by blocking or deviating (adding time/ distance) rights of passage to land for pasture, common land, etc.</i>		
3. Is the proposed or existing operation causing (or likely to cause) an increase in the risk of diseases? <i>e.g. respiratory diseases, water-borne diseases (for example due to irrigation)</i>		

- ⇒ If **YES** to **two or three of the questions** above, a [Social Impact Assessment](#) is required as an additional exercise, also proceed to step **1.3** below -
- ⇒ If **NO** to **all questions**, a Social Impact Assessment is not required. Please proceed to the step **1.3**

Step 1.3 – Other issues

Screening Questions – Step 1.3	Yes	No
1. Is the proposed or existing operation causing (or likely to cause) any loss of access to places of cultural or spiritual importance?		
2. Is the proposed or existing operation causing (or likely to cause) any increase in social tensions and/or crime? <i>e.g. due to migrant labor, rapid increase in population, etc.</i>		
3. Is the proposed or existing operation causing (or likely to cause) any increase in noise and/or traffic which can disturb local communities? <i>e.g. derived from agricultural activities, processing activities, shipping and deliveries etc.</i>		

- ⇒ If **YES** to **any of the questions** above, you should address the relevant impacts, as specific chapters or sections of the **Social Impact Assessment** if one is required, or directly in the **Environmental and Social Management Plan**, making sure to include mitigating measures which have been agreed with the community.

The Environmental and Social Management Plan (ESMP) template can be found [here](#).

Guidelines on how to complete the ESMP can be found [here](#).

Please proceed to Section 2 below.

- ⇒ If **NO** to **all questions**, please proceed to **Section 2** below.

SECTION 2: Principle 5

Step 2.1 – Country level assessment

The RSB has set national-level thresholds for *Regions of Poverty* based on the United Nations Human Development Index. This exercise should be done during the stage of applying for certification and repeated when renewal of the certificate is sought as the country’s situation may change.

The first step to determine if you are in a *Region of Poverty* is to go to the UNDP Human Development Indicators World Map (click [here for the latest values](#)). When you reach the map click on the country in which the biomass or biofuel production is taking place.

For most countries, the map will indicate an inequality-adjusted human development index (IHDI) value between 0 and 1. If, and only if, there is no IHDI data available, look at the Human Development Indicator (HDI) value for the country. If no IHDI or HDI values are available for the country of operation, please go to step **2.2**

Screening Question – Step 2.1	Yes	No
Is the operation in a country with an IHDI value lower than 0.59 or an HDI value lower than 0.74?		

- ⇒ If **YES**, please move to step **2.2**
- ⇒ If **NO**, proceed to **Section 3** below.

Step 2.2 - Analysis

Compliance with Principle 5a and 5b is required. The operator should document the measures it is adopting to improve the socio-economic conditions of the area (5a) and to help vulnerable groups, especially women, (5b) in a **Rural and Social Development Plan**, or directly in the **Environmental and Social Management Plan**. Such actions should be appropriate to the scale of the operation. Guidance on how to achieve compliance with Principle 5 and on the development of a full Rural and Social Development Plan is available in the Rural and Social Development Guidelines [RSB-GUI-001-005-02](#). It is important to note that the RSB requires any measure and action taken by the operator under this principle to be agreed with the local communities through a documented stakeholder consultation process.

Please proceed to Section 3 below.

SECTION 3: Principle 6

Food Security (Small, Medium and Large Operations)

The RSB requires that operators with activities in *Food Insecure Regions* demonstrate a positive contribution towards local food security conditions vis-à-vis the four pillars of food security developed by the UN Food and Agriculture Organization.

The RSB has set national-level thresholds for *Food Insecure Regions* based on the International Food Policy and Research Institute's Global Hunger Index (GHI).

Step 3.1 - Evaluate Food Security at the National Level

Go to the International Food Policy and [Research Institute's Global Hunger Index \(GHI\) website](#)
Please ensure that you use the most current version of the GHI map.

- ⇒ If the country in which the biomass or biofuel production is taking place has a **low** or **moderate** ranking on the GHI index, please proceed to **Section 4**.
- ⇒ If the country in which the biomass or biofuel production is taking place has a **serious** or **worse** ranking on the GHI index, then continue to Step 3.2 below.

