Third party audit protocol for pilot implementation of the SRP Standard for Sustainable Rice Cultivation

Applicable only to SRP Member Pilots

Sustainable Rice Platform
UTZ

Version 1.5
March 2018

SRP - UTZ (2017). 3rd Party Audit Protocol for Pilot Implementation of the SRP Standard for Sustainable Rice Cultivation, Version 1.5.

The Sustainable Rice Platform (SRP)

SRP is a global multi-stakeholder alliance co-convened by UNEP and IRRI in 2011, comprising 29 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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1. Introduction

1.1. Sustainable Rice Platform

The Sustainable Rice Platform (further referred to as "SRP") is a multi-stakeholder partnership to promote resource efficiency and sustainability both on-farm and throughout the rice value chain. The SRP has developed and adopted:

a. the SRP Standard for Sustainable Rice Cultivation version 1.0 ("SRP Standard"), and

b. the SRP Performance Indicators for Sustainable Rice Cultivation version 1.0 ("SRP Performance Indicators").

Not available yet, but required for supply chain assurance, the following tools need to be developed:

c. a Standard for an Internal Management System for Sustainable Rice Cultivation ("IMS Protocol")[1], only available in draft

d. the Standard for the Sustainable Rice Supply Chain ("SRSC Standard"),

e. a Claims protocol, and

f. an assurance protocol (only available in draft)

An **IMS Protocol** is a documented system of quality management with the purpose of facilitating an efficient organization and management of farmers and farmer groups. The IMS increases performance throughout each inspection/ verification/ audit cycle. It helps farmer groups participating in the SRP Program comply with the applicable requirements of the SRP Standard. A draft version is available upon request.

A **SRSC Standard**, often also referred to as 'Chain of Custody', is used to ensure that rice with either one of the claims ("sustainably cultivated rice" or "working towards sustainable rice cultivation") is adequately managed throughout the supply chain to guarantee its traceability. This Standard is not available yet.

A **Claims Protocol** is the document which defines how and which claims and communication can be made in relation to the SRP Standard compliance. During the pilot phases of SRP Standard implementation pilots should adhere to the *Communication Guidance Pilot Phase SRP implementation version 1.0.* This document defines which claims may be made during the pilot phase.

An **Assurance Protocol** is a document in which the the 'rules of the game', the regulations related the use and implementation of all SRP standards and abovementioned tools are documented. Assurance improves the integrity, credibility, transparency and effectiveness of the SRP Program.

1.2. Purpose

The SRP encourages a broad uptake of the SRP standards and tools, both by the public and the private sector. Also, the SRP envisions gradual performance improvement with the aim to make a real, measurable impact in the rice sector. To meet the needs of this wide variety

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[1] Occasionally the IMS Protocol may be referred to as 'PMS Standard' where PMS stands for Performance Management System. This emphasizes the Performance focus of the SRP Standard and the Performance Indicators. IMS Protocol and PMS Standard may be used interchangeably.

of industry partners and to gradually increase performance, a **3-tiered assurance framework** with three so called "**assurance levels**" is being developed.

Until the 3-tiered assurance framework is available, this 3rd party audit protocol may be used for audits of SRP pilots.

1.3. Scope

The SRP Standard applies to rice production, including postharvest processes, which are still in control of the farmer. The SRP Standard can be applied by individual farmers, smallholder groups, or larger farms.

This document, the 3rd Party Audit Protocol for the SRP Standard for Sustainable Rice Cultivation version 1.5, is a temporary document to be used by Certification Bodies (CBs) when performing an audit of farmers or farmer groups during the pilot phase of SRP Standard implementation. Only Certification Bodies who meet the following conditions may perform audits using this protocol:

1. Have received training by a training provider approved by SRP Secretariat on the SRP Standard v1.0, the IMS Protocol v1.0 and this 3rd Party Audit Protocol and have received a training certificate under the scope of this pilot phase,

2. Audit farmers or farmer groups part of a pilot by SRP Member(s) which has been approved by SRP Secretariat.

3. Have requested and received endorsement by SRP Secretariat to audit SRP pilots

A list of endorsed CBs is available upon request. CBs who wish to be trained and endorsed, may contact SRP Secretariat.

