# Sustainable Rice Platform

## SRP

# SUSTAINABLE RICE PLATFORM

## Assurance Scheme 2.0 Overview

# About SRP

Sustainable Rice Platform (SRP) is a global multi-stakeholder alliance established in 2011, co-convened by the International Rice Research Institute (IRRI), the United Nations Environment Programme (UNEP) and private sector partners.

**SRP is an independent membership association with over 100 institutional members aiming transform the global rice sector by:**

| Improving smallholder livelihoods | Reducing the social, environmental and climate footprint of rice production | Offering the global rice market an assured supply of sustainably produced rice to meet the growing global demand for rice |
| --- | --- | --- |

# SRP in Timelines

## 2011

- Co-convened by the International Rice Research Institute (IRRI) and the United Nations Environment Program (UNEP), together with research and private sector partners.
- Established with the goal of promoting best practices in rice farming that are environmentally friendly and socially responsible, while boosting yields

## 2015

- Introduced the world's first voluntary Standard and Performance Indicators for sustainable rice farming, dedicated to the needs of smallholders and based on proven science-based best-practices.
- Verification audit with no assurance scheme

## 2020

- The launch of the **SRP Assurance Scheme 1.0** and SRP-Verified Label
- GLOBALG.A.P. as Assurance Service Provider

## 2023

- The launch of **SRP Assurance Scheme 2.0**
- Develop own SRP Assurance Platform

# From farm to market…



## On pack *SRP-VERIFIED* Label & Assurance Scheme 2.0

- UNEP-backed 'SRP-Verified' on-pack label

- Basis for sustainable rice procurement

- De-risk rice value chains

- Transparency and market differentiation

- Consumer choice!

**Optional carbon inseting module in preparation (Q3/24)**

## SRP-Verified rice already available in 20 countries:

- Sweden
- Denmark
- Germany
- Italy
- Netherlands
- Switzerland
- UK
- USA
- More to follow …

**50,000 ha, > 9,500 producers, 30+ producer groups**

# SRP Assurance Scheme 2.0 – Major Changes

**Assurance Scheme managed in-house**

**Clear Terminology on Assessment**

**Focus primarily on 3$^{rd}$ party assessment as basis for claiming SRP Standard compliance**

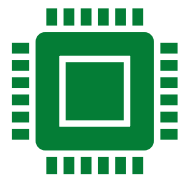**Revise the Assurance Fee Structure – directly invoice to CABs by SRP**

