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# Assurance Scheme

**Sustainable Rice Platform**



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### Authors

This document has been prepared by the Sustainable Rice Platform (SRP) team led by UN Environment, International Rice Research Institute (IRRI), and Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ), and supported by the SRP Working Group on Farmer Support, Performance Measurement, and Assurance, following extensive consultation with SRP members, external stakeholders, and key contributions by GLOBALG.A.P.

### Disclaimer

The views expressed in this document are those of the authors and may not in any circumstance be regarded as representing an official position of the organizations involved.

### Transition rules

The SRP Assurance Scheme v 1.3 will come into force from 1 September 2020 and replaces all previous versions.

### About the Sustainable Rice Platform (SRP)

Replace with: 'SRP is a global multi-stakeholder alliance launched in 2011 by UN Environment Programme and the International Rice Research Institute, comprising over 100 institutional stakeholders, including public and private sector stakeholders, research, financial institutions and NGOs. SRP promotes resource-use efficiency and climate change resilience in rice systems (both on-farm and throughout value chains) and pursues voluntary market transformation initiatives by developing sustainable production standards, indicators, incentive mechanisms, and outreach mechanisms to boost wide-scale adoption of sustainable best practices throughout rice value chains. SRP's goal is to minimize environmental impacts of rice production and consumption while enhancing smallholder incomes and contributing to food security.'

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## GLOSSARY

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<b>ASP</b>	Assurance Service Provider
<b>GFN</b>	Global Farm Number
<b>GIZ</b>	Gesellschaft für Internationale Zusammenarbeit GmbH (German Agency for International Cooperation)
<b>GLN</b>	Global Location Number
<b>GLOBALG.A.P.</b>	Global good agricultural practices, global farm assurance program
<b>IFA</b>	Integrated Farm Assessment (Standard used by GLOBALG.A.P.)
<b>IFOAM</b>	International Federation of Organic Agriculture
<b>ILO</b>	International Labour Organization
<b>IMS</b>	Internal Management System
<b>IRRI</b>	International Rice Research Institute
<b>ISEAL</b>	International Social and Environmental and Labelling Alliance, a body that represents the global movement of sustainability standards
<b>PHU</b>	Produce Handling Unit
<b>PI</b>	SRP Performance Indicators
<b>RA</b>	Rainforest Alliance
<b>SAN</b>	Sustainable Agriculture Network
<b>SRP</b>	Sustainable Rice Platform
<b>UTZ</b>	A sustainable farming certification scheme, now merged with RA
<b>UNEP</b>	UN Environment Programme
<b>VB</b>	Verification Body



## 1. INTRODUCTION

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### 1.1. Background

- 1.1.1. The Sustainable Rice Platform (SRP) is a global multi-stakeholder alliance with over 100 institutional members led by UN Environment Programme (UNEP) and the International Rice Research Institute (IRRI), together with partners from the public and private sectors, research, nonprofit organizations and the international development community.
- 1.1.2. Established in 2011, the SRP aims to secure adoption of sustainable farming practices among at least 1 million rice farmers by 2023. In 2015 the SRP launched the world's first global Standard for Sustainable Rice Cultivation, which provides a working definition of sustainability in any rice system and allows sustainability scoring at farm level. In addition, a linked set of SRP Performance Indicators (PI) enable collection of farm data to quantify and verify improvements and impacts.
- 1.1.3. The SRP Assurance Scheme is based on the SRP Standard and Performance Indicators in order to underpin verifiable sustainability claims for rice produced using proven, climate-smart sustainable best practices.

### 1.2. Scope

- 1.2.1. This SRP Assurance Scheme defines rules for actors engaged in measuring compliance or demonstrating improvements, providing demonstrable evidence of compliance with the SRP Standard and Performance Indicators and the use of SRP trademarks (Claims, Logos or Label) upon achieving assurance. The SRP Assurance Scheme focuses on verification, is built on a strong internal assessment and provides registration and self-assessment as a starting point. The SRP Assurance Scheme encourages innovative remote/landscape assessments, participatory schemes, individual producer assessments and producer group schemes using Internal Management Systems (IMS).

### 1.3. Roles in the Assurance Scheme

- 1.3.1. Key actors and their roles in delivering the Assurance Scheme are introduced below:
- **Producers:** individuals or entities legally responsible for production of the rice sold by those individuals or businesses and who are eligible to apply for SRP evaluation under the Scheme.
  - **SRP Secretariat:** responsible for managing SRP's activities and programmes under the strategic oversight of the SRP Executive Board.
  - **Assurance Service Provider (ASP):** organization mandated by SRP to operate the SRP Assurance Scheme. GLOBALG.A.P. serves as SRP's only ASP.
  - **Data Collector:** responsible for collecting registration and self-assessment data from producers and uploading to the SRP database. A data collector may be a farm assurer, a research institute, company, extension worker, project owner, group manager or miller
  - **Verification Body (VB):** responsible for inspection of producers according to the SRP Standard. VBs may have a relationship with the producer (Second party) or be fully independent (Third party) and must operate only with ASP-approved inspectors according to the qualification requirements defined in this document (Annex 4).

### 1.4. Development and delivery

- 1.4.1. The SRP Assurance Scheme is based on the outcomes of field pilots including test audits conducted by SRP members in a number of rice-growing countries. SRP has authorized GLOBALG.A.P. to manage the Scheme as SRP's authorized Assurance Service Provider (ASP).

### 1.5. Parallel revision of the SRP Standard and Performance Indicators (PI)

- 1.5.1. Revision of the SRP Standard and PIs was conducted in parallel to the development of the SRP Assurance Scheme, in order to ensure close alignment and to maximize the complementarity of these tools in creating economic benefits for farmers. Demonstrating these economic benefits will be fundamental to driving wide-scale adoption of best practices beyond the scope of commercial assurance/verification.

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**1.6. A collaborative, consultative and consensus-based drafting process**

- 1.6.1. The Assurance Scheme was developed with ISEAL Guidelines as a reference in line with ISEAL guidelines by SRP's Working Group on Standards, Assurance and Impact, as mandated by the SRP's Advisory Committee. The Working Group convened in February 2017 and brought together representatives from Control Union, Ebro Foods, GIZ, GLOBALG.A.P., IRRI, NEPCon, Mars Food, PRIME Agri, Rikolto, Syngenta, UNEP, UTZ, VSR Rice, WCS Cambodia, Winrock and WWF Pakistan. A workshop in May 2017 brought together Working Group members to discuss the broad framework and scope of the Scheme, including rules and processes for accreditation of verification/certification bodies, auditor qualifications and group internal control systems. A first draft of the assurance framework was shared with external stakeholders for review.
- 1.6.2. Following the recommendations of a SRP Strategic Visioning Workshop in May 2018 the focus of the Assurance Scheme shifted from certification to verification.
- 1.6.3. GLOBALG.A.P. provided further technical specification in 2019, with an updated draft published for a 30-day online public consultation on 23 March to 22 April 2020. Over 200 comments were received from Control Union, Foodtech Solutions, NEPCon and Oxfam; responses are incorporated in the current document. All comments and responses are documented and publicly accessible. The SRP Executive Board endorsed the SRP Assurance Scheme Version 1.3 in August 2020

## 2. SRP ASSURANCE SCHEME: GENERAL PRINCIPLES

### 2.1. Ownership

- 2.1.1. The SRP retains ownership of the SRP Assurance Scheme, Standard, Performance Indicators and related trademarks via its legal entity (Sustainable Rice Platform e.V., registered in Germany). The SRP has authorized GLOBALG.A.P. as its Assurance Services Providers (ASP) to manage implementation of the Scheme. However, SRP reserves the right to access data and to conduct integrity audits as well as the rights in its trademarks and brand.
- 2.1.2. End-users of the SRP-Verified Label need not be SRP members, and may use the on-pack SRP-Verified Label in accordance with the SRP Member Communication and Claim/Logo/Label Guidelines (Annex 7) provided they can prove the rice was produced by an SRP member. Any use of the SRP name or trademarks is strictly limited to the rights granted under section 13 and must comply in any case with the SRP Member Communication and Claim/Logo/Label Guidelines (Annex 7).

### 2.2. Costs and fees

- 2.2.1. SRP's costs related to the SRP Assurance Scheme are met through contributions from SRP annual membership dues, SRP training fees and system fees defined in Annex 6. Verification Bodies (VBs) are free to negotiate their own fees for inspections and other services. In addition, it should be noted that membership dues are waived for farmer organizations.
- 2.2.2. Sharing of data and information are essential to the effective functioning of the SRP Assurance Scheme, as illustrated below in Figure 1. This diagram highlights the responsibilities as well as fees that may be charged by the respective actors. For details on fees please refer to Annex 6.

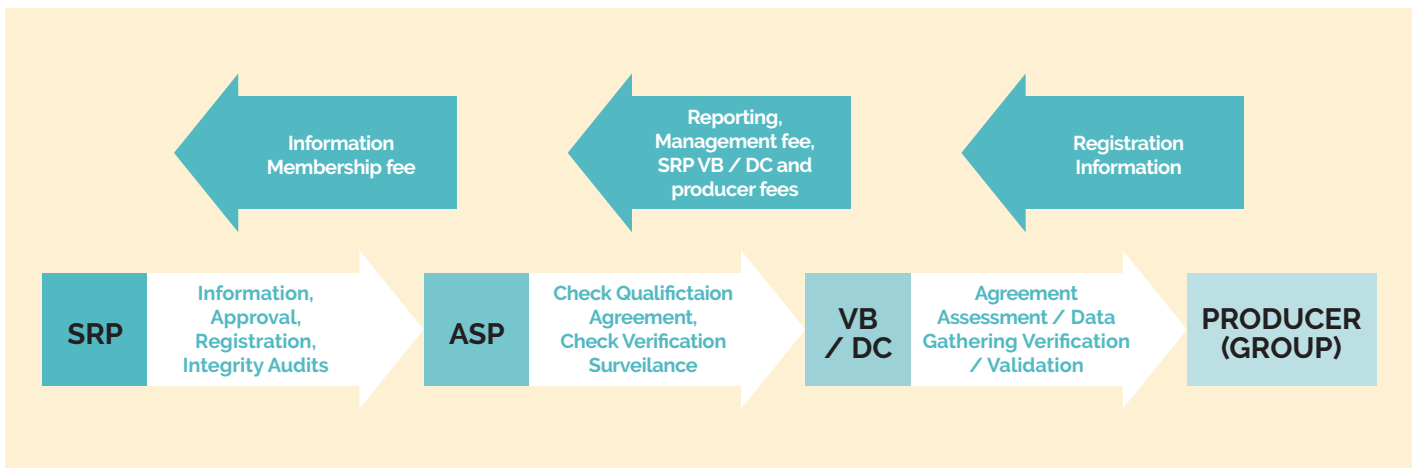


Figure 1: Responsibilities, fees and information flow among key actors



### 2.3. Verification

2.3.1. Verification can be carried out by second or third-party verification bodies whose auditors fulfill the qualification requirements defined in this document.

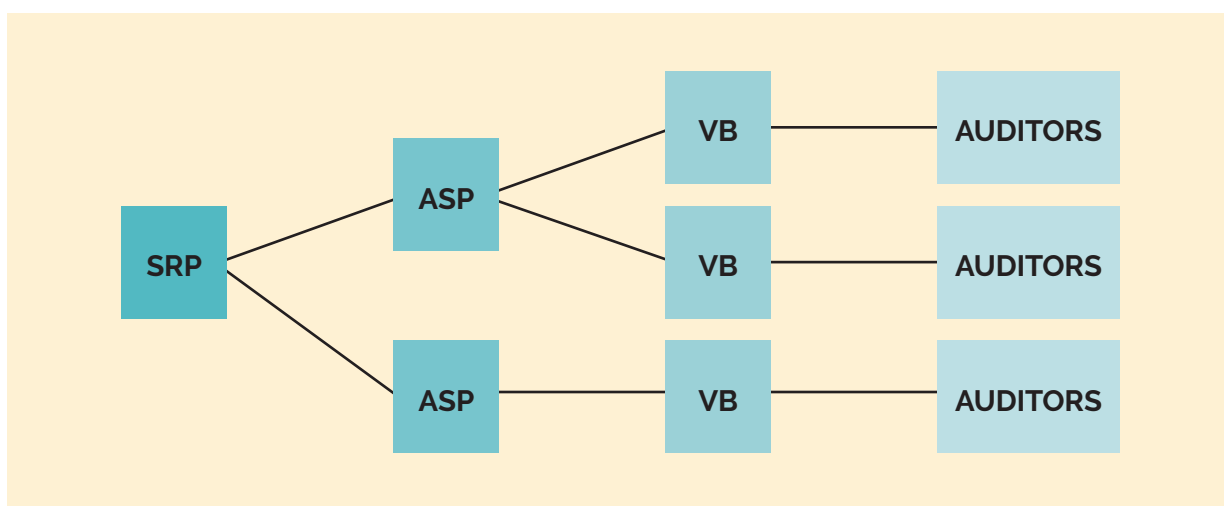


Figure 2: Relationship between SRP, ASP, VBs and auditors

2.3.2. It is envisaged that third-party verification will best meet the needs of traders and retailers for a transparent, credible and cost-efficient verification system, though larger producers and producer groups requiring independent verification may also pursue this approach. Otherwise these fees may be covered by traders or external entities. Third-party verification offers a higher degree of transparency and credibility often sought by traders and retailers. Larger producers and producer groups requiring independent verification will also pursue this approach. Fees derived from this type of verification may also be covered by traders or external entities.