Step 3.2 - Determine if the operation is likely to have impacts on Food Security

Screening Questions – Step 3.2	Yes	No	Not sure
Are the operations taking place on land used for any form of livelihood support (any activity that supports income creation or avoids expenditure), without providing equivalent land in compensation (i.e. would there be a net loss in land of equivalent quality and accessibility)			
Is there any evidence that the operations have switched land away from food production (crops and pasture) to biofuel production without providing equivalent land in compensation?			
Is there any evidence that agricultural or industrial operations reduce household access to food and other essential goods that local communities purchase from local markets or shops			
Is the operation expected to pose a risk to food production in the locality through any environmental degradation, including a lowering of the water table, soil erosion, or attracting increased pests and disease?			

- ⇒ If you answered, “**Yes**” or “**Not Sure**” to any of the above questions, please proceed to **step 3.3 below**
- ⇒ If you answered “**No**” to all four of the above questions, no mitigation measures are necessary. Please proceed to **Section 4** below.

Step 3.3 - Evaluate Food Security at the Regional Level

Operations in countries with a **serious or worse** ranking, according to the IFPRI GHI ranking, that are likely to have impacts on food security must conduct a survey to determine the food security conditions in their local area. The survey can be found in [Annex 1](#) of this document.

Screening Questions – Step3.3			
Based on results from the household survey, what is the average household hunger score among locals?	Enter the average sum of Questions 7-9 from Annex 1		
What is the average of the responses from Question 10?	Answer must be between -1 and 1		
	Significant (2 points)	Minor (1 point)	None (0 points)
Do locals report periods of food shortfalls during the year, and if so, how extreme are they?			

Please sum your responses from the table above and indicate the total score in this box:

Please check the number reported in Box 2 above

- ⇒ If the sum is **over 4** and you are a **large operation**: **Food security assessment and mitigation measures** are required
- ⇒ If the sum is **over 5** and you are a **medium operation**: **Food security assessment and mitigation measures** are required
- ⇒ If the sum is **over 7** and you are a **small operation**: **Food security assessment and mitigation measures** are required
- ⇒ **Micro scale operations** and others: No food security assessment nor mitigation measures required

If **any** of the above thresholds are triggered, the biomass or biofuel production is considered to be located in a **Region of Food Insecurity**. Operations in a *Region of Food Insecurity* that are likely to have impacts on food security must comply with RSB Criterion 6b by implementing measures to enhance food security in their local region.

These operators must complete a **Food Security Impact Assessment** as described in the food security guidelines [RSB-GUI-01-006-01](#), and implement mitigation measures appropriate to the local conditions and scale of the operation. Measures implemented should be documented in the **Environmental and Social Management Plan (ESMP)**, and reassessments of the local conditions should be conducted every three years to demonstrate no negative impacts from the operations' activities.

Please proceed to **Section 4** below.

SECTION 4: Principle 7

The RSB requires that conservation values of local, regional or global importance in regions of agricultural or industrial processing be identified and protected. No conversion of areas containing these values is permitted under the RSB standard after 1 January 2008. Conservation values of local, regional or global importance include an outstanding level of biodiversity, natural ecosystems, protected areas and provision of important ecosystem services.

Depending on the scale of the operation, the identification of conservation values may require a combination of desk and field work, in consultation with local experts and communities, and takes both conservation and economic aspects into consideration.

The process may include

- 1) the review of publicly available data and maps;
- 2) landscape-level assessment, i.e. the consultation of national/regional experts and institutions;
- 3) site-level mapping, (i.e. a detailed site-level assessment through the consultation of local conservation organizations, or communities, as well as larger farmers, local leaders and elders) and mitigation planning if needed.

Step 4.1 – Restricted Areas and Conservation Values

1. **“No-go”**: Is the existing or proposed operation site located in a region (or contain an area) that could be identified as a “no-go area” as of the 1st of January 2008, or earlier as prescribed by other relevant international standards¹?