**Oversight Program:**

**1)Annual review;**
**2)Witness audits;**
**3)Compliance audits**

**SRP Assurance Platform – database of audit management and traceability**

# Assurance Scheme managed in-house
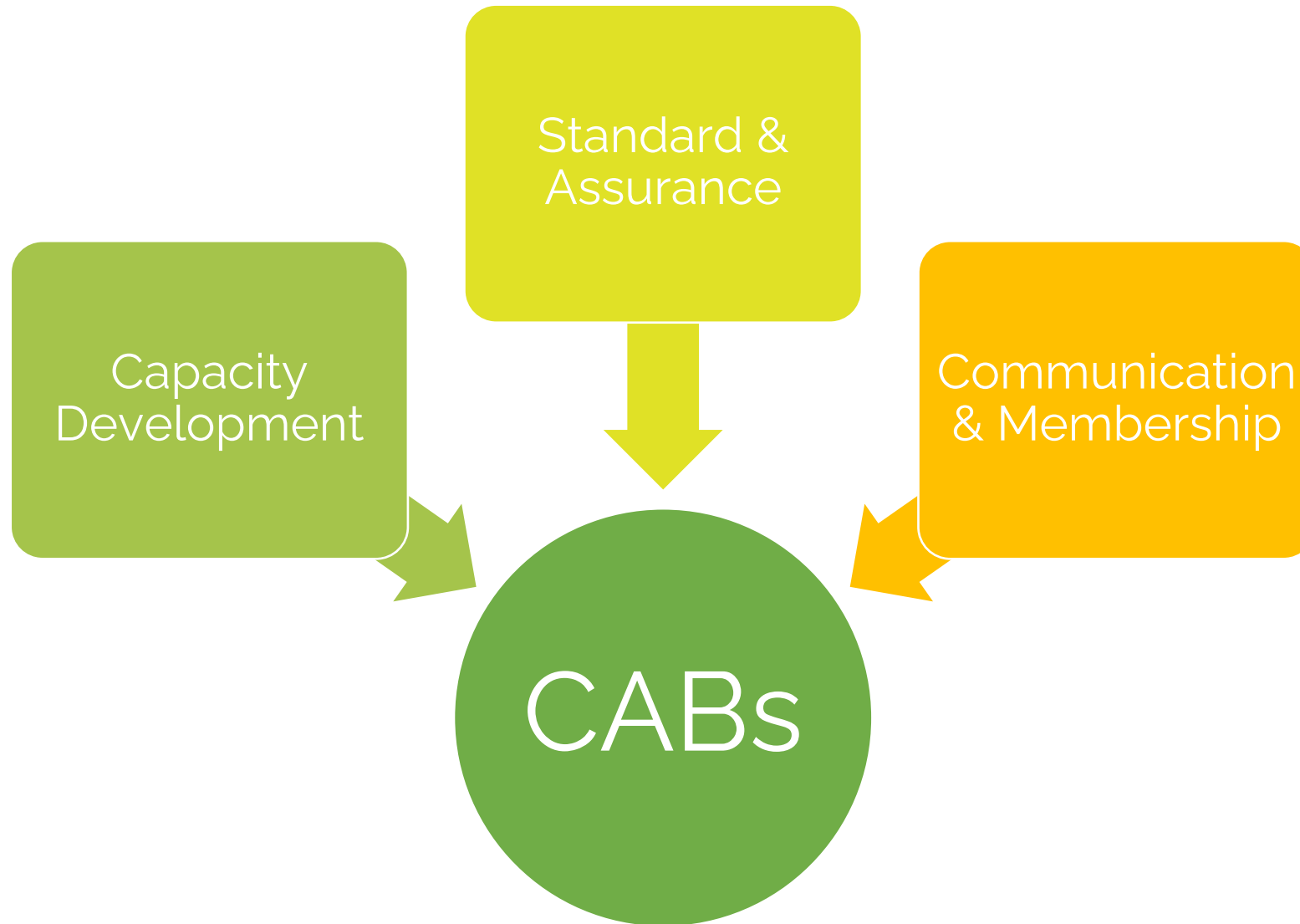
# Assurance Scheme Fee Structure

## Verification Holder (VH) fees

Farm registration fee – EUR2.00/ha

Site registration fee – EUR250/site

Transaction Certificate - tbd

## Conformity Assessment Body (CAB) fees

License fee – EUR 2000

Auditor registration fee – single qualification EUR 50

Auditor registration fee – dual qualification EUR 100

Sustainable Rice Platform

SRP

Assurance Program
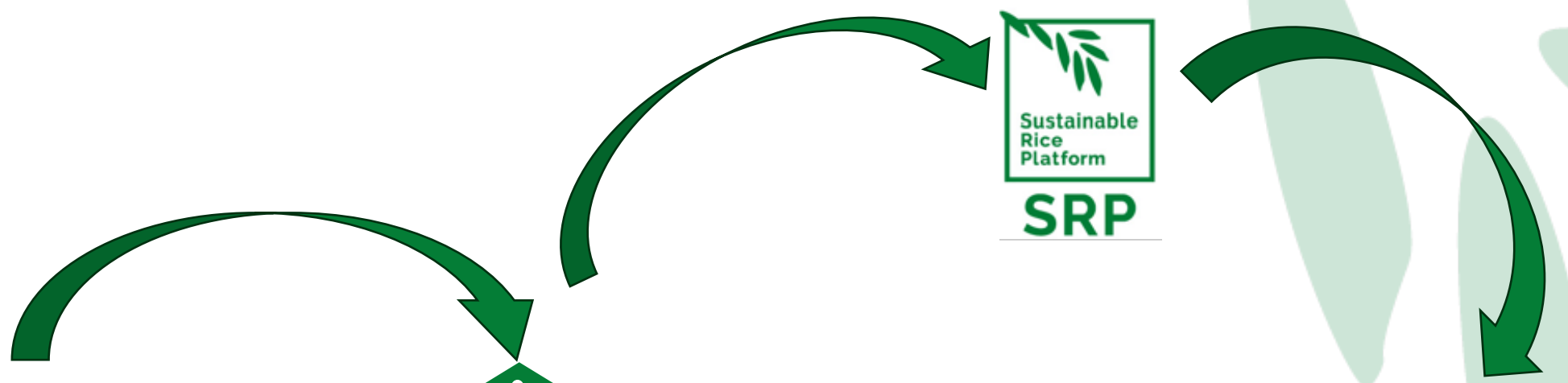
# Assessment type

**Internal assessment**: assessment of compliance with the SRP Standard for Sustainable Rice Cultivation performed by peers, members of an IMS Team or an appointed external party (other than an approved CAB) on behalf of the producer.

**Second-party assessment**: assessment activity performed by an entity, or a person linked to the producer or producer group being assessed.

**Third-party assessment**: assessment activity performed by an approved CAB that is independent of the producer or producer group being assessed.

