



**Farm
Sustainability
Assessment**
BY SAI PLATFORM

Guidance for third-party Verification of Stand-Alone Farm Claims

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1 Introduction

The Farm Sustainability Assessment (FSA) has been developed by the Sustainable Agriculture Initiative Platform (SAI Platform) to enable farms and companies to drive relevant and demonstrable continuous improvement of on-farm social, environmental and business performance through supply chain collaboration.

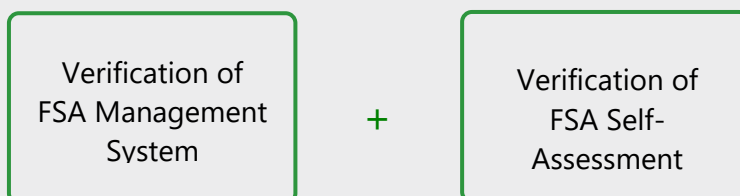
The FSA allows farms to self-assess and improve on-farm sustainability performance in a coordinated and traceable manner. The resulting performance level claim can be externally verified, which is a requirement for making market-facing sustainability claims in relation to products or ingredients produced by FSA self-assessed farms.

2 Purpose of FSA Verification for Stand-Alone Farms

The purpose of the FSA Verification Audit is to validate that the FSA has been implemented correctly, and hence that the result of the FSA Self-Assessment is accurate.

Making FSA Performance Level Claims to Buyers and other stakeholders requires a valid Letter of Attestation to be in place. This Letter can be obtained through a third-party FSA Verification Audit.

FSA Verification Audit of a stand-alone farm must confirm that the FSA Farm Management System meets the FSA requirements, and confirm that the FSA self-assessment carried out by the farm is accurate.



2.1 Verification Body

Only approved Verification Bodies (VBs) may carry out FSA Verification Audits. The requirements for FSA Verification Bodies and Auditors describes the procedures and the requirements for and audit company to become an approved VB.

All approved VBs are listed in the [FSA Verification Body section of the Global GAP website](#).

2.2 Role of the Auditor

All FSA Verification Audits must be delivered by an approved & registered FSA Principal Auditor, who is responsible for ensuring the Audit is carried out according to FSA guidance and requirements.

The experience and competency requirements for FSA Principal Auditors and FSA Associate Auditors (and other key personnel involved in managing VB FSA audit systems) are described in the Requirements for FSA Verification Bodies and Auditors.

All FSA Principal Auditors must be registered in the FSA Verification Database.

2.2.1 Continuous improvement

As well as providing independent, impartial verification, SAI Platform encourages FSA auditors to play a role in supporting the farmer to deliver continuous improvement in sustainable agriculture. Third party verification sits alongside gap analysis, action planning, and training and support in the FSA toolkit to support continuous improvement. The audit should be conducted in a spirit of cooperation, and the auditor should work with the farmer to make a fair assessment of where they are on their sustainable development journey, and identify opportunities to improve.

2.2.2 Triangulation of information

Rather than only looking for hard evidence, auditor must apply “triangulation of information” obtained from different sources:

- Interviews to verify awareness of policies, practices or management systems
- Observation to verify whether farm practices align with the self-assessment

- Inspection of facilities & equipment to verify it meets legislative or other requirements
- Documentation to verify the claim against records of implementation

Triangulation of information from different sources is especially important when auditing smaller farms as these typically will not have hard evidence of farm practices. For example, records of integrated pest management will most likely not be available, even though farmers might implement such practices and these can be observed on-farm.

2.2.3 Risk-based assessment

The auditor must apply a risk-based approach to determining the amount and type of evidence that a farm is required to provide to verify measures in place at the farm. For example, in jurisdictions where legal requirements meet FSA requirements, and are effectively enforced, the risk of inaccuracies is lower and so written evidence may not be required.