Yes	No

i.e. is the operation site in a nationally, regionally, or internationally legally protected area including but not restricted to those designated by any of the following processes on or after the cutoff date²:

- The World Conservation Union “IUCN” Category I-IV protected areas <http://www.protectedplanet.net/>
- Wetlands of International Importance designated under the Ramsar Convention <http://ramsar.wetlands.org/>
- World Heritage Sites designated under the UNESCO World Heritage Convention <http://whc.unesco.org/en/list>
- Biosphere Reserves designated under the UNESCO Man and the Biosphere Programme <http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/biosphere-reserves/>
- Other legally protected areas
- Primary Forest, i.e. naturally regenerated forest, where there are no clearly visible indication of human activities and the ecological processes are not significantly disturbed.³
- Natural or non-natural highly biodiverse grassland

¹ For forestry products the cut-off date is November 1994 (FSC Requirement), for palm plantation it is November 2005 (RSPO Requirement). For products being sold in the United States it is 19 December 2007 (US RFS Requirement) and in the European Union it is 1 January 2008 (EU RED requirement).

² To determine if you are in one of these areas, you can also visit the [IBAT for Business Website](#). You can create a 14- day trial account for free

³ Please see for further information and clarification [FAO \(2015\): Forest Resources Assessment Working Paper 2015, Terms and Definitions](#)

Please note: For operators entering the EU RED market, also: other areas designated as “no-go” areas as defined in the RSB EU Market Access Standard

- ⇒ If you answered **Yes**, **no certification is possible**. For operators not entering the EU RED market, the operation site can still be used (but not converted) for the legally authorized operations as part of the conservation management for the protected area.
- ⇒ If **No**, continue to Question 2 below.

2. “No conversion” and key biodiversity areas:

Is the existing or proposed operation site located in a region (or contain an area) that could be identified as a “no conversion” area as of the 1st of January 2008, or earlier as prescribed by other relevant international standards⁴?

“No conversion” areas include:

- Key Biodiversity Areas (KBA) as indicated in the IBAT for Business Tool (www.ibatforbusiness.org), including Alliance for Zero Extinction Areas (AZEs), Important Bird Areas (IBAs), and IUCN Key Freshwater Biodiversity Areas
- Natura 2000 sites (as determined under the European Birds and Habitats Directives <http://natura2000.eea.europa.eu>)
- Land with high carbon stock, e.g. Wetland, Peatland
- Areas listed on the IUCN Red List of Ecosystems⁵
- Forests, i.e. Land spanning more than 0.5 hectares with trees higher than 5 metres and a canopy cover of more than 10 percent, or trees able to reach these thresholds in situ⁶

Please note: For operators entering the EU RED market, also: other areas designated as “no conversion” areas as defined in the RSB EU Market Access Standard

Yes - partial or full conversion	Yes - no conversion	No

- ⇒ If **Yes** and **partial or full conversion** of the area occurred or would be required for the operation, then no certification is possible.
- ⇒ If **Yes**, but **no conversion** occurred or would be required, conduct a Conservation Impact Assessment following the RSB Conservation IA Guidelines ([RSB-GUI-01-007-01](#)) for the operation site(s) to be used. Go this link for a [Conservation IA report template](#).
- ⇒ If **No**, continue to Question 3 below.

⁴ For forestry products the cut-off date is November 1994 (FSC Requirement), for palm plantation it is November 2005 (RSPO Requirement). For products being sold in the United States it is 19 December 2007 (US RFS Requirement) and in the European Union it is 1 January 2008 (EU RED requirement).

⁵ IUCN-CEM 2016. *The IUCN Red List of Ecosystems*. <http://iucnrle.org>

⁶ Please see for further information and clarification FAO (2015): Forest Resources Assessment Working Paper 2015, Terms and Definitions. RSB applies this definition as no other approach is currently operational that ensures protection of forests and deforestation-free supply chains. As soon as other approaches are operational and achieve consensus among RSB stakeholders, RSB may allow further approaches to define protected forests, e.g. The High Carbon Stock Approach (<http://highcarbonstock.org/>)

3. Check with any locally available inventories/databases (IUCN Red List, Natureserve, or similar) for species listed as critically endangered, endangered or vulnerable (or equivalent categories).

Are there any such species listed?

Yes	No

⇒ If **Yes** there are any such species in the *operation site*, a targeted conservation action plan shall be developed and implemented, as part of the **Environmental and Social Management Plan**, using adequate expertise and appropriate to the conservation status of the identified species and intensity and scale of operation.