## 3. SRP PRODUCERS

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### 3.1. Individual producers and producer groups

3.1.1. Individual producers and producer groups may register to participate in the SRP Assurance Scheme, as follows:

- **Producer:** an individual grower or single organization with several production sites that do not function as separate legal or management entities. In the case of individual producers with multiple sites who have implemented an Internal Management System to cover all sites, the same sampling rules applicable for producer groups apply also to them, i.e. it is not mandatory to inspect all producer's sites. In this case inspection is only required of the IMS and a sample of the sites under common management.
- **Producer Group:** Company with the legal right to carry out agricultural production and/or trading and to represent a group of growers and their production. The group is, after the SRP verification, the holder of the SRP verification letter which would cover all the group members in SRP. These may include Farmer Organizations producing SRP rice, or a miller with contract farmers. Producer Groups participating in the SRP Scheme must run Internal Management Systems (IMS) for the implementation of the SRP Standard requirements.

### 3.2. Requirements for Internal Management Systems (IMS)

3.2.1. SRP has developed an Internal Management System (IMS) Standard as a separate normative document. Compliance with the requirements defined for IMS is mandatory for all producer groups and all multi-site operations which implement an IMS. These requirements are summarized below:

- Each farmer group member has received relevant training in implementing the SRP Standard. This training may be provided internally by a competent person within the IMS. Training records with dates and descriptions must be maintained.
- Each farmer group has assigned a responsible individual who defines and coordinates the Internal Management System (IMS) protocol and related procedures.
- The person who has been assigned the responsibility for the IMS must ensure that all members are in compliance with IMS requirements and the SRP Standard. This individual is also responsible for leading the implementation of an improvement plan if needed.
- An IMS team is established with clear separation of roles (overall management, training, internal audits, compliance decision taking, purchasing, etc.) Some of these roles may be carried out by the same person provided there is no conflict of interest, whether actual or perceived (e.g. internal auditing and purchasing).
- Each member of the group gives written consent to participate as a member of the group. Consent declarations, including dates and descriptions, must be retained on file.
- Each member is aware of the benefits and responsibilities of group membership.
- The IMS team must guarantee that the IMS is internally evaluated and that all producer group members receive internal inspections or conduct self-assessments according to the frequency defined by the SRP Assurance Scheme.
- The producer group shall establish a clear and credible grievance procedure for members in case of dispute. This procedure shall ensure that member complaints are received, registered, identified, investigated, followed up and reviewed.
- Producers removed from group membership by decision of the IMS have the right to appeal the decision, following the producer group's stipulated grievance procedure.
- The IMS must be evaluated by Verification Body auditors using the SRP IMS checklist.

## 4. REGISTRATION RULES

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### 4.1. Obligations of producers and producer groups

- 4.1.1. Participation in the SRP Assurance Scheme begins with a public commitment by producers or producer groups to work with the available SRP tools such as training, as well as the Standard or Performance Indicators.
- 4.1.2. The applicant shall ensure that the Data Collector or VB selected is approved by the ASP for SRP services. In case of Assurance Level 1 (Self-Assessment), the Data Collector registers the producer or producer group in the SRP Database managed by the ASP. Data Collectors are also responsible for all data updates. (See Data Collector definition in Chapter 1 for types of organization eligible to serve in this role).
- 4.1.3. In case of Assurance Levels 2 and 3 the selected VB is responsible for registration of the applicant producer in the SRP database, as well as for data updates. The VB may set its own fees for its services (e.g. inspection, file management). Fees are paid annually.
- 4.1.4. All participating producers must be registered in the SRP database with their individual or aggregated data (as preferred by the applicant) which reflects their participation in the program, irrespective of assurance level. Confirmation of registration is provided to eliminate duplication.
- 4.1.5. An applicant producer/producer group may not register the same members/sites with different Data Collectors/VBs or under different SRP levels. However, a multisite/producer group may register different sites/members under different levels (e.g. when some members are moving from level 2 to level 3) and/or with different verification bodies (e.g. when one VB is only offering third-party verification and in the group some members need second-party verification).
- 4.1.6. For registration to be completed, the applicant must satisfy all the following conditions:
- (i) Submit the application to the Data Collector or VB, together with all required documentation (see Annex 2).
  - (ii) Sign acceptance of the latest version of the SRP Registration (Sublicense) Agreement (available at the GLOBALG.A.P. website).
  - (iii) Be assigned a SRP Assurance Number (SRP Global Farm Number, GFN).
- 4.1.7. The registration process must be finalized before inspection can proceed.
- (i) For first registration, the Data Collector/VB must confirm the application and provide the applicant with the SRP GLOBAL FARM NUMBER Number (SRP GFN) within 28 calendar days of receiving the complete application.
  - (ii) Producer group members are not allowed to leave the group and register with another group (for the products registered) if there is any pending sanction on the producer issued by the group, or if there are any unresolved issues relevant to the producer raised by the VB. These sanctions must be resolved before the producer may transfer to another group.

## 5. THREE OPTIONS FOR SRP ASSURANCE

### 5.1. Overview

- 5.1.1. The SRP Assurance Scheme offers three levels of assurance to support a broad range of users (Table 1). Clients are free to opt for the level that best suits their needs and resources.
- 5.1.2. The Scheme does not currently offer certification, instead focusing on self-assessment and verification by second and third parties, with verification offering broadly similar benefits to certification at lower cost.
- 5.1.3. The characteristics of the three available assurance levels (1-3) are summarized in Table 1 below.

Table 1: SRP Assurance Scheme - Three options for assurance

	LEVEL 1 Self Assessment		LEVEL 2 2nd Party Verification		LEVEL 3 3rd Party Verification	
	Indiv. Producer	Producer Group	Indiv. Producer	Producer Group	Indiv. Producer	Producer Group
<b>Registration in Database</b>	Data Collector		Verification Body		Verification Body	
<b>Self-assessments or internal inspections / year</b>	Yes	<ul style="list-style-type: none"> <li>• IMS</li> <li>• Producer (N) self-assessment / internal inspection sample:               <ul style="list-style-type: none"> <li>- First year: 100%</li> <li>- Subsequent years: at least: 33%</li> </ul> </li> <li>- All producers internal inspection at least every 3 years</li> </ul>	Yes	<ul style="list-style-type: none"> <li>• IMS</li> <li>• Producer self-assessment / internal inspection sample:               <ul style="list-style-type: none"> <li>- First year: 100%</li> <li>- Subsequent years: at least 33%</li> </ul> </li> <li>- All producers internal inspection at least every 3 years</li> </ul>	Yes	<ul style="list-style-type: none"> <li>• IMS</li> <li>• 100% Producers undergo internal inspections by the IMS team.</li> </ul>
<b>External inspection</b>	No	No	Yes	Yes	Yes	Yes
<b>Inspector qualification</b>	NA	NA	2nd party inspector		3rd party inspector	
<b>Scope of annual external insp.</b>	NA	NA	100% production sites	<ul style="list-style-type: none"> <li>• IMS</li> <li>• Producer (N) sample:               <ul style="list-style-type: none"> <li>- First year: Square root of N</li> <li>- Subsequent years: at least 50% of square root of N</li> </ul> </li> </ul>	100% production sites	<ul style="list-style-type: none"> <li>• IMS</li> <li>• Producer (N) sample:               <ul style="list-style-type: none"> <li>- First year: Square root of N</li> <li>- Subsequent years: at least 50% of square root of N</li> </ul> </li> </ul>
<b>Duration of external insp.</b>	NA	NA	1 day	<ul style="list-style-type: none"> <li>• 1 day for IMS</li> <li>• 1 day for around 4 producers in the sample</li> </ul>	1 day	<ul style="list-style-type: none"> <li>• 1 day for IMS</li> <li>• 1 day for around 4 producers in the sample</li> </ul>
<b>Unannounced inspections</b>	No	No	No	No	Yes	Yes
<b>Number of unannounced insp.</b>	NA	NA	NA	NA	Additional 10%	Additional 10%

## 6. ASSURANCE LEVEL 1 - SELF-ASSESSMENT

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### 6.1. About Level 1

- 6.1.1. Self-assessment offers an approach to facilitate assurance at low cost and large scale. Level 1 assurance allows producer groups or SRP members working with producers to conduct self-assessments without external verification, as a means of internally monitoring performance and progress. No external claims are permitted under Level 1.
- 6.1.2. Self-assessment is conducted by producer groups, producers themselves or an appointed individual. Assurance Level 1 is intended for users such as national governments aiming to boost the overall rice industry in their countries, or as a means of supporting national policy goals e.g. on food and water security, or climate change.
- 6.1.3. Level 1 assurance is appropriate as a tool for development projects where farmer livelihoods, environmental and climate benefits and support for SDGs, rather than market factors, are the principal drivers of change.
- 6.1.4. Level 1 relies upon careful self-assessments and the use of Information Communication Technology (ICT) tools as available. In the case of groups of farmers, peer-to-peer assessments and internal audits as part of an Internal Management System (IMS) offer the key to efficient self-assessment. Adherence to the rules of the IMS (also referred to as the IMS protocol) must be well documented.

### 6.2. Scope

- 6.2.1. All self-assessments must be conducted using a checklist covering all elements of the SRP Standard.

### 6.3. Assessment Frequency

- 6.3.1. Self-assessments must be conducted within the 12 months following date of registration in the SRP system. Assessments are valid for 12 months from the day of inspection and must be renewed annually.
- 6.3.2. The Data Collector must upload the results of self-assessments (checklist) to the SRP database.

### 6.4. Self-assessment in Producer Groups – Sampling rules

- 6.4.1. Establishment of an Internal Management System (IMS) is key in producer groups conducting self-assessments. In producer groups the self-assessment is conducted internally by the Group, as follows:
- i. Internal inspection of the IMS standard.
  - ii. Only in the first year of SRP verification for the producer group, internal inspection of 100% of members conducted either by the producer group's IMS team, by producers' peers or self-assessed by each producer member.
  - iii. During consecutive years the audit intensity may become more focused on members with a higher risk of non-compliances or missed thresholds. Therefore, subsequent consecutive audits may be conducted on less than 100% of the registered members. However, a minimum of 33% of group members shall be assessed every year and all producers must be assessed internally at least once every 3 years.
- 6.4.2. The producer group must maintain records of self-assessments/internal inspections with dates and descriptions.
- 6.4.3. In the case of groups, the Data Collector must upload a Producer Group Checklist on the SRP Database containing a summary of results of the member self-assessments.
- 6.4.4. Producers/producer groups may use the internal audits or self-assessment as a preparation for external inspection.

## 7. ASSURANCE LEVEL 2 - SECOND-PARTY VERIFICATION

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### 7.1. About Level 2

- 7.1.1. Second-party verification is an evaluation carried out by an external Verification Body linked to producers or producer groups. These second-party VBs may be implementing partners such as farm assurers also responsible for data collection or companies, research institutes, extension workers, project owners, NGOs, traders or millers.
- 7.1.2. Third-party verification bodies may also conduct Level 2 verifications. These VBs could also conduct level 3 verification for that same producer/producer group as long as they do not provide consultancy services to the producers and the impartiality of their verification is guaranteed.
- 7.1.3. Organizations acting as second-party VBs (e.g. a miller) may also act as Data Collectors (assurance level 1) for other producers/producer groups.
- 7.1.4. Level 2 assessment actors may play an advisory as well as a prescriptive role, i.e. apart from evaluating compliance may also advise the producer on weaknesses and opportunities for improvement.