Further development

Assurance Scheme 2.0
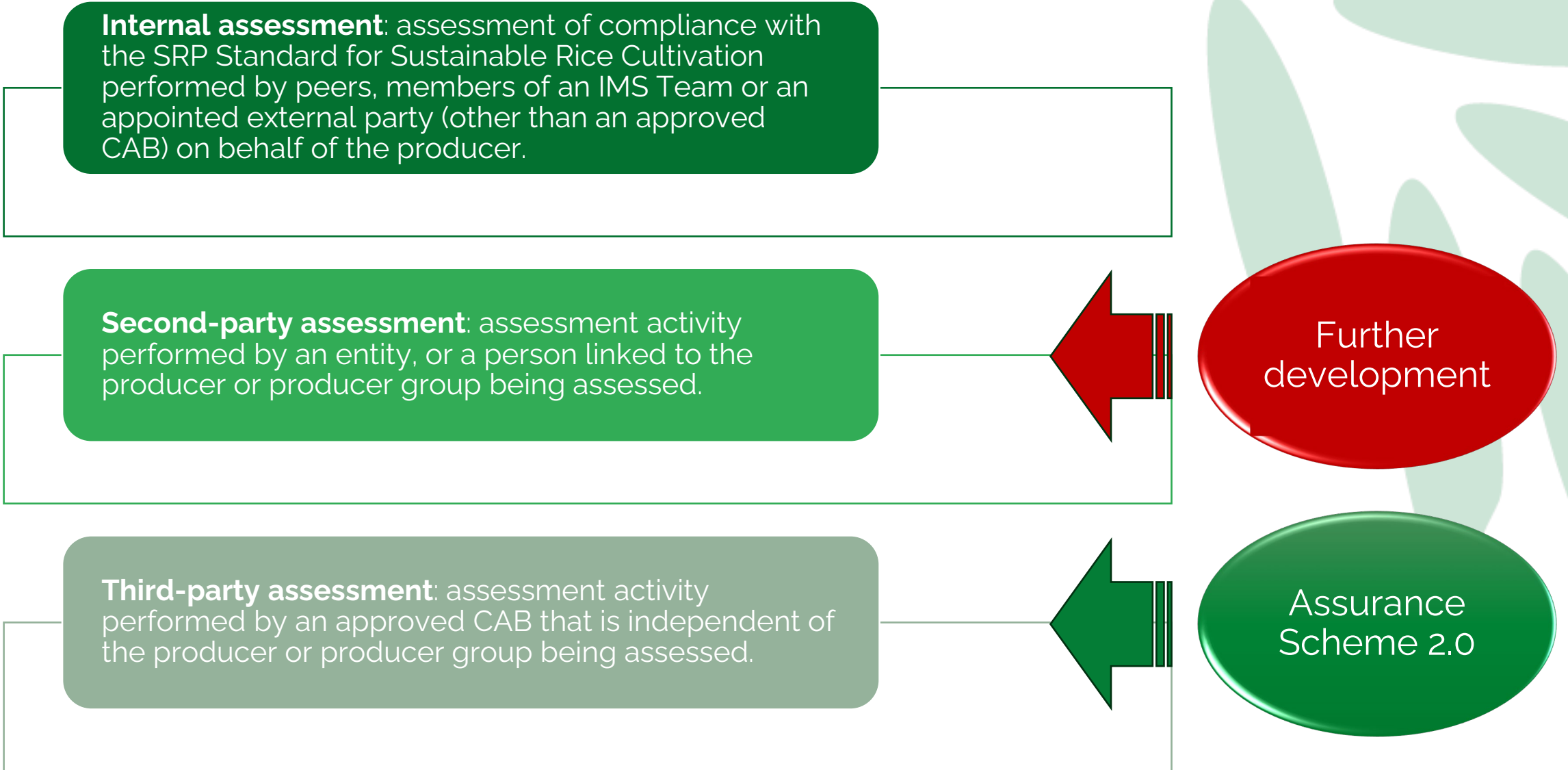
# Oversight Program

**Annual Office Review – Desktop review process**

**Witness Audit – Field Visit, join with CAB's audit**

**Compliance Audit – Field Visit, conducting audit to one of VHs**

# SRP

## Welcome.

User name

Password

Remember me    I have forgotten my password

Login

# Scope of Platform Development

## Phase 1
### Q4 2023

- System setup
- Processes and data collection
  - Onboarding
  - Collection of audit data
- Reminders and Alerts

## Phase 2
### Q1 2024

- Audit Checklist
- Manage missed thresholds / corrective actions
- Reporting

# SRP
**Sustainable Rice Platform**

Companies 〉

Documents

Application

Verification Audit

Verification Statement

## Welcome

Welcome to the **SRP Assurance Platform**!



## Quick link to open tasks

**SRP Verification Audit**          0/3

## Messages

**Bettina Hundt**          24-10-2023          16:45

We are developing the SRP Assurance Platform.

If you have any questions, please contact support@chainpoint.com.

