GLOBALG.A.P.
The Global Partnership for Safe and Sustainable Agriculture

SRP Sustainable Rice Platform

SRP Assurance Framework

Main SRP System Elements

SRP ASSURANCE FRAMEWORK

WORK PROCESS

- The SRP Assurance Framework is the result of:
  - Members of SRP Working Group 3 on Farmer Support, Performance Measurement, and Assurance in 16 meetings since January 2017
  - Training strategy and Assurance Workshop (March 2018)
  - UTZ SRP 3rd Party Audit Protocol for Pilots
  - SRP Strategic Visioning Workshop and Recommendations
  - GLOBALG.A.P. appointed as SRP Assurance Service Provider in October 2018 to implement the Framework.

SRP ASSURANCE FRAMEWORK

OBJECTIVE

- The objective of the SRP Assurance Framework is to provide a structure for the operation of the SRP system and its key elements.

- The SRP Assurance Framework shall set rules that **facilitate the adoption** of SRP standard by producers and stakeholders and make sure that the level of **trust** required by its users is **guaranteed**.

SRP ASSURANCE FRAMEWORK

SCOPE

- The SRP Assurance Framework defines **key aspects** like:
  - Different levels of assurance
  - SRP claim and logo use rules
  - Requirements for Assurance Service Providers
  - Requirements for verification bodies and auditors
  - Frequency of assessments
  - Sampling rules for producer groups
  - Traceability and chain of custody

SRP ASSURANCE FRAMEWORK

REQUIREMENTS FOR ASSURANCE SERVICE PROVIDERS (ASP)

- The role of the **Assurance Service Provider (ASP)** is supporting and controlling the right use of the SRP system by producers and verification bodies according to the SRP standard and assurance framework.
- Allowing for SRP data registration
- Evaluating verification body applications and performance
- Handling complaints and grievances related to SRP assessments

SRP ASSURANCE FRAMEWORK

GLOBALG.A.P. APPOINTED AS ASSURANCE SERVICE PROVIDERS (ASP)

More than **430 voluntary members** form the **GLOBALG.A.P. Community**

RETAILERS 50% SUPPLIERS 50%

GLOBALG.A.P. governed by an **elected Board**

More than **1,000 international experts** active in Technical Committees, National Technical Working Groups and Focus Groups

More than **188,000 certified producers** in over **125 countries**

3 main **products** with more than **40 standards** and **programs**

More than **600 products** available for certification

Capacity building for thousands of people on **5 continents** and in **10 languages**

An extensive **worldwide network** of **consultants** to help producers with their certification process

A harmonization program to **benchmark schemes** and **checklists** around the world

A pioneering **integrity system** with independent assessments to **monitor** the **performance** of our certification bodies

More than **2,000 inspectors** and **auditors** working for **155 accredited certification bodies**

A secure **online certification database** to check producers and validate certificates

A **consumer label** for seafood based on the GLOBALG.A.P. Aquaculture Standard

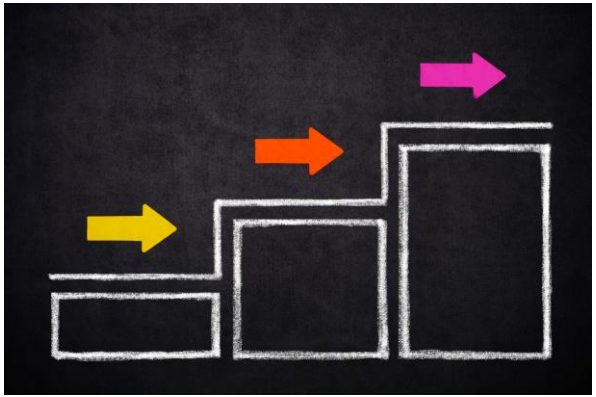
An online **consumer portal** for transparent farm verification and information

A **consumer label** for plants based on the GLOBALG.A.P. Flowers & Ornamentals Standard

SRP ASSURANCE FRAMEWORK

ASSURANCE LEVELS

- 3 assurance levels to facilitate adoption and make sure the SRP users can obtain the assurance they expect from the system.
  - **Level 1: Self-Assessment**
  - **Level 2: Second party verification**
  - **Level 3: Third party verification**



- Certification level may be available as an additional option in the future.