### 7.2. General rules

- 7.2.1. Second-party inspections may only be conducted by a VB inspector complying with the qualification requirements set for second-party inspectors as specified in this Assurance Scheme (see Annex 5).
- 7.2.2. During the application phase, the VB shall verify the information declared by the producer in the application form, including any potential previous producer registration to avoid duplication on the SRP database.
- 7.2.3. The VB may conduct a remote review of compliance with certain SRP requirements that can be assessed electronically using ICT tools or via document submission. In this case, evaluation must be performed by the same SRP inspector who will conduct the onsite inspection.
- 7.2.4. Verification will be valid for 12 months from the date of the verification decision. This is the date of approval by the VB reviewer.

### 7.3. Self-assessments/internal inspections

- 7.3.1. Individual producers shall conduct self-assessments/peer-to-peer assessments before the initial second-party verification and thereafter every year always before the external inspection.
- 7.3.2. Producer groups shall conduct:
  - i. Internal audit of the IMS standard before the initial inspection and then annually always before the external second-party inspection.
  - ii. Internal producer assessments:
    - a. Initial (first year) SRP verification: 100% of members registered for SRP verification;
    - b. Subsequent years: of a minimum of 33% of members registered for SRP verification

These internal assessments may be conducted by IMS internal inspectors, by producers' peers or self-assessments by the producers themselves.

- 7.3.3. The sample of internal producer assessments can be reduced below 100% in subsequent verifications provided that:
- The results of the internal evaluation of the IMS do not flag significant violations or non-compliance issues; and
  - The previous results of the producers' self-assessments demonstrate compliance with the essential performance levels (mandatory thresholds) for requirements necessary to achieve the claim "working toward sustainable rice cultivation" (see SRP Standard).



7.3.4. In the case that not all producers are internally assessed every year, the producer group shall take measures to guarantee that all producer members receive an internal inspection/peer-to-peer inspection/ self-assessment at least every 3 years.

#### **7.4. Scope of second-party inspection**

7.4.1. All second-party Level 2 inspections must be performed using a SRP checklist covering all elements of the SRP Standard.

7.4.2. For individual producers, verification must cover all production sites to verify compliance with the requirements defined in the SRP Standard.

7.4.3. For producer groups, verification must consist of annual inspections of:

- The group's Internal Management System (IMS)
- Inspection of a sample of group members and their production sites.

7.4.4. The minimum number of producers to be inspected in the initial external inspection is the square root of the total number of SRP-registered producers in the group. This sampling intensity may be reduced or intensified during subsequent external audits, based on the following factors, which must also be considered by the VB when selecting producers to be inspected as part of the sampling:

- Results of previous assessments
- Farm size
- Change of farm location and/or management
- Non-compliance detected by the IMS
- Customer complaints related to compliance with the SRP Standard
- Significant differences between the results of internal and external assessments.
- Extraordinary climatic conditions
- Score of compliance with the SRP Standard
- Multiple rice harvests during a single calendar year
- Significant farm land/group member increases
- Structural changes or changes in product technology
- Producers who have not yet been externally assessed
- New producers joining the group.

7.4.5. In any case, the minimum number of group members to be inspected by a second party for the verification of a producer group in subsequent years is 50% of the square root of the total registered group membership.

#### **7.5. Inspection duration**

7.5.1. Sufficient time must be allocated to allow the auditor/inspector to inspect all applicable SRP Standard requirements.

7.5.2. Typically, onsite inspections for individual producers require an average 1 day for large farms (above 10 hectares) in order to effectively assess an organization's systems and premises and provide confidence in the verification process. The actual duration will of course depend upon specific conditions (e.g. organisation, preparation, access, weather, etc.).

7.5.3. In the case of a group of smallholder farmers (below 10 hectares, most commonly below 2 hectares) with an internal management system (IMS), a minimum of 1 day is also typically required for an onsite audit to assess the group management structure and IMS internal audit results. This shall be followed by a visit to a sample of group members selected by priority according to risk of missed mandatory thresholds. In this case inspections of group members will usually have a shorter duration than for individual producers because some of the requirements will already have been assessed at IMS level and/or are common for all group members. This can allow completion of 4 or more producer inspections per day.

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**7.6. Inspection timing and frequency**

- 7.6.1. The verification inspection must be conducted at a moment when it is possible to assess compliance with all requirements of the SRP Standard, either via documentation, visually or through interviews with the producer.
- 7.6.2. Considering that the SRP Standard deals with the production of a mostly seasonal product and will therefore require flexibility in audit timing, verification bodies may use the inspection window of 8 months around the verification date to carry out the re-assessments. This 8-month inspection window corresponds to the 4 months before expiry of the previous verification and 4 months following it.
- 7.6.3. Producers under verification must apply every year to the VB in order to renew their verifications. There shall be a minimum period of 8 months between 2 inspections for renewal.

## 8. ASSURANCE LEVEL 3 - THIRD-PARTY VERIFICATION

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### 8.1. About Level 3

- 8.1.1. Third-party verification is an evaluation carried out by an independent external VB with no link with the producer or producer group. Level 3 is considered the highest level of SRP assurance in terms of impartiality.
- 8.1.2. All reports from third party verification must be approved by a reviewer independent from the inspector conducting the verification within 28 days following the date of inspection.
- 8.1.3. Third party verification may be done by inspection bodies and certification bodies approved as SRP Verification Bodies (VBs) by the Assurance Service Provider (GLOBALG.A.P.).
- 8.1.4. Upon successful verification, the VB will issue a SRP Verification Statement that specifies the performance of the producers including compliance score, compliance status, verified volume, permitted claims and traceability level.

### 8.2. General rules

- 8.2.1. Level 3 inspections may only be carried out by a VB inspector complying with the qualification requirements for third-party inspectors specified in Annex 4 of this SRP Assurance Scheme.
- 8.2.2. During the application phase, the VB shall verify the information declared by the producer in the application form, including any potential previous producer registration to avoid duplication on the SRP database.
- 8.2.3. The VB may perform a remote review of compliance with certain SRP requirements that can be assessed electronically using ICT tools or via document submission. In this case, evaluation must be performed by the same SRP inspector who will conduct the onsite part of the inspection.
- 8.2.4. Level 3 verifications are valid for 12 months from the date of closure of the inspection report, which will always be the date of approval by the VB reviewer.

### 8.3. Self-assessments/internal inspections

- 8.3.1. Individual producers shall conduct peer-to-peer inspections/self-assessments before the initial third-party verification and thereafter every year, always before the external inspection.
- 8.3.2. Producers groups shall conduct:
- i. Internal audit of the IMS standard before the initial inspection and thereafter annually always before the external second-party inspection.
  - ii. Internal producer assessments on 100% of group members registered for SRP verification irrespective of whether it is initial or subsequent verification. These internal producer assessments may be conducted by IMS internal inspectors, by producers' peers or be self-assessments by performed by the producers themselves.

### 8.4. Scope of third-party inspection

- 8.4.1. All third-party level 3 inspections shall be conducted using a SRP checklist covering all elements of the SRP Standard.
- 8.4.2. For individual producers without IMS, Level 3 verification must cover all production sites to verify compliance with the requirements defined in the SRP Standard.
- 8.4.3. For producer groups, Level 3 verification consists of annual inspections of:
- The group's Internal Management System (IMS).
  - Inspection of the square root of group members registered for SRP and their production sites.

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8.4.4. The size of the sample of group members to be inspected in subsequent verifications may be increased or decreased based on the same factors identified for second-party verification (7.4.4.). However, the minimum sample size must never be below 50% of the square root of the registered group membership.

8.4.5. In order to allow sampling size reduction, the minimum score in IMS audit shall be 75%.

8.4.6. A maximum of 2 days prior notification shall be given by the VB to the producer group identifying the members selected.

## **8.5. Inspection duration**

8.5.1. Estimated duration of inspections will be as for second-party verification (7.5).

## **8.6. Inspection timing and frequency**

8.6.1. Estimated timing and frequency of inspections will be as for second-party verification (7.6).

8.6.2. Irrespective of the defined minimum audit frequency, the VB may undertake additional unannounced surveillance audits if there is evidence or suspicion of missed thresholds within an organization (see section 13), especially if this may affect the right to use SRP Claims or Label on product packaging. The audit shall focus on assessment of any specific SRP requirements where mandatory thresholds may be missed; i.e. full inspections of all control points will not normally be required. Audit costs will be charged to the organization. Such audit process will refer to section 8.7 and will be treated as an unannounced inspection.

## **8.7. Unannounced inspections**

8.7.1. In order to offer a greater degree of assurance during the validity of the verification, the VB must conduct unannounced inspections amongst producers with a current verification. Every year, the VB must carry out unannounced inspections of a minimum of 10% of all individual producers plus 10% of producer groups the VB has verified during the 12 months of validity. If the VB has 10 or fewer individual verified producers, at least one producer shall be inspected; if the VB has 10 or fewer producer groups, at least one shall be audited annually.

Example 1: A VB which has verified 600 individual producers must conduct an additional 60 inspections (10% of 600) selecting some of these producers for a second time during the year.

8.7.2. Unannounced inspections are additional to the regular inspections and must be conducted with at least a 1-month interval between inspections.

8.7.3. Unannounced inspections of producer groups will only cover additional producer inspections, i.e. no IMS audit. The size of the sample of producers to be inspected must correspond to half of the square root (rounded up) of the total SRP-registered group members.

Example 2: A VB which has verified 50 producer groups must conduct additional 5 producer group inspections (10% of 50) selecting some of these producers for a second time during the year.

Example 3: One of the groups selected for the unannounced inspection has 500 members, therefore the VB must inspect 50% of the square root, i.e. 12 producers.

8.7.4. The VB shall base the selection of producers/producer groups to be subject to unannounced inspection on a risk evaluation, considering factors such as continuous improvement, compliance history, changes in the operation, be representative for all the regions/countries where the VB has verified producers, etc.

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- 8.7.5. VBs may notify producers ahead of the intended visit. However, no more than 2 days' notice may be given before the planned inspection date. In the exceptional case where for well-justified reasons it is impossible for the producer to accept the proposed date, the producer will receive one more chance to be informed of an unannounced inspection. The producer shall receive a written notification if the first proposed date has not been accepted and will be given another 48-hour notification of a visit. If the visit cannot take place for non-justifiable reasons, SRP may revoke the producer's rights to use SRP-Verified Label and/or Claims.
- 8.7.6. Unannounced inspections must be performed using a complete SRP checklist containing all elements of the SRP Standard.
- 8.7.7. Reports, verifications and scoring systems must clearly state whether inspections are announced or unannounced.

## 9. ADDITIONAL RULES FOR EVALUATION OF PRODUCER GROUPS AND IMS

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The following rules apply to all producer groups and IMS evaluation irrespective of the assurance level:

### 9.1. Evaluation of Internal Management Systems (IMS)

- 9.1.1. The evaluation process is designed to establish that the IMS implemented by the SRP producer group, including self-assessments and internal inspections, is effective in meeting the requirements of the SRP Assurance Scheme.
- 9.1.2. The evaluation process requires sampling of IMS components, comprising documentation, sites, personnel and operations declared by the group to be relevant to the operation and administration of the IMS for implementation of the SRP Standard by the producer group.
- 9.1.3. IMS verification will normally be performed at the producer group's central office/administrative center.
- 9.1.4. As part of the IMS verification, the results of the external and internal audits must be compared to assess whether the applicant's internal controls are appropriate.

### 9.2. Evaluation of a sample of producer group members

- 9.2.1. After determining the minimum number of producers to be assessed in a producer group, the VB must select which producers are inspected according to a risk evaluation. This risk evaluation must be taken into consideration as in 7.4.4.
- 9.2.2. Irrespective of the defined minimum audit frequency, the VB may undertake additional surveillance audits if there is evidence or suspicion of missed mandatory thresholds within an organization, especially if this may affect the right to use SRP Claims or Label product packaging. Verification costs will be charged to the organization.