1.4. Abbreviations

ASP   Assurance Service Provider
CB   Certification Body
IMS   Internal Management System (In case of SRP in some cases Performance Management System (PMS) is used to stress the SRP focus on performance improvement)
SM   Scheme Manager
SRP   Sustainable Rice Platform

1.5. Definitions
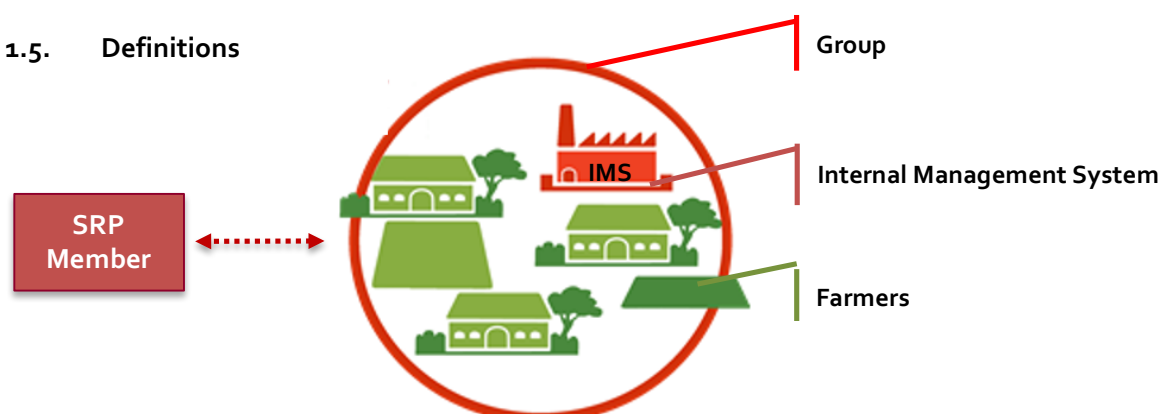
- *SRP Member:* Organizations that participate in the Sustainable Rice Platform by committing themselves formally to contribute, either financially or in-kind. The list of SRP members is available [here](). SRP Members are invited by the SRP to initiate their own pilots, further referred to as SRP Member Pilots.
- *Group:* A group of farmers organized in an association or cooperative or managed by a supply chain actor (such as a miller or exporter) or another entity.
- *Internal Management System:* A documented system of quality management with the purpose of facilitating an efficient organization and management of the group. The IMS helps ensuring that the farmers participating in the SRP program comply with the applicable requirements of the SRP Standard
- *Farmers:* The person or organization belonging to the group that is responsible for management of the farm.
- *Assurance Service Provider (ASP):* An organization endorsed by SRP to provide assurance services based on the SRP Standard, using this Third Party Audit Protocol. The SRP allows for multiple Assurance Service Providers, which will be responsible for overseeing global adherence to this protocol and training of 3rd party auditors on behalf of SRP until the SRP Assurance Framework is fully operational.
- *Standard Setting Organization:* The SRP, being the owner of all SRP standards and all supporting SRP policies, documents and tools.

1.6. Reference Documents

Short name	Document name	Document version
SRP Performance Indicators	SRP Performance Indicators for Sustainable Rice Cultivation	v. 1.0, October 2015
SRP Standard	SRP Standard for Sustainable Rice Cultivation	v. 1.0, October 2015
SRP Data Collection Tool	SRP Standard Data Collection Tool	v. 1.0
SRP Data Aggregation Tool	SRP Data Aggregation Tool	v. 1.0
IMS Protocol	Internal Management System Protocol for the SRP Standard for Sustainable Rice Cultivation	v. 1.0, September 2016
3rd Party Audit Protocol	3rd Party Audit Protocol for the SRP Standard for Sustainable Rice Cultivation - For SRP Member Pilots	v. 1.4, November 2016
CB Application Form	CB Application Form for Rice	v. 1.0, June 2016
Checklist SRP Standard	Checklist SRP Standard	v. 1.0, September 2016
Checklist IMS Protocol	Checklist IMS Protocol	v. 1.0, September 2016
Statement of Audit Results Template	Statement of SRP Pilot Audit Results Template	v. 1.0, September 2016

1.7. Objective and Scope of 3rd Party Audit Protocol

This *3rd Party Audit Protocol* is developed to provide a practical and credible assurance system for the 3rd party audits for the Sustainable Rice Platform (SRP) Pilots initiated by SRP Members during the current pilot phase until the Assurance Framework is fully operationalized.

The assurance system is sustained through the following elements (see annex 1):

- Independent 3rd party auditing against the *SRP Standard* and the *IMS Protocol* by a credible ISO 17065:2012 accredited CB in accordance with the regulations stipulated in this document.