Now continue to Question 4 below.

4. Does the proposed or existing *operation site* share a boundary with an area that falls under any of the categories listed in Questions 1 and 2 above?

Yes	No

⇒ If **Yes**, a buffer zone must be put in place, using adequate expertise and appropriate to the scale of the operations and area of impact. Buffer zones and monitoring of their effectiveness in protecting neighboring areas should be described in the **Environmental and Social Management Plan**. Operators shall also evaluate the need to set ecological corridors within the area of operation.

⇒ If **No**, continue to Question 5 below.

5. Did the proposed or existing *operation site* have the status of “severely degraded land” at the time the operator acquired ownership or control of the land?

Yes	No

⇒ If **Yes**, no **Conservation Impact Assessment** is necessary.

⇒ If **No**, continue to Question 6 below.

6. Has the *operation site* been under *cultivation* for at least one year out of the 5-year period prior to certification, or for at least two years in the 10-year period prior to certification and will not result in conversion of natural or semi-natural areas?

Yes	No	NA ⁷

⁷ Question is not applicable for operators not involved in primary biomass production

- ⇒ If **Yes**, no **Conservation Impact Assessment** is necessary. Changes in management practices with potential impacts on biodiversity are to be documented in the **Environmental and Social Management Plan**.
- ⇒ If **No**, conduct a **Conservation Impact Assessment** following the [RSB Conservation IA Guidelines \(RSB-GUI-01-007-01\)](#).

Please proceed to Step **4.2** below.

Step 4.2 - Invasive Species

General information about how to identify and minimize risk of biofuel crop invasiveness may be found [here](#).

Agricultural operators should follow the four-step process described below to determine if their crop species has a high invasiveness risk⁸.

Step	Questions	Yes	No	Remarks
1	Is the species in question prohibited in the country of operations?			If yes , this species cannot be used. If no , continue to Step 2 .
2	Is the species in question recorded in the Global Invasive Species Database as highly invasive under similar climate, local ecosystems and/or soil types?			If yes , this species cannot be used. If no , continue to Step 3 .
3	Did you conduct a Weed Risk Assessment and did it provide conclusive results?			If no , the species cannot be used. If yes , continue to Step 4 .
4	Does the Weed Risk Assessment or any other source reveal that the species in use or to be used has high invasiveness potential under the conditions of operation?			If yes , the species cannot be used. If no , the species may be used.

Operators should follow **Weed Risk Assessment** procedures for the country in which they are operating, or when not possible, use procedures approved by the RSB. An example of a RSB approved Weed Risk Assessment can be found on the RSB site at [this location](#).

The Weed Risk Assessment should provide evidence the plant has a low invasive potential. If the Weed Risk Assessment does not demonstrate the species' low invasive potential, operators may provide evidence on its (lack of) invasiveness, citing use of the plant species under similar ecological, climatic and soil conditions without any observed invasive trait over the long term.

⁸ The following crops are not considered invasive: sugarcane, soybean, corn and African palm

SECTION 5: Environmental Factors (Soil, Water and Air)

Step 5.1 - Soil (All Feedstock Estate Producers)

Screening Questions – Step 5.1	Yes	No
Are the soils currently in a fragile or degraded condition, defined as the absence of topsoil, organic matter, cation exchange capacity and physical nutrients, determined by a soil quality test?		
Are crops to be planted in an area of which 50% or more has an incline gradient of more than 25%?		
Are crops planted on soil that is prone to water or wind erosion?		
Do the crops require more than the Good Agricultural Practices (GAP) recommended use of pesticides, herbicides or chemical fertilizers?		
Do the crops require clear cutting and/or mechanical land clearing of the natural vegetation?		
Are wastes from the farm or feedstock processing disposed of within the farm ⁹ ?		

- ⇒ If you answered **Yes** to **three or more** of the above, conduct a **Soil Impact Assessment**. You may consult the RSB Guidelines on Soil Assessment ([RSB-GUI-01-008-01](#)). Measures implemented should be documented in the **Environmental and Social Management Plan**.