## 10. AUDIT REPORTING

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- 10.1.1. The audit report results in an overall score of compliance with the SRP Standard, and lists missed thresholds; together these help to identify gaps and training needs.
- 10.1.2. The ASP must design and use a SRP-approved audit template, specifying all required information.
- 10.1.3. Audit reports may be written in any language for which an official translated SRP Standard is available. Summaries of reports must be provided in English to the ASP and SRP to enable global data management and reporting.
- 10.1.4. VB inspectors must provide detailed information in their SRP audit reports. Producers' personal data may be anonymized in order to comply with applicable data protection rules. The minimum reporting requirements are:
- (i) Version of the SRP Standard used
  - (ii) Date of inspection
  - (iii) Audit team and team member qualification
  - (iv) Farmer group name and office location
  - (v) Audit duration
  - (vi) List of audited sites
  - (vii) Number of producers audited
  - (viii) Yields and varieties for each site
  - (ix) List of group members indicating farm locations and farm areas
  - (x) Documentation of farmer group training history
  - (xi) Identification of offtakers (for traceability or Chain of Custody)
  - (xii) Audit score
  - (xiii) Audit decision, list of non-compliances (missed thresholds)
  - (xiv) Evaluation result of farmer group management system's internal risk register (if applicable)
  - (xv) List of raised appeals and documented response.
  - (xvi) Signature of inspector and producer. The producer may sign the audit report after the closing meeting in conformity with any observations raised by the VB inspector/auditor.
- 10.1.5. In the case of missed thresholds identified by the auditor, clear and concise details of the missed thresholds must be recorded in the audit report.
- 10.1.6. A digital copy of the verification report (in any language for which an official SRP translation of the Standard exists) must be made available to the ASP and to SRP on the SRP database. It may be used for confidential integrity review. In any case the verification party shall be provided with a copy of the verification report.
- 10.1.7. In the case of third-party verification, the VB must upload the audit report to the GLOBALG.A.P.-SRP Database.

## 11. VERIFICATION DECISIONS ON SRP REPORTS AND APPEALS PROCEDURE

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### 11.1. Verification decisions

11.1.1. VBs must comply with the following minimum SRP requirements relating to issue of verification decisions:

- A clearly defined system is in place for the granting, suspension and withdrawal of verification services by VB for the scope of the SRP Standard.
- All producers wishing to prove compliance with missed thresholds or increase their score after the field inspection and IMS audit must submit a corrective action plan and evidence of its implementation to the VB for verification within 28 calendar days following the inspection closing meeting.
- The VB must verify the improvement plan via further on-site assessment or scrutiny of submitted documentation including updated procedures, records and photographs assessed by a technically competent member or group within the VB.
- All evidence of necessary improvement (passing all thresholds) must be returned, completed and verified by the VB, within a timescale agreed with the VB, before verification of "SRP sustainably cultivated rice" can be awarded (see Claims and Conditions in SRP Standard).
- Each Level 2 or Level 3 assessment report must be reviewed by a VB Reviewer prior to granting verification. This person shall take the final decision to grant the verification. The VB Reviewer must not be the same person who carries out the inspection/audit. This revision process cannot be outsourced.
- The VB must inform the producer and enter the verification decision in the SRP/GLOBALG.A.P. Database within the 28 calendar days following closing meeting of the inspection/audit or submission of the corrective action plan by the producer or producer group.
- To ensure that a VB's Verifier is able to conduct a transparent and comprehensive review of field auditors' reports, the following requirements must be fulfilled:
  - a. Verifiers are impartial and technically capable of understanding the content of reports.
  - b. Reviewers must comply at least with VB auditor requirements.
  - c. All applicable requirements of the SRP Standard have been fully covered.
  - d. The scope of the report covers the SRP Standard and additional requirements applied for by the organization and the report provides satisfactory evidence that all areas within the scope have been fully investigated.
  - e. All missed thresholds have been identified and an improvement plan has been agreed with the VB to address all missed thresholds.

### 11.2. Appeals procedure

11.2.1. The VB must establish a clearly defined and publicly available appeals procedure and ensure its clients are fully aware of the appeal process.

11.2.2. Any complaint or appeal against a VB must follow the respective VB's own complaints and appeals procedure.

11.2.3. In case the VB does not respond adequately, the producer or producer group may elevate the complaint to GLOBALG.A.P. as the ASP, following GLOBALG.A.P.'s own appeals procedure.

## 12. GUIDELINES FOR TRACEABILITY AND CHAIN OF CUSTODY

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### 12.1. Chain of custody models

- 12.1.1. Supply chain organizations other than producers who at any point own SRP rice must be audited and certified against the SRP Chain of Custody Standard in order to be allowed to use SRP Claim and SRP-Verified Label. The SRP Chain of Custody Standard is available as a separate document ([www.sustainablerice.org](http://www.sustainablerice.org)) and sets out the rules and procedures for certification.
- 12.1.2. Chain of Custody inspections shall be conducted by the VB approved for the SRP Chain of Custody Standard.
- 12.1.3. The SRP recognizes three Chain of Custody models: Identity Preservation; Product Segregation and Mass Balance. The three models are described in the following sections.

### 12.2. Identity preservation (IP)

- 12.2.1. The Chain of Custody model ensures that 'Verified SRP Rice' sourced from a verified site is stored separately from rice sourced elsewhere. Identity preservation allows verified products to be uniquely traced from its origin at farm and batch level (sustainability verification holder) to the last point of transformation or labelling of a product (or use of a claim). In the case of SRP, rice products can be traced back to the originating farm. Each link in the chain is audited and physical segregation is ensured at every stage. In this case, a strong claim such as: 'SRP rice from Mr. Noah's verified farm, practicing (or working towards) sustainable rice cultivation' may be made. Even specific statements about a producer's individual level of compliance may be made. Detailed guidance is provided in Annex 7.
- 12.2.2. The system offers major benefits in terms of quality control and food safety, as well as rewarding individual farmers with market recognition. However, Chain of Custody costs based on identity preservation are higher because in most cases the current rice processing infrastructure is not designed to favour this approach.

### 12.3. Product segregation

- 12.3.1. This Chain of Custody model ensures that verified product is kept separate from non-verified sources through each stage of the supply chain, enabling retailers to ensure that the ingredients contained in any product originate from verified sources, though it may not be possible to identify which rice grain came from which verified source. In the case of SRP the product segregation model ensures that rice from a SRP-verified farm or farmer group does not get inter-mixed or co-mingled with produce from non-verified farms. In this case SRP rice can be sold with a claim that the rice is 'SRP rice from verified farms with (or which are working towards) sustainable rice cultivation'. Detailed guidance is provided in Annex 7.

### 12.4. Mass balance

- 12.4.1. Mass balance is an overarching term covering various slightly different types of Chain of Custody which involve balancing volume reconciliation. In the case of SRP, use of Mass Balance is restricted and specified as follows:
- MB should be permitted under the Group Model, allowing sustainability reporting, on-pack and off-pack claims, and in-store promotion.
  - Specific on-pack claims are permitted only in compliance with the ISEAL Chain of Custody Guidance (2016) and the SRP Communication & Claims/Logo/Label Guidelines (Annex 7 to the SRP Assurance Scheme).
  - No on-pack use of the 'SRP-Verified' Label is permitted; on-pack use of the 'SRP-Verified' Label is reserved for IP and Segregation models.
  - No physical blending of SRP-Verified with non-SRP rice is allowed when the SRP-Verified Label is used.
  - Any claims must be ISEAL-compliant, auditable and subject to public scrutiny.
  - In the case of Group-level Mass Balance, time-bound commitments must be provided by the claimant to increase the percentage of SRP-Verified procurement as a proportion of the claimant's total annual procurement.

Further guidance is provided in Annex 7 and the SRP Chain of Custody Standard.<sup>1</sup>

<sup>1</sup>Available at <http://www.sustainablerice.org>

## 13. CLAIMS AND CONDITIONS

### 13.1. SRP name, Logo and Label

- 13.1.1. The SRP name, Logo and Label are registered trademarks of SRP. SRP reserves all rights to the SRP name, Logo and Label not expressly granted under section 13.1.2 to the respective licensee.
- 13.1.2. SRP only grants the respective producer, producer group or supply chain partner ("Licensee") the non-transferable and non-sublicensable right to use the SRP Claims and/or SRP Logo and/or Label in accordance with the relevant terms and provisions of the SRP Assurance Scheme and the SRP Member Communication and Claims/Logo/Label Guidelines (Annex 7). The rights granted to the Licensee under this section 13.1.2 are:
- subject to (i) verification of the Licensee's compliance under the provisions of the SRP Assurance Scheme (including Chain of Custody requirements) and (ii) Licensee's SRP membership.
  - strictly limited to (i) the level of assurance fulfilled by the Licensee (Level 1: self-assessment; Level 2: 2nd party verification; Level 3: 3rd party verification), (ii) – in case of Level 3 – the level of compliance fulfilled by the Licensee (mass balance, product segregation and identity preservation) and (iii) the specific forms of usage as defined in the SRP Membership Communication and Claims/Logo/Label Guidelines (Annex 7) and the SRP Brand Manual 2020 (accessible at [www.sustainablerice.org](http://www.sustainablerice.org)) which is hereby incorporated by reference to the SRP Assurance Scheme.
- 13.1.3. SRP is entitled to revoke the rights granted under this section 13.1.2 at any time in written form if the Licensee's use of the granted rights (i) violates legal requirements or rights of third parties or (ii) is likely to have a negative impact on the reputation of SRP or the SRP Claims and/or Logos/Labels.
- 13.1.4. The Licensee is responsible for ensuring that Licensee's use of the SRP Claims, Logo or Label does not violate applicable laws and/or further applicable regulations. SRP assumes no responsibility in this respect.

Table 2: On- and off-product use of SRP Claims, Logo and Label for Assurance Levels 1-3

	OFF-PRODUCT USE OF SRP CLAIM/LOGO/LABEL GUIDELINES AND SRP ORGANIZATIONAL LOGO	ON-PRODUCT USE OF SRP CLAIMS	ON-PRODUCT USE OF SRP-VERIFIED LABEL
<b>LEVEL 1</b> Self-Assessment	YES		
<b>LEVEL 2</b> 2nd Party Verification	YES	YES	
<b>LEVEL 3</b> 3rd Party Verification	YES	YES	YES Only 2nd and 3rd-tier Assurance Level 3 ("Product Segregation" and "Identity Preservation")

**Note:**

For details see the SRP Member Communication and Claim/Logo/Label Guidelines (Annex 7))

## ANNEX 1. DEFINITIONS

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**Accreditation:** The process of evaluation and approval of a Verification Body by an Assurance Service Provider with requirements for accreditation. In the case of SRP Proxy Accreditation is acceptable, a type of oversight employed by an Assurance Service Provider, whereby recognition of another scheme's oversight mechanism is deemed sufficient to demonstrate assurance.

**Appeal:** Request by the client to the Verification Body or by the Verification Body to the Assurance Service Provider or by the Assurance Service Provider to the SRP for reconsideration of their assessment decision.\*

**Assessment\*:** The combined processes of audit, review and decision on a client's conformance with the requirements of a standard or of a Verification Body's conformance with requirements for accreditation.

**Assurance\*:** Demonstrable evidence that specified requirements relating to a product, process, system, person or body are fulfilled.

**Assurance Service Provider:** An entity which is approved and registered by the SRP to provide SRP-related assurance services on its behalf.

**Audit\*:** A component of an assessment. A systematic, documented process for obtaining records, statements of fact or other relevant information and assessing them objectively to determine the extent to which specified requirements are fulfilled.

**Auditor\*:** Person who performs the audit.

**Certificate\*:** Generic expression used to include all means of communicating that fulfilment of specified requirements has been demonstrated.

**Certification\*:** The issuance of a third-party statement (provided by a certification body) that fulfilment of specified conformance requirements have been demonstrated.

**Chain of Custody:** The custodial sequence that occurs as ownership or control of the material supply is transferred from one custodian to another in the supply chain.

**Claim\*:** A message used to set apart and promote a product, process, business or service with reference to one or more of the pillars of sustainability: social, economic and/or environmental.

**Client\*:** The person or enterprise that is seeking assurance of their conformance with the requirements in a standard.

**Complaint\*:** Expression of dissatisfaction, other than appeal, by any person or organization to a standard/scheme owner, assurance provider or certification/verification body relating to their respective activities, where a response is expected.