Login as CAB admin

# Roles and authorizations

SRP
- Manager
- User

CABs
- Admin
- Auditor
- Reviewer

CAB
- Verification Unit
- Verification Unit

CAB
- Verification Unit
- Verification Unit

CAB
- Verification Unit
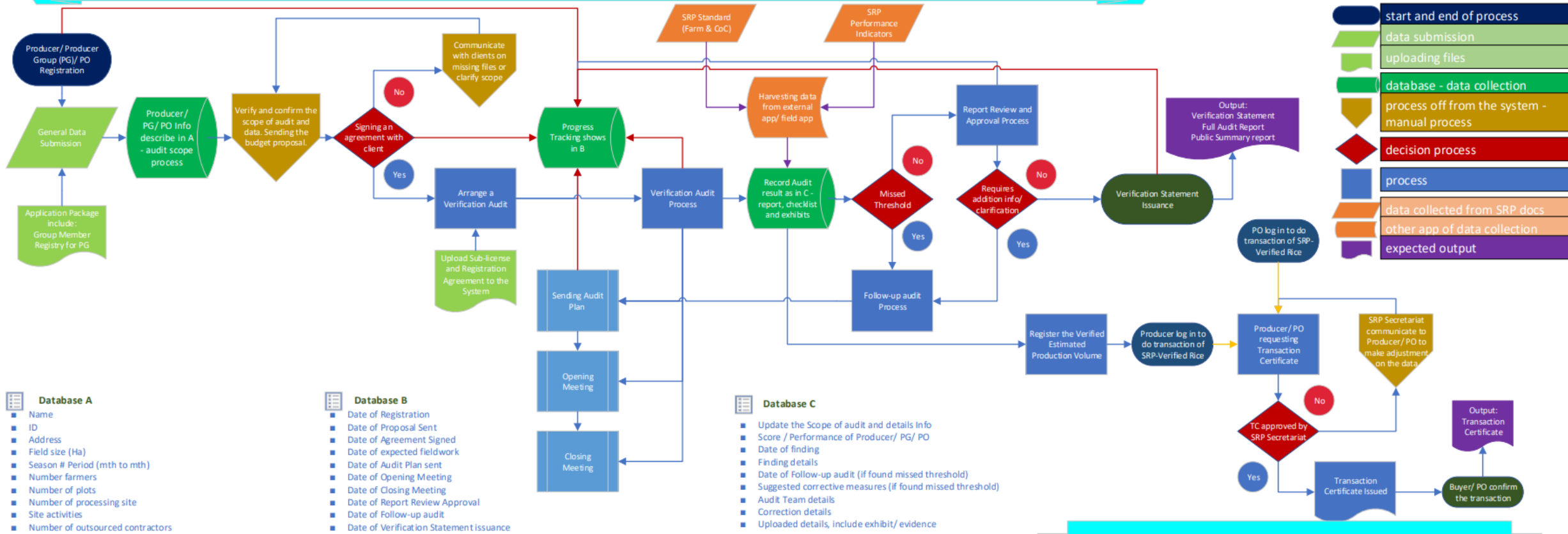- Verification Unit
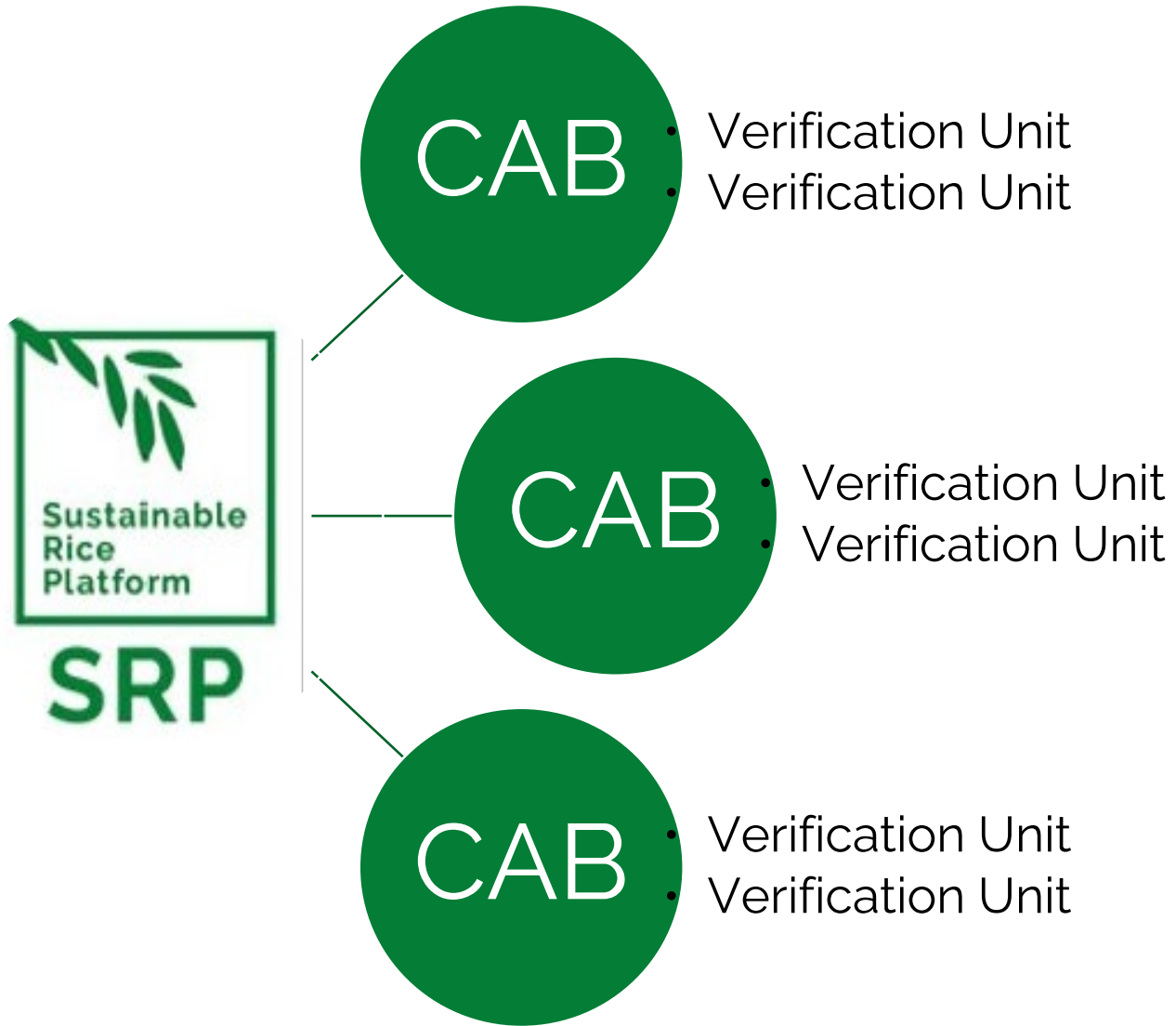
- SRP will register approved CABs and Verification Holders
- CABs will register Verification Units, schedule Audits and issue a Verification Statement