- The establishment of a group's Internal Management System (IMS) following the *IMS Protocol*, responsible for conducting a self-evaluation (self-assessment) on the IMS' performance and internal inspections to the farmers belonging to the group.

1.8. SRP Pilot objectives

The objectives of the SRP Pilots initiated by SRP Members are:

- To evaluate compliance levels of the pilot groups with the *SRP Standard* and *IMS Protocol,* verified in an 3rd party audit by a formally approved CB and documented by the CB in an Audit Report and/or *Statement of Audit Results*;

- To allow the compliant pilot groups to make an off-pack claim, without the use of a mark, referring to the compliance level with the *SRP Standard* and *IMS Protocol*;

- To evaluate to what degree compliance of the pilot groups with the *SRP Standard* and *IMS Protocol* has contributed to a reduction in child and forced labour;

- To evaluate the auditability of the *SRP Standard* and *IMS Protocol* and to make suggestions or recommendations to the SRP Secretariat based on lessons learned from the pilots.

2. Certification Bodies

2.1.   CB Approval Process

The pilot audits are to be conducted by 3rd party CBs, which meet the approval requirements as stipulated in annex 2. UTZ, as an Assurance Service Provider approved by SRP (for these SRP Member pilot audits), reserves the rights to amend the approval requirements and to approach or select CBs itself for the pilots. As part of the CB approval process, a scheme manager and one or more certifiers and auditors must be appointed by the CB and approved[2] by UTZ.

CBs need to fill in the *CB Application Form* and submit this form together with compliance evidence to CBmanagement@utz.org. In particular, UTZ will take into account social auditing skills/ experience of applying certifiers and auditors, as some of the pilots particularly focus on the impact of the social requirements of the *SRP Standard* (see chapter 3.1, step 5). Once the CB is deemed compliant, UTZ will issue an official approval statement.

It is mandatory for the selected CB(s) (i.e. mandatory for the selected certifiers and auditors and recommended for scheme managers), to participate in a CB Training Program (annex 3) prior to the SRP audits. This training program is free of charge, but transport and accommodation is to be paid by the CB. Depending on the upscale of new pilots initiated by SRP Members, UTZ will organise new CB Trainings.

For the SRP Pilots, subcontracting of another CB, auditor and/ or certifier is not allowed. That is, all CB staff involved in the pilot audit and review process should be directly employed by the CB.

2.2.   Tasks, Responsibilities and Obligations of CBs and their Staff

The tasks for CB and their staff are the following:

Scheme Manager	Certifier	Auditor
Administrative management of the CB's account for the pilots and communication on behalf of the CB with UTZ and/or SRP Members (except communication on compliance decisions).	Ensure and supervise that all auditors conduct the audits in accordance with this *3rd Party Audit Protocol* and the *SRP Standard* and *IMS Protocol.*	Perform the audits in accordance with this *3rd Party Audit Protocol* and the *SRP Standard* and *IMS Protocol.*
Ensure that all certifiers and auditors meet the approval requirements and participate in the mandatory CB Training Program (annex 3).	Review of the selected audit sample, auditing results and reports. Ultimately responsible for the audit report content and responsible for the compliance decision/ recommendation.	Produce timely and accurate audit reports, agreed by the auditee, for review by the Certifier.
Ensure that certifiers and auditors have access to and use all latest versions of reference documents (section 1.3) for their tasks.	Communication with UTZ and/ or SRP Members concerning audit results, compliance decisions/ recommendations, or issues that could jeopardize the audit results.	Be informed about local developments, issues, national laws and national regulatory changes that pertain to auditing the *SRP Standard* and the *IMS Protocol*.
Ensure that audit timelines as stipulated in this protocol (chapter 3) are maintained.		

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[2] Approval is by proxy (no accreditation). The scope is limited to pilots implement-ations. Pilot projects need to have approval from SRP prior to engaging a CB.

Certifiers and auditors are expected to fulfil their tasks with due professional care and the highest ethical standard. They are not permitted to carry out any activities that may affect their impartiality or confidentiality. That is:

- In order to comply with the "four eyes principle", the certifier and auditor cannot be the same person. The audit must be conducted by one person (the auditor or the auditing team), and the review of the final audit results (incl. the compliance decision if applicable) needs to be made by another person (the certifier).

- Certifiers and auditors cannot carry out consultancy activities for the same groups (clients) they audit, nor should they have worked as an employee or independent contractor (e.g. consultant, advisor, or trainer) for these groups within 2 years prior to the audit.