3 Normative documents

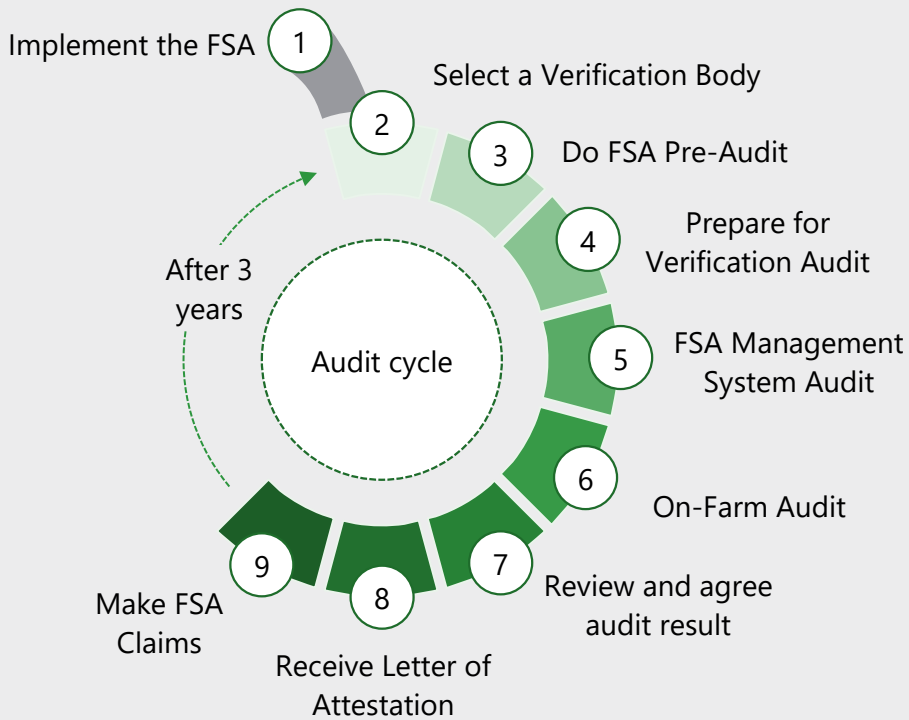
These are the reference documents that underly and govern the FSA implementation and verification process.

- FSA Implementation Framework
- FSA Self-Assessment Questionnaire
- FSA Requirements for FSA Verification Bodies and Auditors
- FSA Audit Guide for Stand-Alone Farms
- FSA Audit Guide for Farm Management Groups
- FSA Audit Control Points and Criteria

Auditors must be familiar with these documents.

All these documents are available in the [FSA Resource Centre](#), and the [FSA Verification Body section of the Global GAP website](#).

4 Overview of Verification Process



5 Planning

5.1 Engagement

The engagement stage should be dialogue between the Verification Body and the farmer, including:

- guidance about the audit requirements and the audit process
- timing and desired outcomes
- any questions

There must be a clear contract in place covering the audit activities, fees and terms.

The Verification Body is usually contracted by the farmer. It is also possible for a Buyer or other actor in the supply chain to contract the Verification Body. In this case, the Letter of Attestation is still owned by the farmer. The contract should be very clear about the agreements around disclosure of information between parties.

SAI Platform recommends that the Verification Body is engaged early in the process of FSA implementation. This allows the farmer time to prepare for the audit, allowing for a smooth and efficient audit.

5.2 Risk assessment

The VB must complete a risk assessment prior to each audit. The purpose of the risk assessment is to inform the auditor's decisions on the amount and type of evidence that a farm is required to provide.

This risk assessment must cover all topic areas covered by the FSA. It must include risks associated with the country/region of operation and the specific crops and farming methods in scope.

The auditor must use clear criteria and thresholds to determine the nature and level of risk in each topic area. This information should be gathered through desk research and the auditing body's own knowledge gained through experience.

The auditor must document the risk assessment, including the assessed risk level for each topic area, details of the evidence reviewed and risk thresholds used. The assessment must be shared with the farmer before the on-farm audits, and included in the Audit Report.

5.3 Audit Plan

A detailed audit plan must be agreed with the farmer.

5.4 Audit timing

The audit of the FSA Management System can take place at any time of year.

It is recommended the on-farm FSA audit is performed during the growing season of the crop(s) covered by the audit, where possible. This is to ensure that the auditor can gather sufficient evidence of relevant processes and activities to verify all questions in the FSA. The auditor should use their judgement to determine whether a visit outside the growing season will enable verification of all relevant control points.

5.5 Register the Audit (optional)

At this stage, the VB may register notification of planned audit in the FSA Verification Database. This is not a requirement but will help SAI Platform to monitor the demand for audits and optimise its audit management programme to the needs of audit companies and their customers.