Please proceed to step **5.2** below

Step 5.2 – Water (All operators)

- ⇒ **All operators** must develop a **Water Management Plan** to ensure efficient use of water resources. You may consult the RSB Guidelines on Water Assessment ([RSB-GUI-01-009-01](#))
- ⇒ **Micro-scale** producers are exempt.

⁹ This question applies to soil impacts on the farm. Waste disposal in general is covered under RSB Criterion 11e, which requires proper waste and by-product management for all operators

Step 5.2a - Use of Rainwater

Screening Questions – Step 5.2a	Yes	No	Remark
Does the operation use any form of irrigation, including rain catchment systems?			If yes , proceed to Step 5.2b If no , proceed to Step 5.2c

Section 5.2b - Water Rights and Availability (Small, Medium and Large Scale Operators)

Screening Questions – Step 5.2b	Yes: (2 points)	No: (0 points)
Is there any evidence that the existing or proposed agricultural or industrial operations have affected (or will affect) water availability for downstream water users with either formal or customary water rights?		
Are there any formal (e.g. governmental) restrictions on your water usage?		
Have/Will the agricultural or industrial operations require(ed) the installation of a dam?		
Has the operation resulted in the change of direction of a watercourse in any way?		
Are there any current water disputes related to your operation pending in a court of law?		
Are the basic needs of local populations (including drinking, sanitation and cultivation) constrained by water scarcity?		

Please add up the numbers next to your responses to the above questions in Step 5.2b above, ensuring you allocate 2 points for each **Yes** answer and 0 points for each **No** answer:

- ⇒ If the sum is **4 or more**, you must conduct a **Water Rights and Availability Impact Assessment** and include recommended measures in the **Environmental and Social Management Plan**. You may consult the RSB Water Assessment Guidelines ([RSB-GUI-01-009-01](#)). Please proceed to Step 5.2c
- ⇒ Micro scale operations are not required to conduct a Water Rights Impact Assessment.

Please proceed to Step 5.2c below

Step 5.2c - Water Quality and Pollution

Questions – step 5.2c	Yes	No
Has there been any evidence that the agricultural or industrial operations have affected the chemical, physical and/or biological equilibrium of nearby water resources?		
Do/Will <u>agricultural activities</u> include the storage or use of sewage, harmful chemicals or dangerous microorganisms within 100 meters of a surface water resource?		
Do/Will <u>industrial activities</u> include the storage or use of dangerous or harmful chemicals (fats/oils, bases, acids, etc.) or harmful microorganisms within 500 meters of a surface water resource?		

- ⇒ Operators who answer **Yes** to any of the questions in Section 5.2c must include a plan for how water quality will be monitored, and pollution of local water resources prevented, as part of their the **Environmental and Social Management Plan**.
- ⇒ Micro-scale operations are exempted.

Please proceed to Step **5.3** below

Step 5.3 – Air Quality and Pollution

Operators of an industrial facility must provide a list of all major air pollutants that may potentially be emitted from the facility as part of an **Air Management Plan**. The list should identify all potential air pollution sources and describe their nature. The plan must also describe any air pollution mitigation strategies that are employed, or else the rationale for not utilizing such strategies.

- ⇒ Download page 1 of the RSB air emissions reporting template [here](#).
- ⇒ Download page 2 of the RSB air emissions reporting template [here](#).

Please proceed to Step **5.4** below

Step 5.4 - Open Air Burning

Screening Questions – Step 5.4	Yes	No
Do agricultural operations involve the open air burning of leaves, straw or any other agricultural materials or residues?		
Do agricultural operations involve the open air burning or incineration of trash or waste materials?		
Do agricultural operations involve the burning of fields or lands as part of land clearing, harvesting, or other crop cultivation practices?		

- ⇒ If **YES** to any of the above, operators must include a plan to phase out open air burning within three years as part of their **Environmental and Social Management**

Plan. If phase out of open air burning is not feasible, the operator should describe why no viable alternative to open air burning is possible.

Please proceed to **Section 6** below.

SECTION 6: Principle 12

This section of the Screening Tool aims to identify potential non-compliances and determine whether operators shall conduct a **Baseline Land Rights Assessment**. Compliance with Principle 12 and related criteria is required for every operator, regardless of whether a Baseline Land Rights Assessment is triggered or not.