SRP ASSURANCE FRAMEWORK

VERIFICATION BODIES

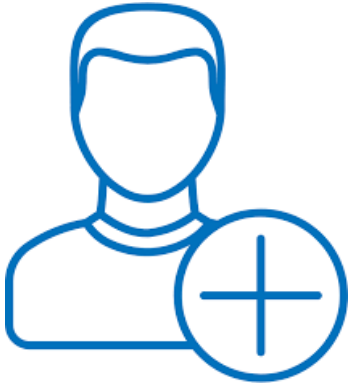
- **Verification** is the evaluation of producers' compliance with SRP thresholds and standard requirements by a second or third party.
- **2nd Party verification** may be done by implementing partners also responsible for data collection (research institute, NGO, traders, millers).
- **3rd Party verification** may be done by companies not linked to the producer for the implementation of SRP standard, usually farm assurers, verification or certification bodies.

SRP ASSURANCE FRAMEWORK

REQUIREMENTS FOR AUDITORS

- Auditors conducting SRP verifications shall:
  - Work for an approved Verification Body
  - Be educated in an agricultural / crop based discipline
  - Have at least 1 year experience in crop production and quality assurance
  - Participate in formal SRP training
  - Have necessary language verbal and writing skills

- The VB shall monitor the performance of all their approved auditors.



**Lead auditors can train up to 5 auditors in the VB.*

SRP ASSURANCE FRAMEWORK

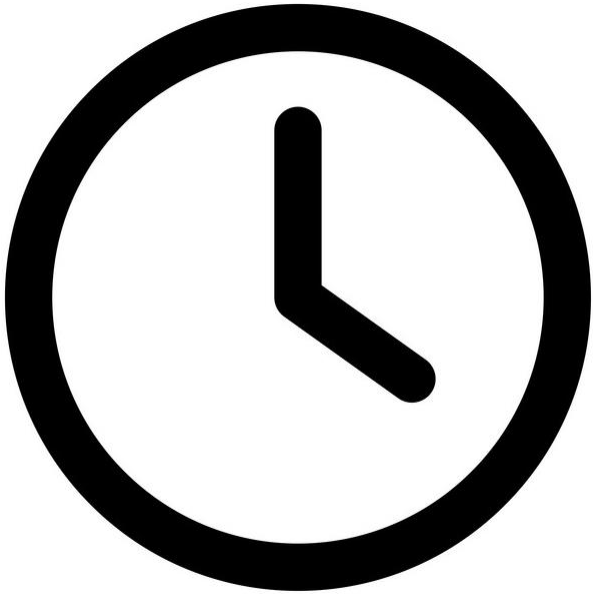
ASSESSMENT FREQUENCY AND INTENSITY

- Annual assessments
- Sampling in the case of producer groups (square root of members)
- As a risk-based assurance mechanism will allow for reduced frequency of audits to producer groups up to a 50% reduction.

SRP ASSURANCE FRAMEWORK

OTHER CHARACTERISTICS OF SRP ASSESSMENTS

- **Audit timing:** flexibility in the time when the assessment is done to allow for effective auditing of rice as a seasonal product.
- **Audit duration:** advised minimum duration of on-site audit of 1 day for a large farm (above 10 hectares
- **Un-announced assessments:** are recommended to increase sytem robustness



SRP ASSURANCE FRAMEWORK

SRP CLAIMS AND LOGO USE

- Different claim and logo use rights depending on the verification level:

	Off-product use of claims and logo	On-product use of claims (no logo)	On-product use of claim & logo
Self Assessment	X		
2nd party verif.	X	X	
3rd party verif.	X	X	X

- Claim example: "*working towards sustainable rice production*"

SRP ASSURANCE FRAMEWORK

TRACEABILITY AND CHAIN OF CUSTODY

- On- and off- product claim "Working towards sustainable rice cultivation" claim **does not require** traceability or Chain of Custody certification/verification.
- On-product use of the SRP logo is permitted for the verified by third parties level.

SRP ASSURANCE FRAMEWORK

TRACEABILITY AND CHAIN OF CUSTODY

SRP allows three different types of Chain of Custody options:

- **Identity Preservation:** allows verified products to be traced through the production process.
- **Product Segregation:** ensures that verified product is kept separate from non-verified sources, though it may not be possible to trace the grain back to its origin.
- **Mass Balance:** ensures that not more rice is sold with an SRP claim compared to the SRP verified rice that entered the processing unit.

- ***Book and Claim:*** is not considered a valid Chain of Custody model. However, it allows for Corporate Values Statement such as "Driving sustainable rice production through the Sustainable Rice Platform".

SRP ASSURANCE FRAMEWORK

NEXT STEPS

- During 2019, the implementation of the new Assurance Framework and SRP standard by early adopters will provide the experience to:
  - Be more precise in aspects like estimated audit duration
  - Confirm the adequacy of rules
  - Strengthen capacity building material
  - Test chain of custody models
  - Build strong retailer engagement