6 FSA Management System Verification

6.1 Introduction

The purpose of the FSA Management System Audit is to confirm that the FSA Management System has been set up in accordance with FSA requirements as set out in the FSA Implementation Framework.

The Audit consists of 2 elements:



Confirm there is management accountability and oversight of the FSA Management System



Confirm the volume accounting system is accurate, reliable and meets FSA requirements

The Continuous Improvement Plan module is optional for stand-alone farms. If the farm has a continuous improvement plan in place, the auditor should indicate this in the Audit Report, but is not required to verify that it meets FSA requirements.

6.2 Audit control points and criteria

The FSA3.0 FMS Audit Control Points and Criteria document sets out the control points the auditor must investigate for the FSA Management System Audit, and the criteria and evidence for assessing whether the requirements are met.

6.3 Scope of audit

The FSA Management System Audit should include only those systems – or parts of systems – that are used to govern, manage, implement and monitor implementation of the FSA.

The FSA Verification Audit is not a chain of custody audit. The auditor is not required to check the operation of mass balance accounting systems in the value chain beyond the farm.

If any part of the FSA Management System is managed and/or delivered by another organisation, the farmer should ensure that sufficient evidence is available to demonstrate that the policies, procedures or activities of this provider reflect the FSA requirements. This can be done by:

- showing incorporation of these requirements into a contract with the third party, and evidence of a procedure for regular monitoring to ensure these contract requirements are met
- evidence and records provided by the third-party showing adherence to the requirements

- a representative from the third party attending the audit to provide evidence and answer questions in person

The auditor is not required to visit the premises of the third party, or to conduct a separate audit of their policies or activities.

6.4 Audit activities

6.4.1 Management interview(s)

The auditor should interview the farmer, and those responsible for managing all elements of the FSA Management System, in order to gather information on policies, procedures and systems.

6.4.2 Document and records review

The auditor should check documentation available to verify policies and procedures, and records of implementation. This might include:

- policies and procedures for operation of the management system
- records of monitoring of operation of a management system, and any improvements made
- procedures for operation of the Volume Accounting System

6.4.3 Sample testing and data checks

The auditor should test the accuracy and robustness of the Volume Accounting System by carrying out a check of the data inputs, outputs, conversion factors and calculations used. This should include sample checks of evidence to test accuracy of volume data entries, and of specific data points and calculations within the system.

6.4.4 Time requirement

It is expected this verification will be performed in half a day.

The actual time required will depend on:

- the size and complexity of the Volume Accounting System
- the nature of the evidence (database, paper files, excel)
- the availability of evidence required
- the preparedness of the farm

The FSA Management System Audit will most likely take place at the farm, or wherever it is possible for the auditor to have access to the relevant data and documentation, and to interview the relevant personnel. It is also possible for all or part of this audit to be carried out remotely, if the relevant information can be checked without going on site.

6.5 FSA Management System Audit Report

The auditor must provide the farmer with an FSA Management System Audit Report summarising audit findings. This must include a statement confirming whether the FSA Management System meets the requirements.

Appendix 1 sets out the requirements for this report. Auditors may use their own templates for the report.

This report must be provided within 2 weeks of completion of the FSA Management System Audit.

The auditor is not required to provide a copy of this report to SAI Platform, unless requested to do so by SAI Platform or its appointed representative.

6.6 Negative result and follow up

It is a requirement of the FSA that a robust FSA Management System is in place.

If the FSA Management System does not meet the requirements, the FSA Management System Audit Report must state clearly which requirements have not been met. The verification process cannot be completed until required corrections or improvements have been made.

Once corrections have been made, the farmer must provide the auditor with evidence that actions have been completed. The auditor must note the corrections and improvements made, and provide an updated FSA Management System Audit Report, with a statement confirming that the FSA Management System meets the requirements.

6.7 Validity of Farm Management System Verification

The statement confirming that the FSA Management System meets requirements is valid for three years from the date of the FSA Management System Audit.

7 On-farm FSA audit

7.1 Introduction

The purpose of the On-farm FSA Audit is to verify that the Audit Self-Assessment has been completed accurately, and therefore confirm the FSA Performance Level of the farm.