Step 6.1 - Involuntary resettlement, disputes and public opposition/violence: all operators

Involuntary Resettlement (No-Go Restriction)	Yes	No
Has there been any involuntary resettlement or movement of people out of their homes against their will as a result of the agricultural or industrial development of the project?		

⇒ **YES**, the operator **cannot be certified**.

⇒ **NO**, please answer the following question -

Disputes	Yes	No
Are there any current disputes pending resolution (either in a court of law or through other forms)?		

⇒ If **YES**, you need to show that disputes are being resolved according to the FPIC methodology (see [RSB-GUI-01-012-01](#) Section 4). The land under dispute has to be excluded from the scope of certification until all disputes have been settled. Please also answer the following question.

⇒ If **NO**, please answer the following question -

Public Opposition / Violence	Yes	No
Has there been any public opposition to and/or violence caused by the development of the project due to concerns over land rights from local or international NGOs or community members?		

⇒ If **YES**, you must conduct a **Baseline Land Rights Assessment** (see [RSB-GUI-01-012-01](#), Section 1) in which you provide evidence that land rights and land use rights, both formal and informal, have been assessed, documented and established and any negative impacts mitigated according to Principle 12a. **This is the end of the**

screening tool. Please proceed to **Section 7** below.

⇒ If **NO**, please proceed to Step **6.2**

Step 6.2 – Year of establishment, displacement, relocation and land exchange

It is advisable for operators to answer these questions after acquiring the relevant information on local land and land use rights from reliable sources. RSB Guidelines for Land Rights Assessment ([RSB- GUI-01-012-01](#)) may be used, if desired, at any time for guidance. Operators should be aware that not all land uses are evident at all times (e.g. pastoralists may only use a given area on a seasonal basis). Examples of sources of information include local governments, land registries, NGOs, community leaders and groups (e.g. women, pastoralists etc). If only part of your land has been added / converted in the last 10 years, you should answer the following questions only in relation to that part of land.

⇒ Have you been established for less than 10 years or has a part of your land been added/converted within the last 10 years?

If **YES**, proceed to next question

If **NO**, this is the **end of the screening tool.** Please proceed to **Section 7** below.

⇒ Has there been any movement, relocation, land exchange or change in land use for poor, poorly educated or indigenous people or communities as a result of the project development within the last 10 years?

If **YES**, go to next question

If **NO**, this is the **end of the screening tool.** Please proceed to **Section 7** below.

⇒ Can you demonstrate that the movement, relocation, land exchange or change in land use did not negatively affect poor, poorly educated or indigenous people or communities (e.g. by reducing size or productivity of land, by reducing access to resources, services and infrastructures)?

If **NO**, you must conduct a Baseline Land Rights Assessment (see [RSB-GUI-01-012-01](#), Section 1) in which you provide evidence that land rights and land use rights, both formal and informal, have been assessed, documented and established and any negative impacts mitigated according to Principle 12a.

If **YES**, this is the end of the screening tool. Please proceed to **Section 7** below

SECTION 7 - Next Steps

The aim of this Screening Exercise is to help operators identify any additional studies they may need to do as part of their RSB certification. Any additional studies that must be conducted should be included as part of the operator's [*Environmental and Social Management Plan \(ESMP\)*](#), which all operators must develop to demonstrate how they will ensure continued compliance with the RSB social and environmental criteria. Guidelines on how to [complete the ESMP can be obtain here](#).

All information, including this Screening Exercise and the Environmental and Social Management Plan must be presented to the auditor as part of the compliance verification and audit process. More information is available [here](#).

Annex 1: Food Security Survey Questions

Company Name		HH Location	
Site Location		GPS Coordinates	
Region/Country		Interviewer	
Date		HH Code if applicable	

1. **How many meals do household members usually have each day?**.....Number
(Note this is for normal periods during the year not for unusual circumstances)

2. **Is there a period in the year when you usually have a shortage of food?** No=0
 Yes =1

If No go to Q12, if Yes go to Q3

3. **When is the shortfall period in the year?**
(i.e. what season or which months?)