- The CB and its staff must strictly observe and respect confidentiality of information and records - of the CB itself, of the SRP Member Pilots and the auditee (pilot group). Information and records resulting from or related to the audit can only be given to third parties other than the selected Assurance Service Provider (such as UTZ) if written consent from the auditee, from the SRP Member, ACP and CB is granted.

3. Audit and Review Procedure

3.1.   Audit Preparation Procedure

	Audit Preparation Procedure
1	The pilot group (miller) receives guidelines, training and support in: - Establishing/ strengthening an Internal Management Systems (IMS), as requested in the *IMS Protocol*, and - Good farming practices as required under the *SRP Standard.* In the process of establishing/ strengthening the IMS, the group implements various activities and processes that lead to a continuous improvement of its performance. The IMS requirements are stipulated in the *IMS Protocol.*

2	Prior to the audit and in the below order, the IMS should:
	    a) map and register the farmers that belong to the group in a *Farmer List* and sign agreements with farmers;
	    b) conduct a risk-assessment, to identify possible risks that need special attention during the internal inspections;
	    c) conduct internal inspections to verify that all farmers belonging to the group are complying with the SRP Standard;
	    d) carry out a self-evaluation (self-assessment) on its overall performance and audit readiness.

Internal inspection	The aim of the internal inspections is to inform the group of its compliance progress and to flag up farmers' non-conformities or other issues that need improvement. The *IMS Protocol* (section 2.3) specifies which farmers require individual internal inspections. For the pilots, all farmers belonging to the group need to be inspected. Farmers that did not receive an internal inspection should be excluded from the group and the group's external audit. The internal inspectors are appointed by the group and must be competent, objective and impartial and need to follow a systematic inspection approach (i.e. based on the risk-assessment outcome) when doing the inspections. The *SRP Standard* is used to verify each farmer's compliance. Non-conformities detected during the internal inspection, as well as the corrections and corrective actions to solve these non-conformities must be recorded. Findings are documented in *Individual Farmer Reports* (using the *SRP Data Collection Tool*) and a *Group Summary Report* (using the *SRP Data Aggregation Tool).* Information generated from the internal inspections must be made available for (internal) management purposes and for review by the CB.
Self - evaluation	The final self-evaluation of the IMS is done after the internal inspections and prior to the external audit. The aim of the self-evaluation is to recap on the risks previously ascertained by the group and to verify the overall readiness of the IMS and farmers belonging to the group. The self-evaluation is two-fold: 1. Review of the *Individual Farmer Reports* and *Group Summary Report* of the internal inspections, including the review of the progress of farmer's corrections and corrective actions. Additional findings are added to the *Group Summary Report.* 2. A self-check (self-scoring) on the compliance of the IMS itself with the *IMS Protocol*[3], including a check on the administrative / management system and mandatory documents required for the external audit. Findings of the self-check are documented by filling in the *Checklist IMS Protocol.* Information generated from the self-evaluation must be made available for (internal) management purposes and for review by the CB.

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[3] Due to time constraints, it is plausible that the self-evaluation of the IMS cannot be fully completed for the SRP Member Pilots in 2016.

3	When the group deems to be compliant, the group (or party acting on behalf of the group) contacts (one or more) CBs to request for an audit (quote). ASP (e.g. UTZ) is in principle not involved in the audit/ contract negotiation process, but reserves the rights for the pilots to ask the CB for a price quote. For the CB to determine the audit scope, fee and timeframe, the CB may request the documents below listed under step 4.
4	Before the external audit takes place, the group must share the following with the CB, for the CB to prepare for the audit and to complete a risk-assessment to determine the audit sample size: - *Farmer List*; - *Group Summary Report* (i.e. list of all farmers and their topics of attention showing compliance status including non-conformities, corrections and corrective actions if applicable of individual farmers based on the internal inspections); - Self-evaluation report of the IMS (filled in *Checklist IMS Protocol)* indicating which requirement of the *IMS Protocol* the group does (not) comply with, including an explanation for all requirements; - *Group Management Plan*, including all action needs identified in the risk assessment, internal inspection reports, self-evaluation reports and KPI's[4].
5	The CB reviews the documentation received from the group (step 4) and determines: - Whether preconditions for the audit are met; - Which topics/ criteria/ farmers should deserve special attention during the audit; - The (draft) audit sample. <table><tr><td>**Audit sample size**</td><td>The CB must physically audit the IMS of the group + at least the square root of the total number of farmers (rounded up to the next whole number and with a minimum of 5). The CB can increase this number of farmers to be included in the sample, based on a risk-assessment.</td></tr><tr><td>**Audit sample selection**</td><td>The sample of farmers that is physically audited must be representative for the entire group. These farmers are selected based on a combination of risk-based evaluation by the CB (based on the groups' self-evaluation) and random selection. Farmers with a considerably different production system or located at a large distance from the rest of the group must be included in the sample. For the pilots, at least one farmer of each region (district) has to be selected for the audit sample.</td></tr></table> **IMPORTANT NOTE: For the pilots, CBs are requested to pay special attention to social requirements 40 – 46 of the SRP Standard and therefore to be included in the risk-based evaluation of the group.**
6	Based on the audit sample size, the CB determines/ proposes the audit scope, time frame and fee, to be reflected in a formal contract/ agreement to be signed by the selected approved CB and group (or party acting on behalf of the group). The details of the farmers belonging to the audit sample are only made known to the group during the opening meeting of the audit.