7.2 Audit control points and criteria

The FSA 3.0 Audit Control Points and Criteria document sets out the control points the auditor must investigate for the On-farm FSA Audit, and the criteria and evidence for assessing whether the requirements for each question are met.

7.3 Audit plan

A detailed audit plan must be drafted and agreed with the farm with the aim of ensuring an efficient audit.

Time requirement for the on-farm FSA audit

7.4 The time required will depend on factors including:

- Size and complexity of farm
- Level of documentation of farm practices
- Number of farm workers to be interviewed

In general, half to one day should be sufficient to conduct an on-farm verification audit.

7.5 Recording information

VBs must use adequate audit tools to record data obtained so that a complete overview can be presented to the farmer.

7.6 Scope of audit

The scope of the audit must match the scope of the self-assessment; for example, practices or sites related only to crops outside the scope of the assessment should be excluded. The scope of the FSA self-assessment ends at the farm gate, meaning that it does not carry over to processing of the agricultural material unless the farm is responsible for transportation to the customer, processor or packaging plant.

7.6.1 Applicability

Before beginning verification of the Audit Self-Assessment, the auditor should confirm that any topics or questions marked 'n/a' have been correctly excluded.

7.6.2 Auditing small-scale farms

Small-scale farms are defined in the Implementation Framework. Small-scale farms can always give verbal descriptions instead of written plans and policies. The auditor must refer to the smallholder requirements in the FSA3.0 Audit Control Points for specific guidance.

7.6.3 Third party providers (service providers, labour agencies, advisors)

Where relevant activities or policies are managed by third parties, evidence must be provided that the policies or activities of this provider reflect the FSA requirements. This can be done by either:

- evidence showing incorporation of these requirements into the contract with the third party, and evidence of a procedure for regular monitoring to ensure these contract requirements are met
- evidence and records provided by the third-party showing adherence to the requirements, alongside or in lieu of evidence from the farmer/manager
- a representative from the third party can attend the audit to provide evidence and answer questions in person

The option selected will depend on the availability of the subcontractor and/or the availability of evidence at the farm. The auditor is not required to visit the premises of the third party, or to conduct a separate audit of their policies or activities.

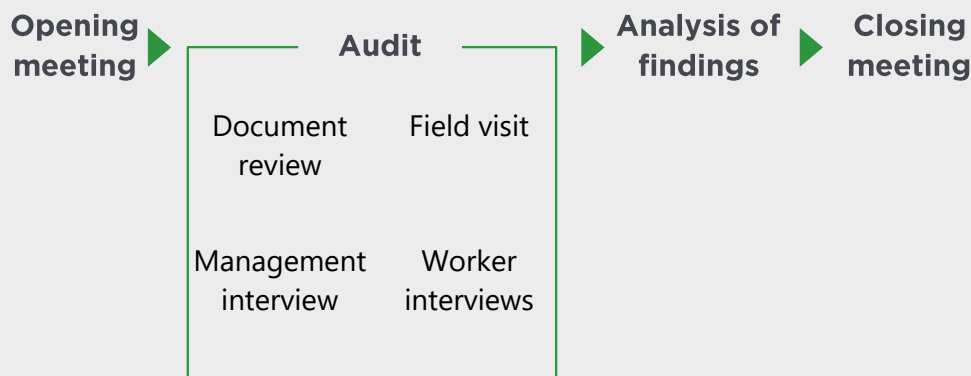
7.6.4 Composite Questions

In composite questions where requirement for a management plan is in the unscored header part of the question, the auditor should verify that the plan is in place, and then verify the question elements are contained within the plan.

7.6.5 Scope of Labour Conditions questions

All questions cover permanent, temporary and seasonal workers hired directly and through subcontractors. Where employment is managed through third parties, the guidance for auditing third party providers applies. Questions that refer to recruitment agencies include all other types of labour provider or employment agency used by the farm.

7.7 Typical farm audit plan



7.7.1 Opening meeting

The farm audit must begin with an opening meeting with the farmer.

