
Sustainable Rice Platform Assurance Scheme v1.3 Information Note No. 3



Title:	Sustainable Rice Platform Assurance Scheme v1.3 Information Note No. 3
Document number:	304-AS1.3-InfoNote3
Scope:	International
Approval date:	April 2022

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About the Sustainable Rice Platform (SRP)

The Sustainable Rice Platform e.V. (SRP) is a global multi-stakeholder alliance comprising over 100 institutional members from public, private, research, civil society and the financial sector. Originally co-convened by the International Rice Research Institute (IRRI), the United Nations Environment Programme (UNEP) and Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ), SRP is now an independent not-for-profit member association, working with its partners to transform the global rice sector by improving smallholder livelihoods, reducing the social, environmental and climate footprint of rice production, and by offering the global rice market an assured supply of sustainably produced rice.

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INTRODUCTION

This Information Note No. 3 has normative status and is intended as notification of additional requirements to the SRP Assurance Scheme v 1.3 and shall be used in conjunction with this and other related documents governing the SRP Assurance Scheme. All such documents are made publicly available for download at the SRP website¹.

The scope of this document includes the following topics:

- 1. Approval of SRP Sublicense and Registration Agreement v 2.0**
- 2. Approval of SRP Chain of Custody Policy and Standard v 2.0**
- 3. Transition Arrangements**
- 4. Chain of Custody Fee Table 2022**
- 5. Use of Transaction Certificates under the SRP Chain of Custody Policy & Standard v 2.0.**

This document supersedes and replaces information and guidelines provided in Information Note No 2, issued in December 2020, which established interim measures to enable Verification Bodies to conduct SRP CoC audits and issue compliance certificates until finalization of the SRP Chain of Custody Policy and Standard v 2.0. The interim measure authorized VBs approved to audit the SRP Standard to also perform CoC audits based on the CoC Standard v 1.0, and to assign auditor(s) with CoC qualifications from other agricultural or forestry schemes. SRP-CoC verified companies may make SRP on-pack claims and use the 'SRP-Verified' Label following the rules published in Annex 7 of the SRP Assurance Scheme v 1.3, and in compliance with the SRP Brand Manual.

This interim measure is now superseded with the finalization of the License & Registration Agreement (LRA) and Sublicense & Registration Agreement (SRA) under GLOBALG.A.P.

1 Approval of Sublicense and Registration Agreement v 2.0

1.1 On 8 December 2021 the SRP Board approved two resolutions:

Resolution 1: An interim measure was announced, authorizing VBs already approved to conduct SRP farm audits to also conduct CoC audits based on the CoC Standard v 1.0. and approved Sublicense Agreement to allow any crop undergoing CoC audit to begin early trialing of Transaction Certification consistent with the recommendations of the SRP Technical Committee; and

Resolution 2: To approve the use of the VB Sublicense and Registration Agreement v 2.0 to facilitate companies utilizing Transaction Certification with their SRP-audited crops.

1.2 The new VB Sublicense and Registration Agreement shall be used for the SRP CoC Standard once the VB has successfully passed the evaluation process and signed the new

¹ <https://www.sustainablerice.org/resources/>

License and Registration Agreement (LRA) with GLOBALG.A.P. for the scope of the SRP CoC Standard,

1.3 Those VBs with LRA granted for the SRP CoC Standard are authorized to carry out audits and issue a SRP CoC compliance Verification Statement to companies who comply with the CoC Standard v 2.0.

1.4 Companies producing and selling SRP-Verified rice may only market a SRP-Verified product after having successfully been issued with a Verification Statement by an authorized SRP CoC Verification Body.

1.5 Verification decisions against the SRP CoC Standard v 1.0 conducted under the interim measure as set out in Information Note No 2 will be valid until 30 June 2022, when the SRP Chain of Custody Policy and Standard v. 2.0 becomes mandatory and v 1.0 will no longer be recognized.

1.6 SRP-CoC-verified companies with Verification Statements against SRP CoC Standard v 1.0 may make SRP on-pack claims and use the SRP-Verified Label until the Verification Statement expiration date following the rules published in Annex 7 of the SRP Assurance Scheme v 1.3, Information Note No 2 and in compliance with the SRP Brand Manual.

2 Approval of SRP Chain of Custody Policy and Standard v.2.0

2.1. The SRP Chain of Custody Policy and Standard v 2.0 was approved by the SRP Board on 31 January 2022 and is now available at the SRP² and GLOBALG.A.P.³ websites. The updated version enables companies to utilize Transaction Certificates with their SRP-audited crops.

2.2 This Standard becomes effective from the date of approval stated in the document. The Standard will be updated periodically, and updated versions will supersede previous versions on the date of publication, stipulating an appropriate transition period.

3 Transition Arrangements

3.1. The Chain of Custody Policy and Standard v 2.0 was released on 20 February 2022 and becomes mandatory on 1 July 2022.

3.2. The Chain of Custody Policy and Standard v 1.0 remains valid until 30 June 2022 under the interim arrangement set out in Information Note No 2.

3.3. CoC verification audits can be performed against either version 1.0 or version 2.0 without additional audit until 30 June 2022.

² <https://www.sustainablerice.org/resources/>

³ https://www.globalgap.org/uk_en/for-producers/sustainable-rice-platform/

3.4. If a company is verified on 30 June 2022 (the last date when version 1.0 is valid) against version 1.0, its verification status will be valid for 1 year against CoC v 1.0. Audit against v 2.0 will subsequently be due on the 1-year anniversary.

3.5. Provisional approval under CoC v 2.0 will be given to VBs who are otherwise deemed compliant, provided they complete IHT training within 60 days of such approval.