**Data Collector:** Responsible for collecting the registration data and self-assessments from producers and uploading them onto the SRP Database provided by the ASP GLOBALG.A.P. They must sign an agreement with the ASP for these activities. A data collector may be a farm assurer, a research institute, company, extension worker, project owner, group manager or miller.

**Data Governance\*:** The overall management of the availability, usability, integrity, and security of the data employed in an organization. A data governance programme includes a governing mechanism, a defined set of procedures, and a plan to execute those procedures.

**Facilitator:** An entity, such as a consultant, training institute, NGO, governmental organization, VB or other (interested) organization, selected and contracted by the Producer (Group) to guide, train and prepare them for the inspection/verification/audit.

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**Identity Preservation:** One of three Chain of Custody models, which ensures that certified product from a certified site is kept separate from other sources. If used through the whole supply chain, it allows certified products to be uniquely traced through the production process from a production site and batch (sustainability certificate holder) to the last point of transformation or labelling of a product (or use of a claim).

**Internal Audit\*:** An internal, systematic, documented process for obtaining records, statements of fact or other relevant information and assessing them objectively to determine the extent to which specified requirements are fulfilled to support the objectives of an assurance system.

**Internal Inspection:** The evaluation of a producer's compliance with the SRP standard which peers (i.e. peer-to-peer), members by the IMS Team or an appointed external party conducts on behalf of the producer.

**Internal Management System (IMS)\*:** In group assurance, the documented set of procedures and processes that a group will implement to ensure it can achieve its specified requirements. The existence of an Internal Management System allows the certification/verification body to delegate inspection of individual group members to an identified body within the group.

**Logos:** Both SRP-Verified Label and SRP Organizational Logo.

**Mass Balance\*:** Mass balance is an overarching term for various slightly different types of Chain of Custody which involve balancing volume reconciliation.

**Non-compliance\*:** An identified occurrence of non-conformance with one requirement of a standard, identified as part of an assessment. Synonym: non-conformity.

**Peer review\*:** Assessment of a client against specified requirements by other clients in, or candidates for, an organized group.

**Producer Group:** formed by individuals or businesses, either as a legal entity or informally. Such groups may include rice production communities, cooperatives, farmer organizations or millers with contract farmers. Producer groups without a legal entity are expected to follow the same processes as if they were a legal entity, in particular with regard to governance structures to implement an Internal management System (IMS). All individuals or businesses comprising a producer group are required to sign an agreement to comply with the SRP Standard and IMS.

**Product Handling Unit (PHU):** Facility where products are handled, e.g. rice mills, packing houses, warehouses.

**Product Segregation:** A Chain of Custody model that ensures that certified product is kept separate from non-certified sources through each stage of the supply chain, allowing assurance that the ingredients within a particular product originate from certified sources, though it may not be possible to identify which molecule came from which certified source.

**Producer (Syn. farmer):** The legally responsible individual or business in terms of practices, processes and sales of rice under the scope of verification.

**Registration:** Process for Assurance Service Providers to submit an application, be evaluated and receive approval by the SRP as a registered SRP Assurance Service Provider.

**Risk\*:** The chance of something happening that will have an impact on objectives. It is measured in terms of a combination of the probability of an event and the severity of its consequences.

**Risk Register\*:** Document containing the results of risk analyses and risk response planning. The risk register details significant risks, potentially including description, category, cause, probability of occurring, impact(s) on objectives, proposed responses, owners, and current status.

**Self-assessment:** Evaluation of compliance with the SRP standard which the producer conducts himself/herself.



**Self-declaration:** A statement issued by a client, on behalf of itself, and based on its own determination, that declares its status against specified conformance requirements of a standard.

**SRP Organizational Logo:** The logo specified in the Brand Manual (approved by the SRP Executive Board in May 2020, replacing the original version used since April 2014) aims to uphold SRP's brand value and recognition, and ensures consistent application across all of SRP's programmes, tools and communication materials.

**SRP-Verified Label:** The Label specified in the SRP Brand Manual representing the integrity of claims on sustainable best practices according to the SRP Standard, as verified through the SRP Assurance Scheme, symbolizing a seal of approval, illustrated through the interpretation of a rice plant as a check mark.

**Standard Owner (Scheme Owner):** In this case the Sustainable Rice Platform e.V. (SRP) owns the SRP Standard as well as the SRP Assurance Scheme.

**Third-party Assessment:** Assessment activity that is performed by a person or body that is independent of the person or organization that provides the object of assurance and of user interests in that object.

**Traceability System\*:** The system that records and follows the trail as products, parts, and materials come from suppliers and are processed and ultimately distributed as end products. Often when someone says 'traceability system' they mean an online traceability/tracking system, but this does not have to be the case. Systems used to ensure traceability vary widely and are designed to be fit for purpose (e.g. could be paper based or only go to a limited detail).

**Verification:** Issuance of a statement that fulfilment of specified conformance requirements has been demonstrated.

**Verification Body:** An entity that can issue a second- or third-party statement that fulfilment of specified conformance requirements has been demonstrated.

**Note: Definitions marked \* are adapted from the ISEAL Assurance Code of Good Practice v 2.0<sup>1</sup>**

<sup>1</sup> Available at <https://www.isealalliance.org/get-involved/resources/iseal-assurance-code-good-practice-version-20>

## ANNEX 2. PRODUCER REGISTRATION REQUIREMENTS AND DATA MANAGEMENT

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### 1. General rules

- 1) As the Assurance Service Provider (ASP) for SRP, GLOBALG.A.P. manages process of producer registrations. Data collectors and verification bodies check the integrity of registration data provided and enter the data in the SRP/GLOBALG.A.P. database. GLOBALG.A.P. will eliminate duplication before public listing as registered producers. The ASP Database and SRP homepage identifies these producers as "committed to implement the SRP Standard".
- 2) Registered entities may make the off-product statement that they are "committed to implement the SRP Standard" and in case of SRP membership further statements can be made according to the SRP publication procedures and subject to SRP review and approval.
- 3) Producers who are only registered in the Database have no right to make off-pack or on-pack claims related to the SRP. These rights are earned through the verification process.
- 4) The SRP reserves the right to remove registered entities from the ASP website and SRP homepage at any point of time for example in case that there is:
  - a. Inaccurate data or such data left uncorrected.
  - b. A violation with the SRP publication procedures or SRP membership requirements or such violations left uncorrected.
- 5) In the case of producer groups, the registration of producers personal data (name, address, phone number, etc.) is not mandatory and shall be avoided when there is no explicit authorization from the producer member to store them on ASP Database. Companies not registering producers individually must declare aggregated data for registration, e.g. number of producers, total area produced. These data must be checked by the verification body during the SRP assessment.

### 2. Basic information

- 1) By registering, the applicant producer commits to comply with the assessment level requirements at all times, the communication of data updates to the Data Collector or Verification Body and the payment of the applicable fees established.
- 2) Producers are required to provide at least the following information:
  - (i) Company name
  - (ii) Contact details: street address or information available to describe producer location
  - (iii) Contact details: postal address
  - (iv) Postal code or zip code
  - (v) City
  - (vi) State or province
  - (vii) Country
  - (viii) Phone number (if available)
  - (ix) Fax number (if available)
  - (x) E-mail address (if available)
  - (xi) Global Location Number (GLN) (if available)
  - (xii) Legal registration by country if requested by SRP National Interpretation Guidelines.  
This number is only used for internal verification to avoid double registration (e.g., tax number, VAT number, producer number etc.)
  - (xiii) Previous SRP Number (in case of changing Verification Body)
  - (xiv) Northern/Southern latitude and Eastern/Western longitude or other form of geospatial coordinate information for the main field station. The minimum input accuracy level must be +/-10 m. If the producer decides to display this information, the display accuracy level will be 10 m for market participants and 1,000 m for the public.

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**3. Contact person (responsible for producer or group legal entity)**

- 1) The following information is required to identify the person in the company who is legally responsible for the legal entity:
  - (i) Title
  - (ii) First name
  - (iii) Last name
  - (iv) Phone number
  - (v) Fax number (if available)
  - (vi) E-mail address

**4. Information regarding production sites**

- 1) Information regarding production sites of the producer/company is required. In case of producers with multiple production sites, the following information is required for all those registered for verification under SRP:
  - (i) Company name of product handling facility (if subcontracted)/name of production site.
  - (ii) Contact details: Full street address or information available to describe production site/product handling unit location
  - (iii) Contact details: Postal address
  - (iv) Postal code or zip code
  - (v) City
  - (vi) Country
  - (vii) Phone number (if available)
  - (viii) Fax number (if available)
  - (ix) E-mail address (if available)
  - (x) Northern/Southern latitude and Eastern/Western longitude or other form of geospatial coordinate information at field/facility level is obligatory, when available. The minimum input accuracy level must be +/-10 m. If the producer decides to display this information to market participants and the public, the display accuracy level will be 10 m.
  - (xi) Products produced at each production site or handled at each Produce Handling Unit (PHU), as soon as available in the SRP/GLOBALG.A.P. database.

**5. Product information**

- 1) Product information provides more detail on the way rice is produced and on the outcomes of SRP inspections. The following information must be updated if there are any changes detected during the inspections:
  - a) Product(s)
  - b) Parallel production/ownership
  - c) Annual area under production (ha),
  - d) Voluntary: estimated yield (tons).
  - e) Option 1 (Individual Verification)/Option 2 (Group Verification)
  - f) Scheme name: SRP
  - g) Name of Verification body/ Data Collector

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## 6. Data management

1. While some data may remain confidential and in the control of the verification holder (e.g. detailed findings of non-compliance, data on profitability or loss, data on grain quality, costs of audits), other data must be made available to the ASP and SRP, in full compliance with applicable data protection legislation.  
Requested data include as a minimum:
  - 1) Version of the SRP Standard used
  - 2) Date of inspection
  - 3) Audit team and team member qualification
  - 4) Farmer group name and office location
  - 5) Audit duration
  - 6) List of audited sites
  - 7) Number of producers audited
  - 8) Yields and varieties for each site
  - 9) List of group members indicating farm locations and farm areas
  - 10) Documentation of farmer group training history
  - 11) Identification of offtakers (for traceability or Chain of Custody)
  - 12) Audit score
  - 13) Audit decision, list of non-compliances (missed thresholds)
  - 14) Evaluation result of farmer group management system's internal risk register (if applicable)
  - 15) List of raised appeals and documented response.
  - 16) Signature of inspector and producer. The producer may sign the audit report after the closing meeting in conformity with any observations raised by the VB inspector/auditor.
2. Prior consent is required at producer or producer group level at the time of data collection by the Data Collector or the Verification Body. During registration applicants give written permission to the ASP and the data collectors/VB to use their registration data for internal processes and any sanctioning procedures.
3. Before any publication involving producer data, SRP will obtain prior consent by the ASP or other respective data provider.
4. All data in the SRP/GLOBALG.A.P. database will be made available to SRP and the respective VB, and can be used for internal processes and any sanctioning procedures.
5. The minimum and obligatory data release level, as well as additional information on confidentiality and data use, are defined by the Data Access Rules (Annex 8).
6. Any applicant (company, individual producer or member of a group) who does not agree to the minimum release cannot be registered and cannot belong to a producer group seeking SRP verification.
7. No data other than that stated in the Data Access Rules can be released by the ASP or VBs to any third party without the applicant's prior written consent.
8. Details of the scope of data sharing are defined in the data access rules (Annex 8). SRP reserves the right to request specific audit reports for quality control purposes.
9. The ASP must establish a secure data management system to protect farm data and document the granting of informed consent by producers to use shared data. The ASP will hold and maintain data for the effective management and operation of SRP-related services.
10. SRP will also establish a secure data storage system and demonstrate this to ASPs, and maintain strict confidentiality of all data in its possession.

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11. The ASP must ensure that its data management system can incorporate data in relation to the requirements of the SRP Assurance Scheme and the annual SRP Assurance Scheme assessment questionnaire that will allow SRP oversight of the operating VBs, auditors and verifications issued. While data of VBs and auditors will be collected on an annual basis, data relating to verifications issued must be provided to SRP on a monthly basis. Requested data include as a minimum:
    - i. Names of SRP-trained VBs.
    - ii. Names of VBs with an agreement with the ASP.
    - iii. Number and location of approved auditors.
    - iv. Number of verifications issued with details of scores, names of producer or producer groups, number of producers, location, area, volume and type of rice.
    - v. Number of delisted sites.
    - vi. Copies of specific audit reports (submitted on request to the ASP and the SRP).
  12. Data Protection: Within the SRP Scheme, only parties to the system, (i.e. SRP Secretariat, producer or group, VB, and GLOBALG.A.P.) are authorized to view the data. In addition, the producer can offer personal data to trading partners who have been previously authorized by the producer or group; the producer or group may also instruct a third party to do so. This authorization can be revoked online at any time. Any further access to the producer's personal data will then be prohibited.
  13. The ASP will keep the applicant's/producer's SRP history in its database for a minimum of 5 years.