- Verification Holder (VH) – can be producer or farmer organisation or sponsor organisation
- Verification Unit – is producer or producer group or participating operator
- VH can relate to more than one Verification Units (VUs)
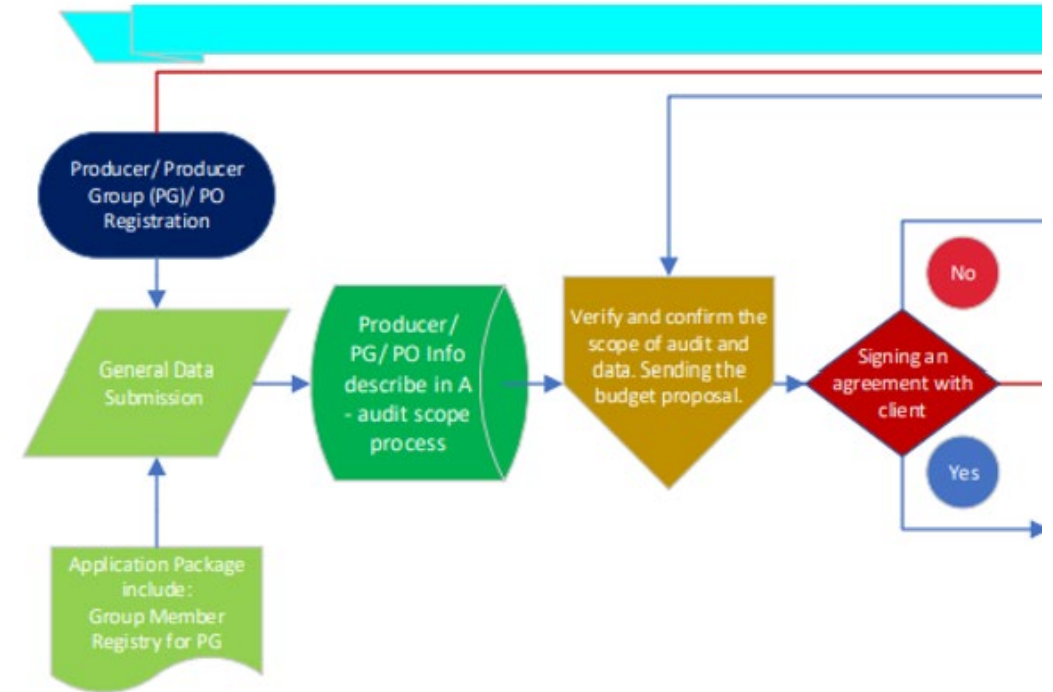
# SRP Assurance Platform

**VBs are the User**

Producer/ Producer Group (PG)/ PO Registration

General Data Submission

Application Package include: Group Member Registry for PG

Producer/ PG/ PO Info describe in A - audit scope process

Verify and confirm the scope of audit and data. Sending the budget proposal.

Signing an agreement with client — No / Yes

Communicate with clients on missing files or clarify scope

Arrange a Verification Audit

Upload Sub-license and Registration Agreement to the System

Progress Tracking shows in B

Verification Audit Process

Sending Audit Plan

Opening Meeting

Closing Meeting

SRP Standard (Farm & CoC)

SRP Performance Indicators

Harvesting data from external app/ field app

Record Audit result as in C - report, checklist and exhibits

Missed Threshold — No / Yes

Follow-up audit Process

Report Review and Approval Process

Requires addition info/ clarification — No / Yes

Verification Statement Issuance

Output: Verification Statement Full Audit Report Public Summary report

Register the Verified Estimated Production Volume

Producer log in to do transaction of SRP-Verified Rice

Producer/ PO requesting Transaction Certificate

PO log in to do transaction of SRP-Verified Rice

SRP Secretariat communicate to Producer/ PO to make adjustment on the data

TC approved by SRP Secretariat — No / Yes

Transaction Certificate Issued

Output: Transaction Certificate

Buyer/ PO confirm the transaction

**SRP-Verified Organisation/Companies are users**

## Legend
- start and end of process
- data submission
- uploading files
- database - data collection
- process off from the system - manual process
- decision process
- process
- data collected from SRP docs
- other app of data collection
- expected output

## Database A
- Name
- ID
- Address
- Field size (Ha)
- Season # Period (mth to mth)
- Number farmers
- Number of plots
- Number of processing site
- Site activities
- Number of outsourced contractors

## Database B
- Date of Registration
- Date of Proposal Sent
- Date of Agreement Signed
- Date of expected fieldwork
- Date of Audit Plan sent
- Date of Opening Meeting
- Date of Closing Meeting
- Date of Report Review Approval
- Date of Follow-up audit
- Date of Verification Statement issuance

## Database C
- Update the Scope of audit and details Info
- Score / Performance of Producer/ PG/ PO
- Date of finding
- Finding details
- Date of Follow-up audit (if found missed threshold)
- Suggested corrective measures (if found missed threshold)
- Audit Team details
- Correction details
- Uploaded details, include exhibit/ evidence

# General Data Submission
# and audit scope during registration



**Database A**

- Name
- ID
- Address
- Field size (Ha)
- Season # Period (mth to mth)
- Number farmers
- Number of plots
- Number of processing site
- Site activities
- Number of outsourced contractors