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[4] It is plausible that the Group Management Plan can only be developed by the groups based on 2016 audit results and will therefore possibly only be available for 2017 audits.

3.2. Audit & Compliance Procedure

	Audit & Compliance Procedure
1	The CB conducts the audit in accordance with this *3ʳᵈ Party Audit Protocol* against the requirements of the *SRP Standard* and the requirements of the *IMS Protocol.* To facilitate an efficient auditing process, the auditor makes use of the following checklists: • *Checklist SRP Standard* • *Checklist IMS Protocol* The auditor must fill in the *Checklist SRP Standard* and *Checklist IMS Protocol* and include comments on compliance with each of the requirements (indicating at least a description of the evidence). If certain requirements are non-applicable, a justification as to why must be included by the auditor.

Good auditing practices	- The CB reserves the right during the audit to amend the draft audit sample (and hence the audit contract), e.g. when the auditor finds new relevant information not known before and/ or identifies new (compliance) risks. - The audit must be conducted in accordance with the auditing procedures as indicated in chapter 7 of ISO 17065:2012 (process requirements). Where contradictory with the procedures stipulated in this *3ʳᵈ Party Audit Protocol*, this *3ʳᵈ Party Audit Protocol* overrules the chapter 7 of the ISO 17065: 2012 standard. - If translators are used during the audit, they should be independent from the group being audited and must not represent any conflict of interest. - Interviews with workers shall only be conducted in the absence of supervisors and managers, and the identity of interviewees shall be kept anonymous at all times. The number of male and female workers selected for interviews must be proportional to the total number of male and female workers. - The following audit duration must be respected (if deemed necessary more auditing time can be allocated by the CB): maximum 6 farmers per day per auditor, and minimum 0.25 man-days for each processing unit (if applicable).	
Audit Timeframe	- The start date of the harvest may differ per pilot country. For India and Pakistan the start date is ascertained at the 1ˢᵗ of October. For other countries, the start date can be requested from the Assurance Service Provider, in the case of UTZ the contact detail is: CBmanagement@utz.org - For the pilots, the audit must be conducted during the harvest season. If not feasible due to time or capacity constraints, and only in consultation with the ASP (e.g. UTZ) and the SRP Member initiating the pilot, the audit may be conducted outside the harvest season.	
Audit results and records	- Evidence collected during the audit, as well as filled in *Checklist SRP Standard* and *Checklist IMS Protocol* must be kept by the CB for a period of at least 3 years.	
Compliance criteria	- For the auditor to determine if the non-conformities detected during the audit (with the audit sample) are representative for the entire group, the auditor must apply the guidelines given in the ISEAL Assurance Code version 1.0, page 23. - Compliance criteria for the SRP Standard are defined in the SRP Standard, page 3 (scoring). - Compliance criteria for the IMS Protocol have not been defined for the SRP Pilots yet. - Therefore, based on the CB's Audit Report with audit findings and scoring results the SRP Secretariat, ASP (e.g. UTZ), CB and SRP Member together review the final CB's audit results and decide on overall compliance of the group.	