## ANNEX 3. ASSURANCE SERVICE PROVIDERS: ROLES AND REQUIREMENTS

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### 1. Roles of the Assurance Service Provider (ASP)

- 1) Only the SRP has the right to approve Assurance Service Providers (ASPs) for SRP. The ASP serves the following roles:
  - i. Work with VBs to assess compliance related to the SRP Standard.
  - ii. Ensure and protect the proper use of the SRP system by producers and VBs in compliance with the prevailing versions of the SRP Standard, Assurance Scheme and other SRP normative documents.
  - iii. Manage registration of farm data into a dedicated GLOBALG.A.P. database used exclusively for the SRP system. Ownership of data will remain with the producers and the SRP, and its use will follow prevailing EU data protection requirements.
  - iv. Assess and approve applications of verification bodies and monitor their performance. Verifications can only be issued by Verification Bodies approved by GLOBALG.A.P. as the ASP. A publicly available and regularly updated list of SRP-approved VBs will be posted on the SRP website to ensure transparency.
  - v. Manage complaints and grievances related to SRP assessments.
  - vi. Establish a procedure to verify the SRP-specific competence of the VB's auditors, as indicated in Annex 5.
  - vii. Establish monitoring procedures to ensure that contracted VBs comply with defined audit duration criteria and that appropriate actions including appropriate sanctions are taken in case of non-compliance.
- 2) To provide a wide scope of professional services while facilitating competitiveness the SRP can approve multiple ASPs. These ASPs must work directly with VBs and their trained auditors. In case of multiple ASP, an interface between ASPs and the database provider will allow for up to date datasets and will allow for a public statement on the SRP homepages of active verified producers.

### 2. Minimum requirements for Assurance Service Providers (ASP)

- 1) The SRP Assurance Scheme provides a framework for qualified service providers mandated by the SRP to deliver assurance services under the SRP Standard.
- 2) SRP will assess the qualifications of candidate ASPs to meet the following requirements:
  - i. Established global experience and capacity in managing assurance schemes in food and agriculture, including soft infrastructure, existing client relationships and reputation in the food and agricultural sector
  - ii. Global reach, credible systems and processes for implementing and monitoring
  - iii. Clear policies for appeals and grievance management
  - iv. Current SRP membership with commitment to the SRP mission and vision
  - v. Defined scope and protocol for implementing the SRP Assurance Scheme
  - vi. Qualified to provide SRP-specific training towards Verification Bodies (VBs)
  - vii. Qualified to evaluate the qualifications of VBs and their auditors
  - viii. Qualified to engage in a contractual agreement with VBs
  - ix. Qualified to monitor performance of VBs
  - x. Qualified to manage appeals and grievances in relation to SRP-related audits
  - xi. Qualified to ensure that clients follow SRP requirements for publications, use of label, logo and claims
  - xii. Qualified to provide the SRP with client's list of approved SRP Trademarks
  - xiii. Qualified to manage SRP data in compliance with relevant data protection legislation.
- 3) Upon confirmation that the ASP meets the above requirements, SRP and ASP will sign an agreement to define the scope of the ASP's mandate. The agreement will stipulate rights and responsibilities, including revocation of such rights of ASP's as well as appeals procedures. ASPs are required to undergo an annual independent SRP Assurance Scheme compliance assessment. The cost of the assessment is covered by the ASP.

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- 4) SRP reserves the right to conduct integrity audits at the level of the ASP, VBs and/or verified entity. These audits are aimed to ensure correct implementation of the SRP Assurance Scheme and uphold SRP's credibility and brand value. Integrity audits will be at low intensity and will not follow a regular schedule. The costs of SRP integrity audits will be covered by SRP through its annual membership dues.
  - 5) Concerns or complaints can be directed to the SRP Secretariat at any time and will be addressed together with ASPs or VBs via their established complaint management procedures. If a stakeholder does not accept the outcome of this process, the SRP may at its sole discretion decide to conduct an extraordinary investigative audit, whose outcome shall be final.
  - 6) Depending on the outcome of such an investigative audit (for example, if the VB or ASP is found to have failed to follow mandatory procedures) the VB and/or ASP may be required to reimburse all related audit costs incurred. Following its grievance policy and procedure, SRP reserves the right to request suspension or cancellation of verifications in the event of serious violations.
  - 7) The SRP is committed to providing full transparency of approved ASPs and will deal directly with related public comments and complaints according to its Grievance Policy.

## ANNEX 4. VERIFICATION BODIES: ROLES AND REQUIREMENTS

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### 1. General requirements

- 1) VBs are responsible for independent verification of the compliance of any farm or group of farms with the requirements of the SRP Standard.
- 2) Verification may be conducted by a second party e.g. a project value chain partner, or independently via a third-party inspection body.
- 3) The VB enters into a commercial contract with the ASP, specifying the range of work (globally, nationally, partner-specific) and the scope of work. Copies of all agreements with VBs will be shared with the SRP Secretariat.
- 4) Before approval the ASP must evaluate the VB's qualifications according to the following requirements:
  - i. VB's in-house training qualifications and participation in required official SRP trainings.
  - ii. VB' capacity in terms of SRP-trained in-house auditors/inspectors.
  - iii. For third-party VB, the validity of an ISO 17065 accreditation for another standard covering primary production (e.g. GLOBALG.A.P. IFA, Rainforest Alliance, etc.).
- 5) VBs maintain a register of approved auditors, recording details of their competence (see details below), education, relevant experience and scope(s) of activity. This register held by the VB must contain at least:
  - i. Name and address
  - ii. Organizational affiliation and position
  - iii. Educational qualification and professional status
  - iv. Experience and training in relevant fields of competence relating to the SRP Standard.
- 6) Records of this evaluation must be updated regularly and made available to ASP and SRP on request.
- 7) The ASP must agree to freely exchange information relating to approval of VBs, inspectors and auditors to avoid duplication
- 8) Before conducting any SRP inspection or audit, the applicant VB must complete the following steps:
  1. Appoint a SRP Scheme Manager who will be the main responsible person for SRP at the VB and the contact with the ASP.
  2. Appoint an SRP In-house trainer who will be responsible for providing a mandatory annual training for the VB inspectors/auditors and any other staff whose work is related with SRP. The In-house trainer must comply at least with inspector qualification requirements and obtain SRP certificate of participation in a formal SRP trainings on the standard and the auditor training. This person must be fluent in English. The VB must have at least one SRP In-House trainer for every 5 inspectors/auditors in order to ensure adequate internal knowledge-sharing and harmonized interpretation.
  3. Receive database access from the ASP.
  4. Register all SRP auditors and inspectors in the ASP database.
  5. Pay the relevant fees for the operation of the ASP.
- 9) The VB is responsible for communicating to its SRP-registered clients all relevant updates, as well as the date of first application and grace period for any new SRP versions of normative documents.
- 10) The VB must clearly explain the Data Access Rules to the producer or producer group and obtain their written consent.
- 11) The VB must use only auditors who fulfill SRP requirements. Only SRP auditors (SRP inspectors with training and experience with Quality Management Systems) may audit the IMS of producer groups. This requirement also applies to Level 2 auditors.
- 12) The VB must treat applicant information in confidence unless otherwise required by law. No information must be released to third parties without the applicant's prior consent.



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- 13) The VB must have a system in place to evaluate conformance with the SRP Standard as well as a system to take verification decisions, manage appeals and fully comply with other requirements of the ASP.
  - 14) The VB must have a system in place to ensure they retain authority for decisions related with their assessments and verification activities.
  - 15) Oversight bodies and VBs shall take responsibility for ensuring the quality and integrity of SRP assurance activities outsource to another body.
  - 16) VBs shall employ interpreters or technical experts or oversight bodies who are independent of the clients, unless this is not feasible due to logistical constraints. In all cases, the names and affiliations of these experts shall be included in the audit report.
  - 17) VB must notify the ASP and SRP of any withdrawal or suspension of a verification. This must be done with the update of the producer data in the ASP Database as a minimum.
  - 18) The VB must have a system in place to ensure that SRP and the ASP are notified immediately in the event of any conflict or problem that could result in reputational damage and agree on appropriate corrective action.
  - 19) VBs must actively cooperate with the ASP during management of complaints related to the VB or to the producers contracted by the VB.
  - 20) The ASP must ensure that the VB and verification holder agree to be registered and undergo potential integrity audits conducted by the SRP. Costs of integrity audits will be covered by the SRP. However, if during such routine integrity audits, incidents are found that lead to follow-up integrity audit visits, the SRP reserves the right to charge the VB for these additional integrity audit visits.
  - 21) The VBs shall conduct annual internal audits on SRP assurance scheme related performance and share the results with the ASP.
  - 22) VBs must be fully paid-up members of the Sustainable Rice Platform.

## **2. Suspension or cancellation of Agreement**

- 1) In case a VB wishes to terminate its Agreement with the ASP, the following actions must be taken:
  1. The VB must send a formal termination request to the ASP.
  2. The VB must inform all clients that re-verification has to be carried out by another VB.
  3. The termination will be fully effective after expiry of the last valid verification.
- 2) In the event that a VB has its agreement withdrawn or suspended by the ASP, the ASP must immediately inform SRP of this action, including the reasons for the action.

## **3. Second-Party Verification Bodies**

- 1) Second-party verification bodies are permitted to conduct SRP audits under Assurance Level 2. These VBs may be implementing partners who are also responsible for data collection. An implementing partner may be a research institute, NGO, company, extension worker, project owner, trader or miller.

## **4. Third-party Verification Bodies**

- 1) Third-party verification bodies must be independent from the producer/producer group inspected to guarantee the impartiality of the assessment.
- 2) The VB must have a system in place to evaluate conformance with the SRP Standard as well as a system to take verification decisions, manage appeals and fully comply with other requirements of the ASP.

- 3) The VB must appoint a SRP Reviewer with SRP Auditor qualification responsible for the verification decision.
- 4) The quality system must be documented and used by all relevant VB staff.
- 5) The VB must be accredited for at least one other ISO 17065 standard or apply for accreditation at the same time as applying for approval to be an SRP VB. The accreditation must be issued by an accreditation body that is recognized by the ASP (GLOBALG.A.P.)
- 6) The VB must designate a staff member responsible for development, implementation and maintenance of the quality system. This designated staff member will report to the organization's executive and must also be responsible for reporting on the performance of the quality system for the purposes of management review and subsequent system improvement.
- 7) All VB personnel must operate to meet the highest levels of professional integrity and impartiality, be free from commercial, financial or other pressures that might affect their judgment, and are expressly forbidden from promoting any goods or services during evaluation activities.
- 8) The VB must establish measures and procedures to prevent bribery and corruption at all levels of its organization.
- 9) The VB's auditor or other VBs personnel are allowed to provide information on SRP's normative documents or other SRP guidance notes and the audit report to clients during assessment. However, consultancy is never allowed.
- 10) The VB must provide the following information to the ASP:
  - Authority under which the organization operates.
  - A statement in relation to its verification system, including information on rules and procedures for granting, maintaining, extending, suspending and withdrawing verification.
  - Evaluation procedures and verification processes in relation to the verification scheme.
  - Details of complaints, appeals and dispute procedures on request.
- 11) The VB must carry out a SRP witness assessment and/or re-inspection to each of its SRP inspectors/ auditors at least once every 4 years to verify competence.