This meeting should be led by the auditor and should include:

- Introductions of auditor(s), farmer and others involved in the audit
- Confirm purpose of audit to verify the content of the farm's FSA self-assessment
- Confirm scope of audit (e.g. crops and processes in scope)
- Explain the verification process (incl. time / documents needed)
- Discuss issues of confidentiality
- Request permission to interview people working at the farm
- General introduction to the farm

7.7.2 Management interview(s)

The auditor should interview the farmer (or other manager responsible) regarding the policies, procedures and management systems in place to support their FSA responses. This may include:

- Verbal description of relevant policies, procedures and management systems
- Requesting any supporting documentary evidence required e.g. implementation plans, field records, permits, licenses and certificates

7.7.3 Field visit (observation and inspection)

The auditor should visit all areas of the farm relevant to the verification of FSA responses, to verify whether farm practices align with the self-assessment. This observation could include:

- Storage facilities and labelling of materials
- Safety measures and safety hazards
- Operational activities taking place in the field (e.g. harvesting)
- Worker accommodation
- Equipment storage and operation, and maintenance records
- Soil, pest and water management activities on the farm
- Measures to protect and promote biodiversity

If any of these activities is conducted off site but not by a third party (for example: storage of chemicals; worker accommodation) the auditor should visit these off-site locations if this is required to demonstrate measures in place. As this will affect the length of the audit visit, the auditor should seek to determine in advance if off-site visits will be required.

7.7.4 Documentation review

The auditor should check documentation available to verify records of implementation. Depending on the size of the farm and the country, the farmer might have written procedures and records or not.

Potential documents include:

- Records of pesticide applications
- Certificates and licenses for safety training, spraying etc.
- Employment contracts and wage slips
- Licenses and permits

- Copies of plans, procedures or other written documents to support management interviews

Where relevant documentation is held off-site, the farmer should seek to make sure these are available to view on-site for the audit, or that the auditor is able to view the records in situ (this may be relevant where records are relevant to all farms). The auditor should determine in advance if this will be required.

7.7.5 Worker Interviews

The auditor should carry out interviews with a sample of those people working on the farm. The purpose of the interviews is to confirm awareness of policies, procedures and programmes, and to corroborate other sources of evidence for aspects such as labour practices, safety and training.

The auditor must select interviewees. The selection should seek to include different types of interviewees, for example:

- family members
- temporary and permanent workers
- migrant workers
- male & female workers
- workers handling agro-chemicals

If there is a worker representative on site, they must be interviewed as part of the audit. Where labour is provided by a subcontractor or via a labour agency, these workers must also be included in the sample.

Interviews must be conducted individually and confidentially.

When determining the number, length and content of worker interviews, the auditor must be mindful of the requirement for a risk-based approach to burden of proof, particularly where FSA requirements are covered by legislation and enforcement.

The numbers below should be seen as the requirement for farms locations where there is a high risk of poor labour practices and human rights. In low-risk locations, the auditor may reduce the number of interviews at their discretion.

| Total number of workers | Recommended number of workers in interview sample |
|-------------------------|--|
| 1 | 1 |
| 2 | 2 |
| 3-7 | 3 |
| 8-48 | 4 |
| 49-54 | 5 |
| 55-64 | 6 |
| Increases of 10 | Increase by 1, up to a maximum total of 25 interviews. |
| 1 | |

Based on SMETA Best Practice Guidance for Worker Interviews v6.1

The auditor must record the number and types of workers interviewed, and the reasoning for this, in the audit report. The reasoning must include reference to the risk assessment and how this influenced the decision.

7.7.6 Closing meeting

Once all evidence has been reviewed and analysed, the auditor must hold a closing meeting with the farmer. At this meeting the auditor must:

- Inform the farmer about the findings and any deviations from the farm's FSA self-assessment score identified by the auditor
- Provide the farmer with the opportunity to respond and provide additional evidence, if required
- Amend findings in light of this evidence, where possible. If the farmer is not able to provide additional evidence at this stage, but wishes to provide it after the audit, the auditor should agree a timeframe for this (see Audit Review Meeting below).

8 On-Farm FSA Audit Report & Audit Review Meeting

8.1 Timing

The auditor must finalise the On-Farm FSA Audit Report within two weeks of the final on-farm audit. This must be sent to the farmer prior to the Audit Review meeting.

The auditor is not required to provide a copy of the report to SAI Platform, unless requested to do so by SAI Platform or its appointed representative.

8.2 Report Content

The On-Farm FSA Audit Report must summarise the audit findings, document every deviation identified, and clearly state whether the self-assessed score and performance level has been verified.