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2	In case non-conformities are found during the audit, the group must implement a **correction** (to resolve the non-conformity) and a **corrective action** (to eliminate the root cause of the non-conformity and prevent it from reoccurring). During the closing meeting of the audit, the group and the CB agree on the time frame in which the correction and corrective action must be undertaken and agree on a follow up audit date (maximum time frame is 60 working days). In case of severe

	non-conformities, the CB can immediately decide that the group is not compliant, meaning the audit procedure needs to be re-started for the next harvest.
3	Upon the agreed date, the CB conducts a follow-up audit (either a desk review or another field audit, to be decided by the CB) to confirm that the correction and corrective action have been implemented and that the non-conformities as well as the root cause have been resolved.
4	No later than 5 working days after the last audit day, or (in the case of non-conformities) no later than 5 working days after all non-conformities have been resolved and verified by the Certifier, the CB submits an Audit Report with audit findings, results and conclusions, as well as the filled in *Checklist SRP Standard* and *Checklist IMS Protocol* to UTZ (CBmanagement@utz.org).These 3 documents have been reviewed, approved and signed by the Certifier before submission to UTZ. For the Audit Report, the CB may use its own Audit Report format or template, provided it does not refer to a compliance or certification decision; only a recommendation based on the pilots' audit scoring results.
5	The ASP (e.g. UTZ) reviews the audit results received from the CB. If the ASP (e.g. UTZ) considers that the information is incomplete, incorrect or unclear, or that the audit was not conducted in line with this 3rd *Party Audit Protocol* or the *SRP Standard* or the *IMS Protocol*, further information, clarification, or correction from the CB may be requested, which the CB then provides within 5 working days to the ASP, in the case of UTZ: (CBmanagement@utz.org).
6	The ASP (e.g. UTZ), CB, SRP Secretariat and SRP Member all together evaluate the final audit results of the CB. For the SRP Pilots, the overall compliance criteria are flexible[5], hence in agreement with CB, a *Statement of Audit Results and/ or Compliance* may be provided by the CB to the group. For this statement the CB uses the *Statement of Audit Results Template*, which may include, but is not limited to: • The group's processes and output product(s) audited; • Group name + address details + reference to the farmers audited (e.g. an updated version of the *Farmer List* is annexed); • Audit date(s); • Overall compliance score results based on: A) compliance score of the *Checklist SRP Standard* + B) compliance score of *Checklist IMS Protocol*; • Compliance status (if applicable); • Compliant volume (if applicable); • Validity period (if applicable); • Allowed claims group may make for the compliant volume within validity period (if applicable); • Other conditions (if applicable) • Contact details of the CB + name & signature of the applicable certifier. The CB prepares the *Statement of Audit Results* and submits it to ASP (e.g. UTZ): (CBmanagement@utz.org) for consent. Upon consent from the ASP (e.g. UTZ), the CB shares the statement with the pilot group within 5 working days.

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[5] As the compliance criteria for the IMS Protocol are not defined yet

	Compliant volume	The compliant volume is the volume of produce that the group is allowed to sell as SRP compliant (i.e. compliant with the *SRP Standard*). It is based on an estimation made by the group of the volume they will produce during the harvest(s). This estimation is verified by the CB and should be made using a credible methodology, based on e.g. previous year harvest(s), density count, input use, pests and diseases, plant variety, soil quality, geographic location, climate.
	Validity period	The validity period starts at the start date of the harvest being audited by the CB and ends 365 days later. Within the validity period, the group may sell its compliant volume under the conditions specified in the *Statement of Audit Results.*
7		The group informs the CB in case of changes in its scopes information.