3.6. Provided transaction certificates are not envisaged, audits conducted under CoC v 1.0 may be recognized as compliant with CoC v 2.0. If transaction certificates are envisaged a complementary audit is required which can be done remotely by submission of relevant documentation.

4 SRP Chain of Custody Fee Table 2022

4.1 The SRP Chain of Custody Fee Table 2022 was approved by the SRP Board on 31 January 2022 and will be valid until 31 December 2022. The document is also available at the SRP website⁴ and GLOBALGAP website⁵

Fee type	Frequency	Amount (€)	Charged to
VB license fee	Annual	2,000.00	VB
CoC site (Each registered and accepted CoC company site for the SRP CoC Standard)	Annual	250.00	VB
VB evaluation fee	One-time	500.00	VB
Auditor fee	Annual	100.00	VB

4.2. The fee table will apply for all CoC audits conducted under v 1.0 and v 2.0 including those already conducted under interim arrangements.

5 Use of Transaction Certificates under the SRP Chain of Custody Policy & Standard v 2.0

Scope and Responsibilities of SRP CoC supply chain actors

This document identifies the scope and responsibilities of SRP supply chain actors who have different roles in issuing Transaction Certificates, and also includes guidance to assist SRP Authorized Verification Bodies in issuing Transaction Certificates.

SRP recently introduced a new section on "Transaction Certificate requirements" to the SRP Chain of Custody Policy and Standard v2.0 (ANNEX 4).

⁴ <https://www.sustainable-rice.org/resources/>

⁵ https://www.globalgap.org/uk_en/for-producers/sustainable-rice-platform/

The SRP Chain of Custody Standard is to be used in conjunction with the SRP Standard and Assurance Scheme to enable market actors to make verifiable sustainability claims for rice produced using proven, climate-smart, sustainable best practices.

The SRP Chain of Custody Policy and Standard v2.0 now incorporates a Transaction Certificate system to link producers, buyers, traders and sellers. Transaction Certificates are used by the Participating Operator to transfer ownership of the SRP-Verified product to a 3rd party customer.

SRP Chain of Custody Policy and Standard v2.0 Annex 4 (Transaction Certificate Requirements)

Table 1: Scope and Responsibilities of Transaction Certificate supply chain actors

Abbreviations:

TC: Transaction Certificate

ASP: Assurance Service Provider (GLOBALG.A.P.)

VB: SRP-Authorized Verification Body

PO: Participating Operator who has been verified under the SRP CoC Standard by an SRP- Authorized VB

SRP: SRP Secretariat.

Responsibilities	ASP	VB	PO	SRP
Steps to apply TC	GLOBALG.A.P.	SRP-Authorized VB	CoC-Verified entity	SRP Secretariat
1. TC application Request	Provide information about SRP and authorized VB	1.1 Prepare TC application 1.2 Provide TC application to client	Request TC application to CoC Verified VB	Share information about ASP and authorized VBs on request
2. Submission of TC application	Prepare GG/SRP database for VB to upload TC when issued.	2.1 Acknowledge receipt of application 2.2 Record TC request in VB database	Complete TC application and provide TC 's information.	-
3. Review and analyze TC application	-	3.1 Review TC application and required documents	Provide TC accompanying documents not more than 6 months from earliest date of shipment.	-

4. Review supply chain Mass Balance quantity	Provide VB access to GG/SRP supplier database	Review mass balance quantity transferred to conform with supplier production records	Provide additional information on request.	-
5. TC approval	Provide monthly update of database information to SRP	5.1 Approve and issue TC to Client within 15 working days. 5.2 Upload issued TC to GG/SRP Database.	Receive TC and maintain for next audit.	-
6. TC rejection	-	Reject TC application and inform applicant of reason(s).	Be informed of reason(s) for rejection. Resubmit application with additional Information as required.	-

Guidance for TC Issuance

1. TC application request by SRP-Verified PO

1.1 VB prepares TC application according to SRP CoC Policy and Standard v2.0 Annex 4.6 (Template).

1.2 VB provides TC application form to applicant (SRP-CoC Verified PO) according to SRP CoC Policy and Standard v2.0 Annex 4.8 (Application for Transaction Certificate Format).

2. Submission of TC application and acknowledgement

2.1 VB receives TC application from applicant and acknowledges by email.

2.2 VB records TC requests information including date of request to VB database (depending on VB internal recording system arrangement)

3. Review and analyze submitted TC application

3.1 VB reviews and verifies completeness and accuracy of TC application information provided.

3.2 VB reviews submitted accompanying documents to conform with TC document requirement according to SRP CoC Policy and Standard V2.0 Annex 4.6 (Template)

4. Review supply chain Mass Balance quantity

VB reviews mass balance quantity transfer requested from TC application to conform with supplier production records from GG/SRP supplier production database.

5. TC approval process

5.1 VB approves and issues TC to client within 15 working days according to SRP CoC Policy and Standard V2.0 Annex 4.5 (Timelines for issuing Transaction Certificates).

5.2 VB uploads and issues TC to GG/SRP database within VB regulation period.

6. TC rejection process

In any case of rejection of TC application, VB informs applicant with reasons and recommendation to revise TC application if PO needed.

End of process.

Reference documents

SRP Assurance Scheme v 1.3

Information Note No 1 (12/2020)

Information Note No 2 (6/2021)

Information Note No 3 (4/2022, this document)

License & Registration Agreement (LRA)

VB License and Sublicence Agreement v 2.0

SRP Chain of Custody Policy & Standard v 2.0

SRP Chain of Custody Fee Table 2022

SRP Brand Manual

www.sustainablerice.org