Table 3: Summary of differences between requirements for Data Collectors, Second-Party and Third-Party VBs

	DATA COLLECTOR (self-assessment)	2ND PARTY VB	3RD PARTY VB
<b>GENERAL</b>			
<b>Contract with ASP</b>	Yes	Yes	Yes
<b>Access to ASP database</b>	Yes	Yes	Yes
<b>Annual fee</b>	Yes	Yes	Yes
<b>List of approved assessors</b>	No	Yes	Yes
<b>Scheme manager</b>	No	Yes	Yes
<b>In-house trainer</b>	No	Yes	Yes
<b>Verification of SRP reports</b>	No	Yes	Yes
<b>Obligation to communicate SRP news and updates to clients</b>	No	Yes	Yes
<b>Implementation of documented SRP Quality System by VB</b>	No	No	Yes
<b>Appointment of a responsible person for the internal Quality Management System</b>	No	Optional	Yes
<b>Upload of SRP inspection checklists</b>	No	Optional	Yes
<b>Complaint and appeal procedure</b>	No	Optional	Yes

## ANNEX 5. SRP INSPECTOR AND AUDITOR REQUIREMENTS

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### 1. General requirements

- 1) There is no minimum qualification requirement for the person conducting a self-assessment. To provide Level 2 and Level 3 assurance (verification), inspectors and auditors must be employed by a qualified VB under a contractual agreement with an ASP.
- 2) The VB must have a system in place to guarantee that second- and third-party inspectors and auditors comply with the following minimum set of requirements to assess compliance with the SRP Standard:
  - (i) Educated in an agricultural/crop-based discipline or, as a minimum, have successfully completed an industry-recognized food-related education course or equivalent. A background in sustainability, social and environmental concerns would also be an advantage.
  - (ii) A minimum 1 year of experience in crop production or quality assurance inspection / enforcement or the equivalent. SRP accepts auditing experience with the following standards/ platforms (GLOBALG.A.P., UTZ, Rainforest Alliance, SAN, SAI and IFOAM) to account for auditing skills assessments.
  - (iii) SRP auditors auditing Internal Management Systems of Producer Groups must additionally have attended an auditor training course based on ISO 19011 principles, with at least 2-day duration.
  - (iv) They must have participated in a formal SRP training or been trained by the VB In-house trainer.
  - (v) They must have participated in a 1-day practical inspection course setting out the basic principles of inspection (not applicable for auditors).
  - (vi) They must successfully complete the SRP online test before conducting SRP inspections. The SRP in-house trainer(s) must monitor the genuineness and the completeness of the process.
  - (vii) When there are any major revision to the SRP Standard or SRP Assurance Scheme, the inspector/auditor must be retrained or requalified as needed.
  - (viii) They must have appropriate language skills for auditing (local working language) and report writing skills that match at least one of the official translations of the SRP Standard.
  - (ix) They must possess the following personal attributes, which the VB must verify during the witness inspection in the sign-off process:
    - Ethical (fair, truthful, sincere, honest, tactful and discreet)
    - Observant (continuously aware of physical surroundings and activities)
    - Perceptive (instinctive, aware of and able to understand situations)
    - Versatile (adjusts readily to different situations)
    - Decisive (timely conclusions based on logical reasoning)
    - Integrity (practices confidentiality and observes professional code of conduct).

### 2. Additional requirements for inspectors and auditors working for 2nd party VBs

- 1) Auditors working for 2nd party VBs are required to fulfil all eligibility criteria as specified above under General Requirements. No additional requirements are specified.

### 3. Additional requirements for inspectors and auditors working for 3rd party VBs

- 1) The VBs must have a program for Auditing Skills Assessment so that inspectors/auditors can be assessed on their performance. This program must include:
  - i. Before Approval:
    1. The applicant inspector/auditor must participate as an observer in a minimum of one individual producer or one producer group member inspection.
    2. The VB must witness a minimum of one inspection of an individual producer or a producer group member, conducted by a qualified SRP auditor.
  - ii. After Approval:
    1. The inspector must undergo a minimum of one witness inspection every 4 years, conducted by an In-house trainer or other inspector who has attended a formal SRP training course.

- 2) SRP inspectors and auditors must inform the VB when their independence or impartiality may be affected (or potentially perceived to be so) while carrying out any SRP-related activities. They are prohibited from accepting bribes or other inducements and must not have carried out relevant consultancy activities for the producers they are performing inspections on for the previous two years.

**4. Main tasks for SRP inspectors and SRP auditors**

- 1) Inspections of farms to assess compliance with the SRP Standard.
- 2) Write timely and accurate reports on such inspections.
- 3) To be up to date with SRP developments, issues and legislative changes when applicable.
- 4) Strictly observe the producer's and VB's procedures to maintain confidentiality of all records.

**5. Additional tasks for SRP auditors**

- 1) Audit Internal Management Systems (IMS) of producer groups.
- 2) Write timely and accurate reports according on the IMS audit results.

Table 4: Summary of inspector/auditor qualification requirements per assurance level

	DATA COLLECTOR (self-assessment)	2ND PARTY VB	3RD PARTY VB
<b>INSPECTOR/AUDITOR REQUIREMENTS</b>			
Minimum qualification requirements	No	Yes	Yes
Internal training	No	Yes	Yes
Online examination	No	Yes	Yes
Program to monitor auditing competence	No	No	Yes
Independence and impartiality	No	No	Yes

## ANNEX 6. SRP FEES

### 1. Producer registration fees

- 1) The following fees apply to producers registered in the SRP system irrespective of their assurance level:

SIZE RANGE	TOTAL AREA	ANNUAL FEE
Size 1	≤ 1,000 ha	5,5 EUR /ha
Size 2	1,000 - 5,000 ha	4,5 EUR /ha
Size 3	5,000 – 20,000 ha	3,5 EUR /ha
Size 4	20,000 – 50,000 ha	3 EUR /ha
Size 5	> 50,000 ha	2,5 EUR /ha

- 2) Fees will be charged to SRP sponsor organizations, e.g. buyers, millers, traders, etc. not to producers or producer groups.
- 3) SRP sponsor organisations shall inform GLOBALG.A.P. about the area they intend to register under SRP during a 12-month cycle (the validity of SRP verifications). This area will determine the size range and the applicable fee per hectare. It is possible to aggregate areas from different projects and different countries.

Example: A SRP sponsor decides to register 32,000 ha. The size range corresponding that area is Size 4, and the applicable fee would be 32,000 ha x EUR 3/ha = EUR 96,000

- 4) If during the calendar year, the SRP sponsor organisation increases the registered area above the top limit of the size range assigned, the additional area will be invoiced at the fee corresponding to the next size range but it will not affect the fees charged to the area registered previously.

Example: An SRP sponsor decides to register 32,000 ha (size 3). However, during the year the total area registered is 62,000 ha, exceeding by 12,000 the top limit of Size 3 range (50,000 ha). In this case the first 50,000 ha will be invoiced at 3 EUR/ha (size 3 fee) and the additional 12,000 ha will be invoiced at 2,5 EUR/ha (size 4 fee).

- 5) SRP sponsors who register areas where, because of unforeseen circumstances like adverse climatic scenarios, etc. harvest does not take place, can report this situation in order to avoid payment of fees for these registered areas. These situations will be evaluated case by case.

### 2. Verification Body fees

- 1) The following fees apply to second- and third-party verification bodies conducting SRP verification activities.

SERVICE	FEE	CHARGED TO	WHEN
Evaluation of VB applications	EUR 500	Verification body	One-time upon application
Evaluation of additional In-house trainer	EUR 250	Verification body	One-time upon application
Inspector/Auditor fee	EUR 50	Verification body	Annually
VB License Administration fee (1)	EUR 2,000	Verification body	Annually
2-day IHT auditor training	EUR 625	Trainees (min. 7-10)	Upon registration

## SRP MEMBER COMMUNICATION AND CLAIM/LOGO/LABEL GUIDELINES

### ANNEX 7: (ON AND OFF-PACK)

#### 1. Requirements for Assurance Levels 1, 2 and 3

No	REQUIREMENT	LEVEL 1 Self Assessment	LEVEL 2 2nd Party Verification	LEVEL 3 3rd Party Verification (Mass Balance)	LEVEL 3 3rd Party Verification (Product Segregation)	LEVEL 3 3rd Party Verification (Identity Preservation)
1.1.	<b>Membership</b>	Except for on-pack use of the SRP-Verified Label (see 2.1.1 below) and off-pack Verification Claims (sec. 2.2.3 below), all permitted communications (Logos and Claims) require full SRP membership of the producer or producer group.	Except for on-pack use of the SRP-Verified Label (sec. 2.1.1 below) and the off-pack Verification Claims (sec. 2.2.3 below), all permitted communications (Logos and Claims) require full SRP membership of the 2nd party.	Except for on-pack use of the SRP-Verified Label (sec. 2.1.1 below) and off pack Verification Claims (sec. 2.2.3 below), all permitted communications (Logos and Claims) require full SRP membership of the producer, producer group or supply chain partner.		
1.2.	<b>Assurance Level Requirement</b>	Self-assessment using the SRP Standard Checklist	2nd Party audit	3rd party audit	3rd party audit	3rd party audit
1.3.	<b>Chain of Custody</b>	<b>Chain of Custody</b>		Mass balance (Group level)	Product segregation	Identity preservation
1.4.	<b>Compliance</b>		<ul style="list-style-type: none"> <li>Minimum score of 33/100 points against the SRP Standard v 2.1.</li> <li>In subsequent verifications, improve compliance level from previous year</li> <li>Meet essential compliance level for select health and safety requirements.</li> </ul>	<ul style="list-style-type: none"> <li>Minimum score of 90 points against the SRP Standard v 2.1, while meeting all essential compliance levels (thresholds) by individual producers and producer group members externally inspected.</li> <li>At least 75% compliance against the SRP IMS Standard while meeting all essential compliance levels.</li> </ul>		
1.5.	<b>Conditions</b>		<p>If minimum score is not achieved in a given 12-month period:</p> <ul style="list-style-type: none"> <li>Producers have a maximum of 28 calendar days after audit closure to implement corrective actions to allow them to improve their score</li> <li>VB shall also verify if the implementation of the corrective actions within the first 28 days following audit closure. This verification may be done electronically or via farm visit depending on the nature of the correction action implemented.</li> <li>If producers do not reach the minimum score after the period given to implement corrective actions, the rules under communication of Level 2 Assurance shall apply.</li> </ul>			

## 2. Permitted communications (Claims, Logo and Label)

No	PERMITTED	LEVEL 1 Self Assessment	LEVEL 2 2nd Party Verification	LEVEL 3 3rd Party Verification (Mass Balance)	LEVEL 3 3rd Party Verification (Product Segregation)	LEVEL 3 3rd Party Verification (Identity Preservation)
<b>2.1.</b>	<b>ON-PACK Communications</b>	On-pack communications are only permitted for products that comply with Assurance Level 2 or Assurance Level 3 following the guidelines below. Please note: On-pack communications in combination with other logos and/or claims (in particular logos/claims representing sustainable rice production standards and resource use efficiency and climate change resilience in rice systems) are not permitted insofar as there is a risk that the other logos/claims may be attributed to SRP and/or the SRP Claims and/or Logos.				
<b>2.1.1</b>	<b>SRP-Verified Label: See SRP Brand Manual, available at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a></b>	No	No	No	SRP-Verified Label (see SRP Brand Manual, available at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> )	
<b>2.1.2.</b>	<b>On-pack Claim</b>	No	<b>Option 1</b>  <b>Long:</b> "In partnership with the Sustainable Rice Platform, we are working towards verified sustainable rice to support farmer livelihoods and protect the environment: <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Short:</b> "Working towards sustainable rice farming: <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "	<b>Option 1</b>  <b>Long:</b> "We partner with the Sustainable Rice Platform to independently verify sustainable rice farming methods to protect nature and help small farmers. For more information, visit <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Medium:</b> "We partner with the Sustainable Rice Platform to ensure our rice complies with the SRP Standard for Sustainable Rice. Learn more at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Short:</b> "[Company name] supports sustainable rice farming. Learn more at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "	<b>Option 1</b>  <b>Long:</b> "Our rice is grown in compliance with the SRP Standard for Sustainable Rice Cultivation, to protect nature and help small farmers. Learn more at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Short:</b> "Our rice is grown in compliance with the SRP Standard for Sustainable Rice Cultivation. Learn more at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "	<b>Option 1</b>  <b>Long:</b> "Our rice is grown in compliance with the SRP Standard for Sustainable Rice Cultivation to protect nature and help small farmers. Scan the QR code to learn more about the farm of origin, or visit <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Short:</b> "Our rice is grown under the SRP Standard for Sustainable Rice Cultivation. Scan the QR code to learn more about the farm of origin, or visit <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "
		No	<b>Option 2</b>  <b>Long:</b> "We work towards verified sustainable rice in cooperation with the Sustainable Rice Platform, to protect people and planet: <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Short:</b> "Working towards sustainable rice farming: <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "	<b>Option 2</b>  <b>Long:</b> "On average, X% of content sourced for this product is verified under the Sustainable Rice Standard. Learn more at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Medium:</b> "From farm to table, we support sustainable rice farming methods advocated by the Sustainable Rice Platform. Learn more at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Short:</b> "We support sustainable rice farming: <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "	<b>Option 2</b>  <b>Long:</b> "Our SRP-Verified rice is grown and verified according to the Sustainable Rice Platform Standard for Sustainable Rice Cultivation, to protect nature and help rice farmers. Learn more at <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Short:</b> "Our SRP-Verified rice is grown in compliance with the SRP Standard for Sustainable Rice Cultivation: visit <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "	<b>Option 2</b>  <b>Long:</b> "Our SRP-Verified rice is grown sustainably in partnership with the Sustainable Rice Platform to protect nature and empower small farmers. Scan the QR code to learn more about the farm of origin, or visit <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "  <b>Short:</b> "Our SRP-Verified rice complies with the Sustainable Rice Platform Standard. Scan the QR code to learn more about the farm of origin, or visit <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "
		No	No	No	No	<b>Option 3</b>  "This rice was grown sustainably at [name of farm] in [country of origin]. Scan the QR code to learn more, or visit <a href="http://www.sustainablerice.org">www.sustainablerice.org</a> "