Annex 1: SRP Pilots - Assurance System with UTZ as ASP example
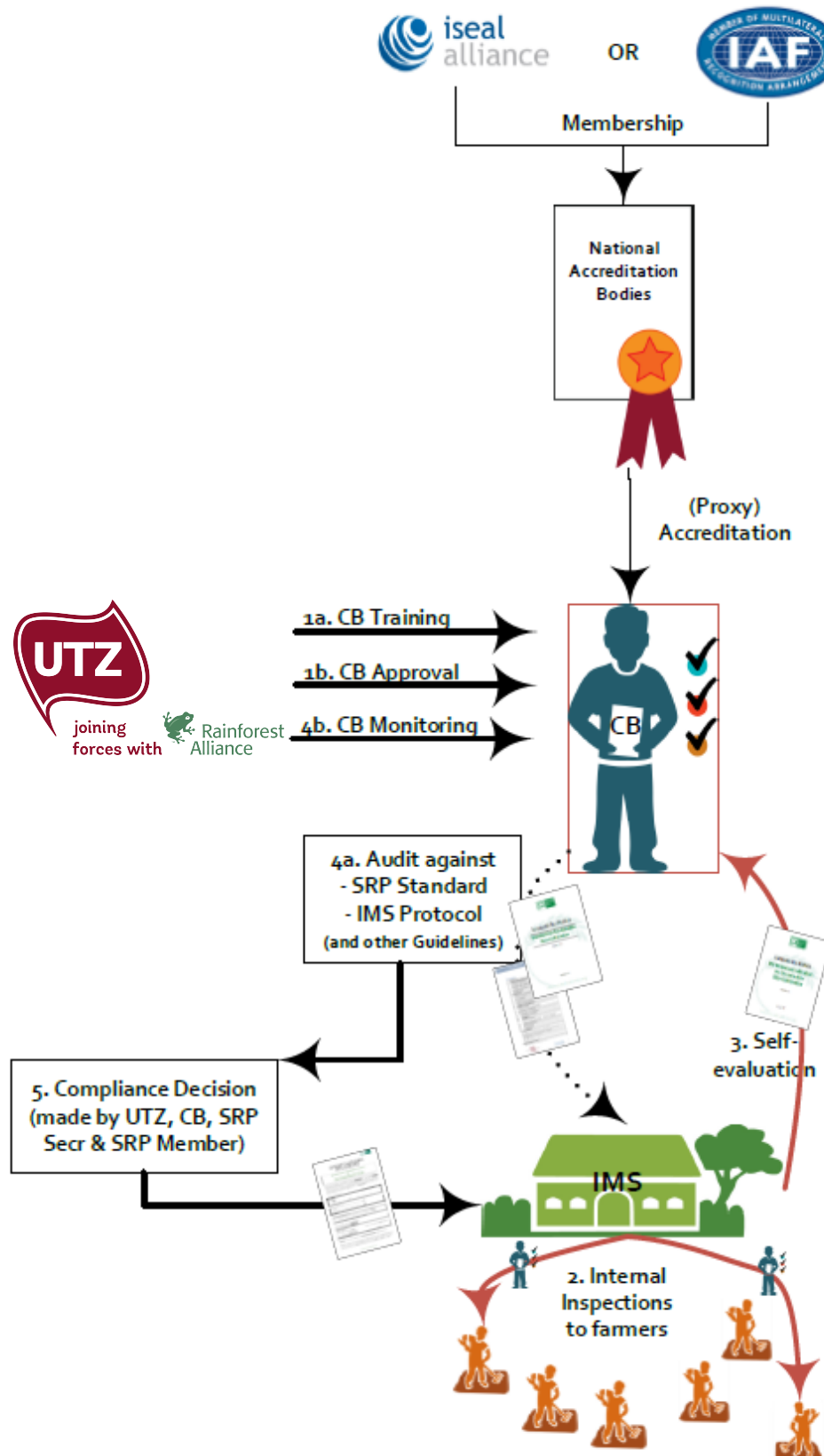
Annex 2: CB Requirements for SRP Pilots as defined by the ASP (UTZ) on behalf of SRP)

	CB Approval Requirements
a.	Hold a valid ISO 17065:2012 accreditation issued by an Accreditation Body (AB) that is: - Member of the International Accreditation Forum (IAF) or - Full member of ISEAL Alliance
b.	The scope of the above ISO 17065 accreditation must cover / be related to agriculture (e.g. Fairtrade, SAN, GLOBALGAP, IFOAM, JAS, NOP and UE)
c.	Have a Scheme Manager, one or more Certifiers, and one or more Auditors that, together, are approved for the following scopes: • Product scope: rice • Geographical scope: India and/or Pakistan • Audit scope: SRP Standard and SRP Guidelines for Sustainable Rice Cultivation

	Scheme Manager Approval Requirements
A	Successful completion of the applicable mandatory training modules described in annex 3.