# Audit Management – Monitoring and Performance Control

**Database B**

- Date of Registration
- Date of Proposal Sent
- Date of Agreement Signed
- Date of expected fieldwork
- Date of Audit Plan sent
- Date of Opening Meeting
- Date of Closing Meeting
- Date of Report Review Approval
- Date of Follow-up audit
- Date of Verification Statement issuance
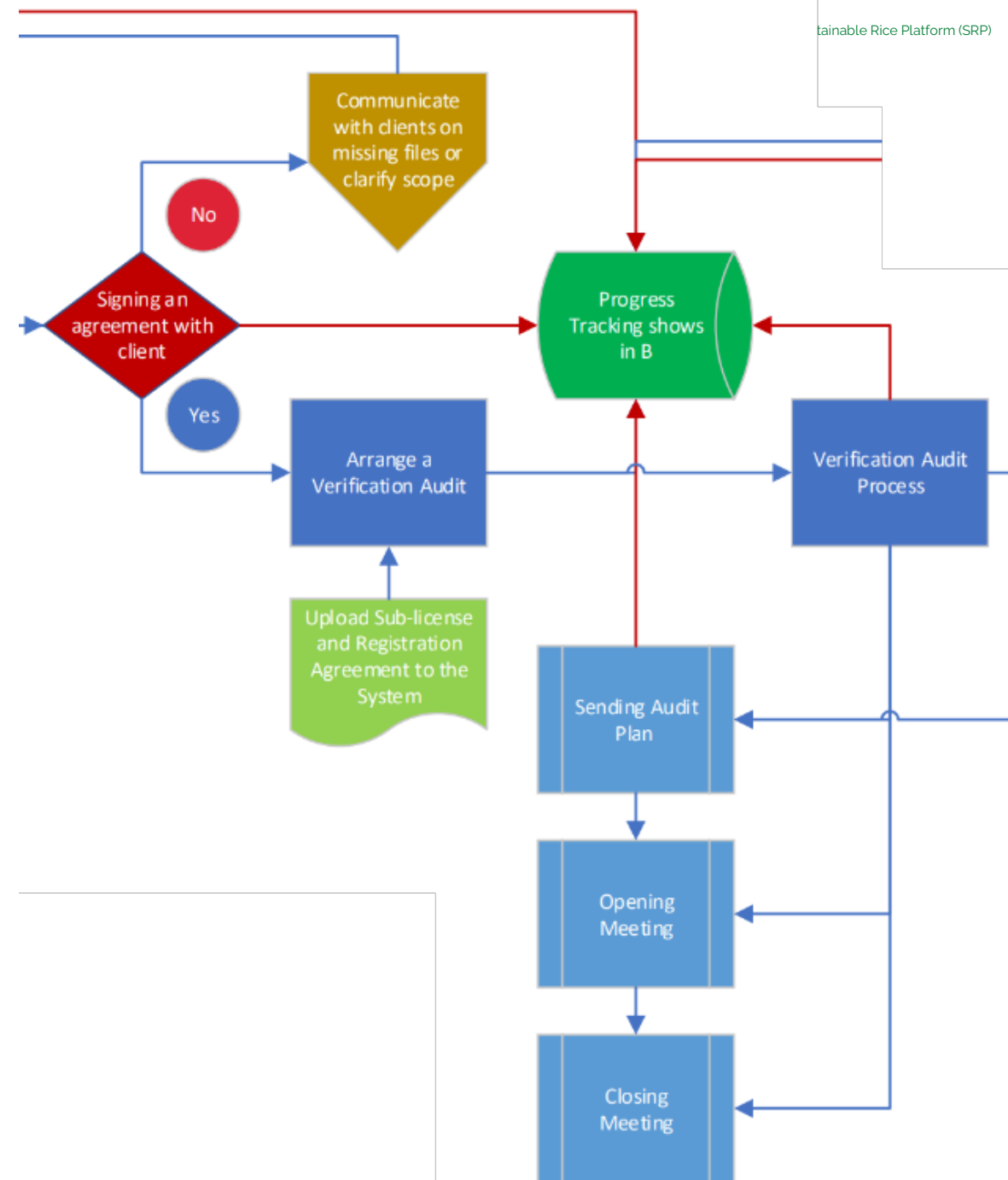
# Record audit results