4. **How many meals would you have each day during that shortfall period?** Number

5. **Are meal sizes reduced during the shortfall period?**

(If No go to Q10).....No=0, Yes=1

6. **If so by what amount?** Per cent (%) estimate

%

Questions 7, 8 and 9 enable a household hunger score (HHS) to be calculated in areas where food insecurity is greatest. Answer the following questions using the key below

Key - 0=never, 1=rarely (1-2 times), 2=sometimes (3-10 times) and 3=often (more than 10 times)

7. In the past month how often was there no food to eat because of lack of resources to get food?

8. In the past month how often did any HH member go to sleep hungry due to lack of food?

9. In the past month how often did any HH member go a full day and night without eating?

Answer either, 0, 1, 2 or 3 for questions 7-9 (see key above)

10. How has [Company Name]'s operation affected your household's overall food security?

-1= Better; 0= No change or don't know; 1 = Worse

NOTE: Please enter a negative number (-1) if the operation has improved local food security.

11. Explain if the local community's food security situation has changed and the reasons for the change in the household's food security status since [Company Name] started operations?

<p>How household food security has changed</p> <p><i>(eg less/more food production at home, more/less food purchases, fewer/more meals, more/less days hungry)</i></p>	<p>Reasons for the change in household food security</p> <p><i>(eg company providing employment, other income-earning activities, good/bad crops/weather, higher/lower food prices, etc)</i></p>

12. Are you happy to have [Company Name] operating in your area?

No=0 Yes=1 Don't Know=2**

Annex 2: Minimum Sample Sizes for Survey Questions⁶

The household survey should cover at least the primary catchment area (i.e. area of influence) of the agriculture or biofuel operations. It may also include some population centers in the secondary catchment area that are deemed to be at risk of food insecurity or social impacts. It would be useful to stratify the households into livelihood and income groups if such information is available (e.g.

from village leaders). This would help ensure a more statistically reliable sample of the population.

A team of trained evaluators and translators should conduct the survey. The household head is normally interviewed, but the interviewer should encourage female members of the household to attend as they are often in control of food provision within the household.

Key informants are those people most likely to be able to provide a reliable picture of how people live in the locality, especially with regard to the information required for the FSA.

Key informants should include at least one of each (if available/present): long-term residents, village leaders, local

NGO staff, local government staff, agricultural extension staff, and/or farmers and traders.

Size of Operation	Household no in catchment area	Minimum Sample size for Screening
Large estate <i>>10,000 ha</i>	20,000	75
	10,000	60
	5,000	50
	2,000	40
	1,000	30
Medium estate <i>3,000 ha - 10,000 ha</i>	20,000	60
	10,000	50
	5,000	40
	2,000	30
	1,000	20
Small estate <i>500 ha - 3,000 ha</i>	<i>na</i>	<i>Key informants (at least 10) and focus groups</i>
Large Biomass Processor <i>>500,000 MT of total feedstock</i>	20,000	75
	10,000	60
	5,000	50
	2,000	40

⁶The sample sizes indicated above are based on recommended sample sizes for sentinel (i.e. monitoring) surveys described in the Food Security Impact Assessment (RSB-GUI-006-01).

	1,000	30
Medium Biomass Processor <i>>50 - 500,000 MT of total feedstock</i>	20,000	60
	10,000	50
	5,000	40
	2,000	30
	1,000	20
Small Biomass Processor <i><= 50,000 MT of total feedstock</i>	<i>na</i>	<i>Key informants (at least 10) and focus groups</i>
Micro Feedstock Processor <i><= 5,000 MT of total feedstock</i>	<i>na</i>	NA – No surveys required.
Large Biofuel/Biomaterial Producer <i>> 100 million liters/year</i>	20,000	75
	10,000	60
	5,000	50
	2,000	40
	1,000	30
Medium Biofuel/Biomaterial Producer <i>10-100 million liters/year</i>	20,000	60
	10,000	50
	5,000	40
	2,000	30
	1,000	20
Small Biofuel/Biomaterial Producer <i>1-10 million liters/year</i>	<i>na</i>	<i>Key informants (at least 10) and focus groups</i>
Micro Biofuel/Biomaterial Producer <i><=1 million liters of biofuels/year</i>	<i>na</i>	NA – No surveys required.

Notes Page (if required)