	Certifier Approval Requirements	Auditor Approval Requirements
A	Successful completion of post-high school (post-secondary school) training in agriculture or horticulture, including the understanding and application of Good Agricultural Practices (GAP) OR At least 5 years of work experience in agriculture or horticulture	Successful completion of post-high school (post-secondary school) training in agriculture or horticulture, including the understanding and application of Good Agricultural Practices (GAP) OR At least 2 years of work experience in agriculture or horticulture
B	Successful completion of the applicable mandatory training modules described in annex 3.	Successful completion of the applicable mandatory training modules described in annex 3.
C	Demonstrable knowledge of the production and processing systems of rice, AND Experience in auditing these systems (at least 10 relevant audits or working days as an auditor or certifier)	Demonstrable knowledge of the production and processing systems of rice, OR Experience in auditing these systems (at least 10 relevant audits or working days as auditor or trainee)
D	Experience in auditing GAP and/or organic agriculture standards (at least 10 relevant audits or working days as an auditor or certifier)* AND Successful completion of: • ISO 9000/9001 lead auditor course, or • ISO 22000 lead auditor course.	Experience in auditing GAP and/or Organic agriculture standards (at least 10 relevant audits or working days as an auditor or trainee)*. OR At least 5 relevant audits or working days as an auditor or trainee and successful completion of: • ISO 9000/9001 lead auditor course, or • ISO 22000 lead auditor course.
e	Experience in auditing social standards (at least 10 relevant audits or working days as an auditor or certifier)** OR Successful completion of SA8000 auditor course.	Experience in auditing social and/or environmental standards (at least 10 relevant audits or working days as an auditor or trainee)**/ ***.

F	Experience in auditing environmental standards (at least 10 relevant audits or working days as an auditor or certifier)*** **OR** Successful completion of ISO 14001 lead auditor course.	Contract with the approved CB performing the audit.
G	Language skills in English suitable for verbal and written reporting to UTZ and other SRP Members.	

Including but not limited to:
* GLOBALGAP, LEAF Marque, national standards (relevant scopes), Organic
** Fairtrade, GRASP, SA8000, SMETA
*** ISO 14001, LEAF Marque, SAN

Annex 3: Example CB Training Program for SRP Pilots

DAY 1

	Topic	Content	Timeslot	Format
A	Opening	Introduction of participants + trainers Expectations of participants Overall objectives of the training Objectives - Day 1 Agenda - Day 1	09:00 – 10:00	Plenary – games + PPT
B	SRP & SRP Pilots	Explanation / background of SRP SRP Member Pilot objectives	10:00 – 10:30	Plenary – PPT
C		COFFEEBREAK	10:30 – 10:45	
D	3rd Party Audit Protocol	Audit Preparation Procedure Audit & Compliance Procedure Good auditing practices	10:45 – 12:15	Working groups - exercises
E		LUNCH	12:15 – 13:15	
F	IRRI workshop	GAPs for rice cultivation/ paddies General issues in rice cultivation Topics of attention for auditors	13:15 - 14:00	Plenary – PPT Workshop – knowledge exchange
G	SRP Standard – part 1	Structure of the SRP Standard How to audit the SRP Standard SRP compliance + claiming rules	14:00 – 14:30	Plenary – PPT + Quiz
H		COFFEEBREAK	14:30 – 14:45	
I	SRP Standard – part 2	Review of content of each requirement	14:45 – 16:45	Working groups - exercises
J	Closing	Recap of main things learned Questions Recap on participants' expectations	16:45 – 17:00	Plenary – games + PPT
K		EXTRA TIME IF NEEDED	17:00 – 17:30	

DAY 2

	Topic	Content	Timeslot	Format
A	Opening	Recap – Day 1 Objectives - Day 2 Agenda – Day 2	09:00 – 09:30	Plenary – games + PPT
B	IMS Protocol – part 1	Structure of the IMS Protocol Review of content of each requirement (1)	09:30 – 10:30	Plenary – PPT Working groups - exercises
C		COFFEEBREAK	10:30 – 10:45	
D	IMS Protocol – part 2	Review of content of each requirement (2) Recap content of IMS Protocol	10:45 – 12:15	Working groups – exercises Plenary – PPT
E		LUNCH	12:15 – 13:15	
F	IMS Audit	How to verify the internal inspection results? How to verify the functioning and performance of the IMS? Interpretation of auditors of a good IMS?	13:15 - 14:45	Working groups - roleplay

G		COFFEEBREAK	14:45 – 15:00	
H	Reporting of audit results	How to fill in Checklist SRP Standard and Checklist IMS Protocol? How to verify the SRP Data Collection Tool and Data Aggregation Tool? Components of audit reports/ Statement of Audit Results	15:00 – 16:15	Individual - exercise
I	Closing	Specific points of attention for pilots (e.g. social requirements, other topics) Recap of main things learned What's next? Questions Recap on participants expectations	16:15 – 17:00	Plenary – games + PPT
J		EXTRA TIME IF NEEDED	17:00 – 17:30	

Note: Where time needs to be made available for prayer or needs to be adjusted to participants' personal agendas, this will be accommodated wherever possible.