## Database C

- Update the Scope of audit and details Info
- Score / Performance of Producer/ PG/ PO
- Date of finding
- Finding details
- Date of Follow-up audit (if found missed threshold)
- Suggested corrective measures (if found missed threshold)
- Audit Team details
- Correction details
- Uploaded details, include exhibit/ evidence
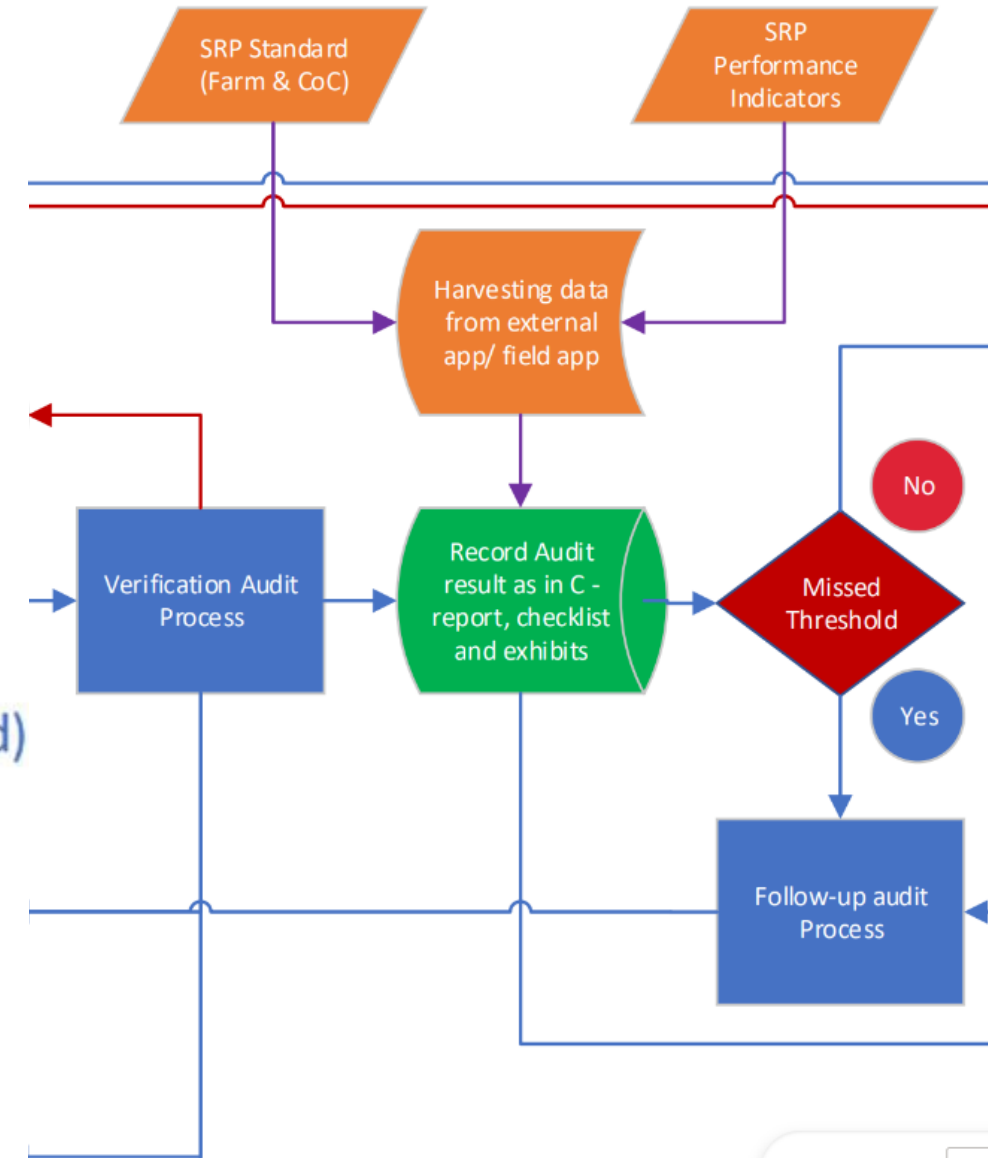
# Next steps

Configuration work (ChainPoint)

↓

Testing by SRP

↓

User acceptance testing (CABs testing)

↓

Data Migration by SRP supported by CABs

↓

Go Live January 2024

# SRP Verification

**Major changes in the verification process**

**Verification** is issuance of a statement that fulfilment of specified compliance requirements has been demonstrated, following a process of third-party assessment.

Three-year cycle means three years validation of Verification Statement

Required to undergo two announced full on-site audits, and one unannounced full on-site audit

Feasible timeline and process to complete the verification decision.

# Specific Rules

## Audit Time

Onsite audit must be conducted at a moment when it is possible to assess compliance with all requirements of the SRP Standard

## Audit Time

At least one on-site audit should be conducted during harvest season, or prior to harvest when the paddies ready for harvesting.

## Audit Time

Either a scheduled on-site audit or the unannounced on-site audit should be at a time when an auditor can verify activities in the field

## Audit Time

Audit inspection window of 8 months around the 'annual' audit to enable all seasonal aspects to be verified

## Sampling

Sampling may apply during a third-party audit within a producer group, or an individual producer with multiple farms/plots.

## Sampling

The basic sample size is the square root (rounded up) of the number of group members registered or of farms/plots.

## Sampling

The size of the sample of group members to be audited may be increased or decreased based on a number of risk factors set out in SRP Assurance Scheme

## Sampling

In order to allow sampling size reduction, the minimum score in IMS audit shall be either 75% and no missed threshold in preceding audit or if above 85% with no more than 1 missed threshold in preceding audit

# Type of Missed Thresholds and Consequences

| Consequences of NCs<br>for which evidence can only be assessed during the next appropriate season | | |
|---|---|---|
| **Type of audit** | **Type of Missed Thresholds or NCs** | |
| | **Relating to mandatory threshold** | **Relating to non-mandatory threshold** |
| **Initial** | No verification can be issued until positive subsequent assessment outcome. | No verification can be issued until positive subsequent assessment outcome. |
| **Subsequent** | Verification **suspended**. Verification can only **be reinstated following positive** subsequent assessment outcome. | Verification **retained**, but if CAP and evidence are **not approved at next assessment, verification will be suspended**. |

# Reporting Timeline with no NC

| Audit report and response schedule | | | |
|---|---|---|---|
| **Responsibility** | **Action** | **Maximum calendar days** | **Maximum elapsed days after last day of audit** |
| **CAB Auditor** | Produce draft audit report | 21 | 21 |
| **CAB Reviewer** | Review and approve before send to producer/ producer group | 7 | 28 |
| **Producer/ producer group** | Check and comment on any inaccuracies | 7 | 35 |
| **If NO NCs in the audit report** | | | |
| **CAB** | Finalise audit report, update SRP platform and send final report to SRP and producer/ producer group | 7 | 42 |

# Reporting Timeline with NCs

| Audit report and response schedule | | | |
|---|---|---|---|
| **Responsibility** | **Action** | **Maximum calendar days** | **Maximum elapsed days after last day of audit** |
| **CAB Auditor** | Produce draft audit report | 21 | 21 |
| **CAB Reviewer** | Review and approve before send to producer/ producer group | 7 | 28 |
| **Producer/ producer group** | Check and comment on any inaccuracies | 7 | 35 |
| **If NCs in the audit report** | | | |
| **CAB** | Finalise audit report, update SRP platform and send final report to producer/ producer group to **build Root Cause Analyses (RCAs) and Corrective Action Plans (CAPs)** | 7 | 42 |