No	PERMITTED	LEVEL 1 Self Assessment	LEVEL 2 2nd Party Verification	LEVEL 3 3rd Party Verification (Mass Balance)	LEVEL 3 3rd Party Verification (Product Segregation)	LEVEL 3 3rd Party Verification (Identity Preservation)
<b>2.2.</b>	<b>OFF-PACK Communications</b>	<p>Off-pack communications via website, social media or print materials are allowed following the guidelines below.</p> <p>For the avoidance of doubt, Sections 2.2.1 and 2.2.2. require full SRP membership and apply to all SRP members regardless of their participation in the SRP Assurance Scheme. Section 2.2.3 only requires compliance with the respective requirements under Assurance Level 2 or Assurance Level 3 as set forth in this document, with no requirement for full SRP membership.</p> <p>Please note: Off-pack communications in combination with other labels, logos and/or claims (in particular labels/logos/claims representing sustainable rice production standards and resource efficiency and climate change resilience in rice systems) are not permitted insofar as there is a risk that the other labels/logos/claims may be attributed to SRP and/or the SRP Claims and/or Logos.</p>				
<b>2.2.1.</b>	<b>Logo</b>	SRP Organizational Logo (see SRP Brand Manual, available at <a href="http://www.sustainable-rice.org">www.sustainable-rice.org</a> )				
<b>2.2.2.</b>	<b>Corporate Value Statements</b>	<ul style="list-style-type: none"> <li>• “We are a proud member of the Sustainable Rice Platform, a global alliance dedicated to helping rice farmers and protecting the environment: <a href="http://www.sustainable-rice.org">www.sustainable-rice.org</a>”</li> <li>• “[Company name] is an active member of the Sustainable Rice Platform – a global alliance working to promote eco-friendly rice farming, empower small farmers and reduce the environmental footprint of rice. Learn more at <a href="http://www.sustainable-rice.org">www.sustainable-rice.org</a>”</li> <li>• “Working with the Sustainable Rice Platform, [Company name] helps small farmers grow rice sustainably and increase their resilience to climate change. Learn more at <a href="http://www.sustainable-rice.org">www.sustainable-rice.org</a>”</li> </ul>				
<b>2.2.3.</b>	<b>Verification Claim</b>	No	The permitted ‘verification claims’ (as listed in 2.1.2) are also permitted for off-pack use in connection with a specific brand/sub-brand, provided all rice of the respective brand/sub-brand is produced in compliance with SRP Assurance Level 2.	The permitted ‘verification claims’ (as listed in 2.1.2) are also permitted for off-pack use in connection with a specific brand/sub-brand, provided all rice of the respective brand/sub-brand is produced in compliance with SRP Assurance Level 3 (Mass balance, Group level).	The permitted ‘verification claims’ (as listed in 2.1.2) are also permitted for off-pack use in connection with a specific brand/sub-brand, provided all rice of the respective brand/sub-brand is produced in compliance with SRP Assurance Level 3 (Product segregation).	The permitted ‘verification claims’ (as listed in 2.1.2) are also permitted for off-pack use in connection with a specific brand/sub-brand, provided all rice of the respective brand/sub-brand is produced in compliance with SRP Assurance Level 3 (Identity preservation).



## 3. Prohibited

No	PROHIBITED	LEVEL 1 Self Assessment	LEVEL 2 2nd Party Verification	LEVEL 3 3rd Party Verification (Mass Balance)	LEVEL 3 3rd Party Verification (Product Segregation)	LEVEL 3 3rd Party Verification (Identity Preservation)
<b>3.1.</b>	<b>ON-PACK Communications</b>	The use of the SRP-Verified Label and Verification Claims for on-pack communications is also particularly guided by the conditions below.				
<b>3.1.1.</b>	<b>Logo/Label</b>	Use of any SRP logo	Use of any SRP logo	Use of any SRP logo	<ul style="list-style-type: none"> <li>• Use of the SRP Organizational Logo</li> <li>• Use of any modifications of the SRP-Verified Label</li> <li>• Use of the SRP-Verified Label in combination with other logos or claims, insofar as there is a risk that the other logos/claims may be attributed to SRP and/or the SRP-Verified Label.</li> </ul>	
<b>3.1.2.</b>	<b>Verification Claim</b>	<ul style="list-style-type: none"> <li>• Use of any modifications of the verification claims listed in 2.1.2</li> <li>• Use of the verification claims listed in 2.1.2 in combination with other logos or claims, insofar as there is a risk that the other logos/claims may be attributed to SRP and/or the verification claims.</li> </ul>				
<b>3.2.</b>	<b>OFF-PACK Communications</b>	Use of the SRP Organizational Logo, Corporate Value Statements and Verification Claims for off-pack communications is also particularly guided by the conditions below.				
<b>3.2.1.</b>	<b>Logo/Label</b>	<ul style="list-style-type: none"> <li>• Use of the SRP-Verified Label</li> <li>• Use of any modifications of the SRP Organizational Logo</li> <li>• Use of the SRP Organizational Logo in combination with other logos or claims, insofar as there is a risk that the other logos/claims may be attributed to SRP and/or the SRP Organizational Logo.</li> </ul>				
<b>3.2.2.</b>	<b>Corporate Value Statements</b>	<ul style="list-style-type: none"> <li>• Use of any modifications of the Corporate Value Statements listed in 2.2.2</li> <li>• Use of the Corporate Value Statements listed in 2.2.2 in combination with other logos/claims, insofar as there is a risk that the other logos/claims may be attributed to SRP and/or the SRP Corporate Value Statements.</li> </ul>				
<b>3.2.3.</b>	<b>Verification Claims</b>	<ul style="list-style-type: none"> <li>• Use of any modifications of the verification claims listed in 2.1.2</li> <li>• Use of the verification claims listed 2.1.2 in combination with other logos or claims, insofar as there is a risk that the other logos/claims may be attributed to SRP and/or the verification claims.</li> <li>• Use of any statement that implies that the product marked includes sustainably produced rice or "SRP-Verified" rice</li> </ul>	<ul style="list-style-type: none"> <li>• Use of any modifications of the verification claims listed in 2.1.2</li> <li>• Use of the verification claims listed 2.1.2 in combination with other logos or claims, insofar as there is a risk that the other logos/claims may be attributed to SRP and/or the verification claims.</li> </ul>			

## ANNEX 8. DATA ACCESS RULES

### 1. Standard data/Standard visibility

"Standard data" covers the general visibility of the SRP standard in the GLOBALG.A.P. Database.

	DATA ACCESS GROUPS				
	SRP	GLOBALG.A.P. Staff	Verification Body	Market Participant	Public
<b>Standard visibility [Sustainable Rice Platform]</b>	x	x	x	x	x

[Data marked with "x" is visible to users assigned to the respective data access group]

### 2. Producer/company data

"Producer/company data" refers to the master data, contact information or location related to the company.

Mandatory/ Voluntary Database Setting		DATA ACCESS GROUPS				
		SRP	GLOBALG.A.P. Staff	Verification Body	Market Participant	Public
	<b>COMPANY</b>					
<b>M</b>	Company name	x	x	x	x	x
	Company address <sup>1)</sup>	x	x	x		
<b>M</b>	Company city	x	x	x	x	x
<b>M</b>	Company country	x	x	x	x	x
<b>M</b>	Company contact information <sup>2)</sup>	x	x	x		
<b>M</b>	SRP Number GFN/GLN	x	x	x	x	x
<b>V</b>	Previous SRP GFN	x	x	x		
<b>V</b>	Legal registration per country	x	x	x		
<b>M</b>	Location <sup>3)</sup>	x	x	x	x	
<b>V</b>	VB registration number <sup>4)</sup>	x	x	x		
	<b>Contact person (responsible for legal entity)</b>					
<b>M</b>	Contact name <sup>5)</sup>	x	x	x		
<b>V</b>	Contact information <sup>2)</sup>	x	x	x		
	<b>Site information</b>					
<b>V</b>	Name of site	x	x	x		
<b>V</b>	Site address <sup>6)</sup>	x	x	x		
<b>V</b>	Site contact information <sup>2)</sup>	x	x	x		
<b>V</b>	Sub-GLN(s)	x	x	x		
<b>V</b>	Location <sup>3)</sup>	x	x	x		
<b>V</b>	Products per PHU/site	x	x	x		

### Notes

- <sup>1)</sup> Company address: Street address (or information available to describe the producer/company location), postal address (M), postal code (V), state/province (V).
- <sup>2)</sup> Contact information: Phone number, fax number, email address (if available).
- <sup>3)</sup> Location: Northern/Southern latitude + Western/Eastern longitude.
- <sup>4)</sup> Number assigned by the Verification Body (VB) to the producer
- <sup>5)</sup> Contact names: Title, first name and last name.
- <sup>6)</sup> Site contact address: Street address (or information available to describe the PHU/site location), postal address, postal code, city, and country.

### 3. Product and verification data

"Product and verification data" are data related to the verification or assessment such as the verification status, quantity data, product attributes or checklist.

Mandatory/ Voluntary Database Setting		DATA ACCESS GROUPS				
		SRP	GLOBALG.A.P. Staff	Verification Body	Market Participant	Public
<b>M</b>	Product status	x	x	x	x	x
<b>M</b>	Standard version	x	x	x	x	
<b>M</b>	Verification/assessment option including multisite information	x	x	x	x	x
<b>N/A calculated automatically</b>	For producer groups: number of producer group members	x	x	x	x	
<b>M</b>	Certificate/conformance validity date	x	x	x	x	x
<b>M</b>	Verification body	x	x	x	x	x
<b>M</b>	GLOBALG.A.P. certificate/assessment number	x	x	x	x	x
<b>V</b>	Countries of destination	x	x	x	x	x
<b>M</b>	Quantity data <sup>1)</sup>	x	x	x	x	
<b>V</b>	Product attributes <sup>2)</sup>	x	x	x	x	x
<b>V</b>	Verification/assessment data <sup>3)</sup>	x	x	x	x	
<b>V/M</b>	Inspection/audit result <sup>4)</sup>	x	x	x	x	

Product, product status, verification/assessment option, certificate/conformance option, certificate/conformance validity date, verification/verification body, GLOBALG.A.P. certificate number, countries of destination and product attributes.

### Notes

- <sup>1)</sup> Specify the quantity data under this note
- <sup>2)</sup> Product attributes are additional information linked to a product in an active status and differ according to specific requirements for standards, scopes, sub-scopes or products. All product attributes shall be listed in the specific data access rules.  
Examples: Parallel Production or Parallel Ownership
- <sup>3)</sup> Data includes 'valid from' date of the verification/conformity and date of verification decision/approval date
- <sup>4)</sup> Inspection/audit report details linked to the assessment including checklist and non-conformities/non-compliances

## Additional References

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**SRP Standard for Sustainable Rice Cultivation v 2.1**

**SRP Performance Indicators for Sustainable Rice Cultivation v 2.1**

**SRP Internal Management Standard v 1.3**

**SRP Chain of Custody Standard v 1.0**

**SRP Brand Manual 2020**