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# Sustainable Rice Platform Assurance Scheme v2.0 Information Note No. 2

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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. Co-convened by the International Rice Research Institute (IRRI), the United Nations Environment Programme (UNEP) and private sector partners, SRP works with its members and 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

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**This Assurance Scheme v2.0 Information Note No. 2 has normative status and is intended as notification of additional requirements to the SRP Assurance Scheme v2.0.**

It is intended for use in conjunction with the Assurance Scheme v 2.0 and related documents governing the SRP Assurance Scheme. All such documents are publicly available for download at the SRP website<sup>1</sup>.

The scope of this document covers the following topics:

1. Identify Root Cause Analysis (RCA) to develop Corrective Action Plan (CAP)
2. Verified Unit (VU) and Verified Holder (VH) Relation
3. Verified Unit (VU) ID (Identification)
4. Verified Unit (VU) transfer to other Conformity Assessment Body (CAB)

### 1. Identify Root Cause Analysis (RCA) to develop Corrective Action Plan

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This rule below is in accordance with the Assurance Scheme v2.0. It is crucial for Verified Units to address any missed thresholds or non-conformities (NCs) by identifying Root Cause Analysis (RCA) to develop a Corrective Action Plan (CAP). The primary objective of a CAP is to prevent the recurrence of NCs and ensure ongoing compliance with standards, regulations, and requirements.

- 1.1. SRP has prepared the [Guidelines for Identifying Root Cause Analysis and Developing Corrective Action Plan v1.0](#). These guidelines come with links to support VUs how to identify Root Cause Analysis using a 5WHYs methodology. One of the links directed to a [short video explaining the 5WHYs Root Cause Analysis](#) and how to do it in the right way.
- 1.2. Verified Unit has to identifying the RCA and develop CAP using an official template [SRP-RCA\\_CAP-Template-Apr24.xlsx](#).
- 1.3. This template should be submitted to CAB as a plan, and later will be used as a basis for verification.
- 1.4. The Verified Unit should provide evidence to close the NCs or to address missed thresholds.
- 1.5. The CAB must review and make decisions if CAP sufficient to make a positive conclusion of the verification audit.
- 1.6. Also check the Assurance Scheme v2.0 page 52, table of Audit Report and Responses Schedule, for immediate auditable NCs, CAB will verify evidence submitted by the producer or producer group within 14 calendar days. In the case of

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

only-seasonally-auditable NCs, the evidence will be verified as soon as possible during the next season or next audit.

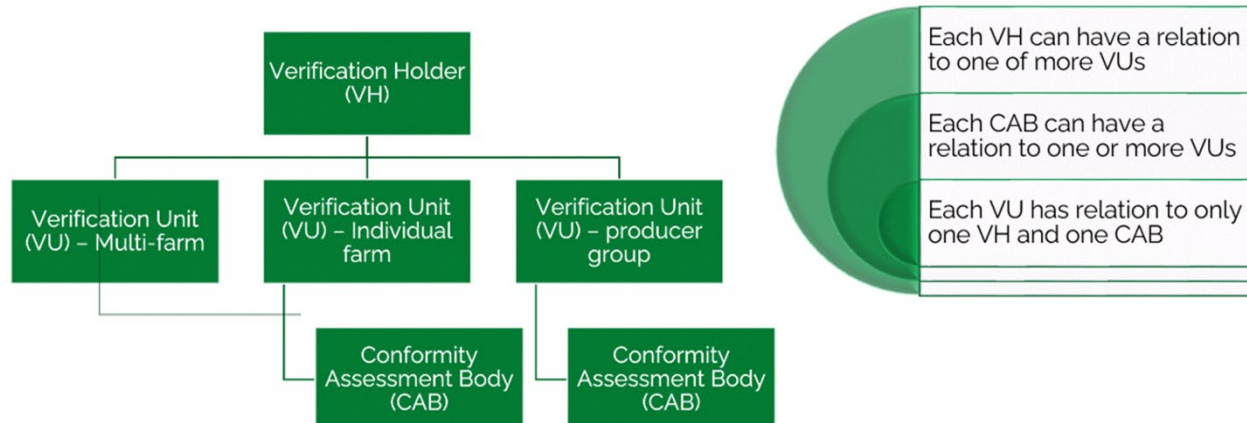
## 2. Verified Unit and Verified Holder Relation

- 2.1. The launch of [SRP Assurance Platform](#) introduced two new terms:
- 1) **Verified Unit (VU):** This refers to the entity that holds the verification statement. This means that the company signs the Verification Service Agreement (VSA) with the CAB, has its name on the Verification Statement and exclusively engages with a single CAB.
  - 2) **Verified Holder (VH):** The VH represents a company holding that supports the SRP audit program and manages verified units that may be located in different countries. Therefore, one VH may relate to more than one VU.
- 2.2. In the SRP Assurance Platform, if the VU has no connection to a group holding or international company, the VH record in the SRP Platform will contain the same information as the VU.
- 2.3. A Verified Holder (VH) may be associated with one or more Verified Units (VUs). However, one VU shall be associated with only one VH and one CAB. Kindly refer to the diagram below for more information on the relationship between VH-VU-CAB.



Sustainable Rice Platform (SRP)

## Refresher from December 2023 Monthly meeting



### 3. Verified Unit (VU) ID (Identification)

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Following the publication of the Assurance Scheme v2.0 and the decision to migrate all data from the GLOBALG.A.P. database to a dedicated SRP-developed data management portal (the [SRP Assurance Platform](#)), the Verified Unit ID will no longer be assigned as the SRP Verified Unit's GGN ID (under GLOBALG.A.P. terminology). Instead, the current Verification Statement should utilize the **Verified Unit ID** generated from the SRP Assurance Platform, which is attached to the Verified Unit Name. Please refer to the example below, highlighted in yellow.

For example, the name of the VU is **Sunset Co., Ltd.**, - VU0026, the Verification Unit ID is **VU0026**.

Rice Producer - **VUTEST007**

### 4. Verified Unit (VU) transfer to other Conformity Assessment Body (CAB)

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In accordance with the Assurance Scheme v2.0 page 23 – section 7.2.7, a Verified Unit (VU) could switch the contracted CAB for verification services between two full on-site announced audits. Here are the guidelines for a VU transfer request:

- 4.1. Complete the SRP Verified Unit (VU) Transfer Request which give details information of the transfer process.
- 4.2. All outstanding payments, including membership fees, must be cleared before initiating the transfer.
- 4.3. There should be no unresolved missed threshold or non-conformities associated with the verified unit.
- 4.4. The transfer request must be made between two full on-site announced audits.
- 4.5. The request should be submitted in writing to the current CAB and send notification to SRP, providing contact information for the future CAB. This enables the current CAB to transfer all relevant documentation pertaining to the verified unit audits. Documentation required for the transfer are:
  - a. Latest, active SRP Verification Statement
  - b. Last verification audit report
  - c. Farmer checklist
  - d. Group member registry (for producer group or individual farm with multiple farms)
  - e. Evidence of NCs' closure (if applicable)
- 4.6. Provide the reason for the transfer request and the future CAB intended to take over verification services.

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## Reference documents

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SRP Assurance Scheme v2.0

SRP Assurance Platform [SRP LIVE \(sustainablerice.org\)](https://sustainablerice.org)

<http://www.sustainablerice.org>