# Reporting Timeline with NCs

| Audit report and response schedule | | | |
|---|---|---|---|
| | **For immediately auditable NCs in the audit report** | | |
| **Producer/ producer group** | Provide RCA and CAP | 28 | 70 |
| **CAB Reviewer** | Review and agree CAP | 14 | 84 |
| **Producer/ producer group** | Provide evidence of corrective action | 21 | 105 |
| **CAB Reviewer** | Review and approve evidence | 14 | 119 |
| **CAB** | Finalise audit report, update SRP platform and send final report to SRP and producer/ producer group | 7 | 126 |

# Reporting Timeline with NCs

| Audit report and response schedule | | | |
|---|---|---|---|
| | For only-seasonally-auditable NCs in the audit report | | |
| **Producer/ producer group** | Provide RCA and CAP | 28 | 70 |
| **CAB Reviewer** | Review and agree CAP | 14 | 84 |
| **Producer/ producer group** | Provide evidence of corrective action | At next audit *will be reviewed during audit process* | |
| **CAB** | Finalise audit report, update SRP platform and send final report to SRP and producer/ producer group | 7 | 91 |

# How to Get Verified

**Step 1**

Download relevant documents:
- SRP Standards for Sustainable Rice Cultivation or
- SRP CoC Standard
- SRP Assurance Scheme

**Step 2**

Preparation:
- Set a verification audit scope
- Internal assessment
- Initiate in-house training or if necessary, may contact SRP authorized training provider

**Step 3**

Find SRP approved Conformity Assessment Body (CAB):
- Prepare application
- Initiate site risk assessment (for CoC)
- Contacting Conformity Assessment Bodies (CABs)
- Register with the CAB of your choice

**Step 4**

Audit arrangement:
- Complete all administration prior audit
- Send out documents to CAB for desktop review
- Set an audit date
- Receiving an audit plan

**Step 5**

Conducting audit
- Opening meeting
- Audit conducted based on risk assessment
- Provide all documents requested by auditor, prepare for interview and field observation during audit process
- Address any missed thresholds or open NCs within timeline set forth in Assurance Scheme

**Step 6**

Verified and maintain the compliance and product integrity:
- Receiving verification statement
- Maintain /improve performance and SRP CoC system
- Reporting to CAB for any changes
- Reporting to CAB for all SRP-verified transaction annually

# CAB Registration Process

Download the **CAB Application Form** from the SRP website

Complete the **CAB Application Form** and send to SRP Secretariat for registration and evaluation process

Payment to invoice for the registration and evaluation fee

Desktop review and clarification call if necessary

Payment to annual license fee and auditor(s) registration fee

Sign a License and Registration Agreement and you are ready to offer SRP Verification Services to value chain actors

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# CAB Responsibility

## Assign    Human Resources

- Scheme Manager
- In-house trainer
- Auditors
- Reviewer
- Cert Admin

## Oversight   Program

- After registration process, maintaining the assurance system, include qualification of auditors
- Conducting quality assurance through internal audit
- Annual office review – desktop audit
- Accommodate witness audit from SRP
- Address any feedback from compliance audit by SRP

## Update   SRP Assurance Platform

- Register all Verification Unit that been engaged into the SRP Assurance Platform (SRP-AP)
- Update the milestone date and upload required files
- Complete the verification audit as per the timeline set forth in Assurance Scheme 2.0
- Contact SRP Secretariat for any issues

# What does it mean for existing CABs

**Agreement**

Renew the License and Registration Agreement with SRP before 31 December 2023.

Renew the Verification Service Agreement (former name Sublicense and Registration Agreement with clients before 31 December 2023.

**Verification Audit**

Proceed the CAB's registration process soon prior the verification audit.

Arrange the verification audit as usual following the Assurance Scheme 2.0 timeline.

**Fee**

Pay any outstanding invoice from GLOBALG.A.P. under SRP Assurance Program.

No fee for re-registration and evaluation of SRP's CAB, however, the annual license fee will be invoice in the beginning of the year.

# Next steps

**Nov 23**
- Registration process
- Completing the outstanding with GG
- Proceed with LRA sign

**Dec 23**
- Data confirmation
- Data transfer to SRP Platform
- Collecting and send all VSA

**Jan 24**
- Pilot training for IHT
- Exam run by SRP
- Train all auditors
- Run the Audits as per AS2.0

# Calibration Against AS 2.0

- **Document of Criteria and Training Procedure is under the process of updating and will publish the revision soon**

- **Training Modules should be ready by January 2024**

### Calibration Sessions and exams by the SRP

First Calibration Session (29 January 2024)

2nd Calibration Session TBD

**Who can attend:**

- **Master Trainers from Authorized Training Providers**

- **In-house Trainers**

### Calibration through Regular Sessions and exams by Authorized Training Providers

SRP will encourage and work with Authorized Training Providers to arrange multiple special sessions for calibration of already Authorized Trainers as well as New Candidates. In Next 3 months

**Who can attend:**

- **Authorized Trainers to get calibrated**

- **New Participants**

Note: It is mandatory for all Authorized Trainers and In-house Trainers to get calibrated against New Major revision within 6 months of release

## IMPORTANT – REMINDER

Conformity Assessment Bodies to re-register and renew agreement with SRP

Producers and supply chain actors to keep updated and also renew their agreement with CAB

# THANK YOU

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