If the farm's score and/or performance level have not been verified, the report should clearly state the reasons for this.

Appendix 2 sets out the minimum required content for the On-Farm FSA Audit Report. VBs may use their own templates for the audit report.

8.3 Audit Review Meeting

The auditor must hold an Audit Review Meeting with the farmer within two weeks of the final on-farm audit.

The purpose of this meeting is to

- review the findings in the Audit Report
- discuss areas of good practice and opportunities for improvement identified by the auditor
- review any deviations
- give the farmer the opportunity to respond and provide additional evidence, if required
- agree next steps (see below)

This meeting must be minuted and the minutes included with the finalised audit report. It can be held remotely, or face to face, as agreed with the farmer.

8.4 Next steps

At the Audit Review meeting, the auditor and the farmer must agree one of the following paths:

- **If no deviations are identified**, the Audit Self-Assessment scores can be agreed.
- **If downward or upward deviations are identified, the farmer can choose to accept the verified score with no further investigation.**

This path is most likely to be taken in groups where:

- *it leads to a positive change in Performance Level e.g. from Silver to Gold*
 - *it would not lead to a change in Performance Level i.e. the score was not marginal*
 - *the farm drops to a Performance Level that is acceptable to the farmer*
- **If downward deviations are identified, the farmer can choose to investigate and provide additional evidence** to show that the deviation did not occur. If multiple deviations have been found, the farmer can decide which deviations they choose to investigate and which they choose to accept.

If no further investigation is planned (path a or b), the auditor can close the verification process and move to Confirming the Performance Level Claim and Issuing the Letter of Attestation.

If any investigation is planned (path c), the process moves to Investigating Deviations below.

9 Investigating deviations

9.1 What is a deviation

A deviation is any change in a farm's answer in the Audit Self-Assessment that results from an FSA verification audit.

A downward deviation is a change in answer from yes (or n/a) to no.

An upward deviation is a change in answer from no (or n/a) to yes.

All deviations identified on farm must be discussed with the farmer during the on-farm audit, to give them the opportunity to provide more evidence or explain deviations.

Every deviation must be documented in the Audit Report, regardless of whether it is investigated.

9.2 Investigation

It is the responsibility of the farmer to investigate and provide additional evidence to show that any downward deviation(s) identified were incorrect.

If multiple deviations have been found, the farmer must decide which deviations they choose to investigate and which they choose to accept. There is no requirement to provide evidence for deviations that do not result in a performance level change.

9.3 Corrective actions

The purpose of this investigation must only be to present further evidence (e.g. from a third-party provider). **Actions to correct deviations in the Audit Self-Assessment are not allowed.** Farmers are strongly encouraged to carry out internal FSA assessment and other checks before the audit, to ensure that they meet their target FSA performance level.

If a farmer wishes to make corrective actions to improve their result, they must request a new audit after making the changes, in order to get a new verified score and performance level.

9.4 Auditor review

The auditor must determine whether the evidence provided is sufficient to support the case that change of performance level is not required (or required, in the case of an upward deviation). Once this has been completed, the auditor must check and confirm the new score and Performance Level.

9.5 Verification Closing meeting

The auditor must hold a Verification Closing Meeting within 6 weeks of the Audit Review Meeting.

The purpose of this meeting is to

- review the findings of the investigation
- confirm the final self-assessment score, or move to escalation if no agreement can be reached.

This meeting must be minuted and the minutes included with the finalised audit report. It can be held remotely, or face to face, as agreed with the farmer.

SAI Platform reserves the right to grant exemptions to the timelines based on a request made by the VB

10 Confirming the Performance Level Claim

10.1 Calculating the Claim

Once the score in the Audit Self-Assessment has been verified and amended as necessary, the auditor should confirm the Performance Level Claim. The Performance Level Claim appears on the Letter of Attestation.

Additional guidance is provided in the Guide for Making FSA Statements and Claims.

10.2 Timing

This may be done during the Audit Review meeting, or Verification Closing meeting, or shortly afterwards. It must be completed and confirmed with the farmer prior to issuing the Letter of Attestation.

11 Issuing the Letter of Attestation

11.1 Key dates

Once the VB has confirmed the Performance Level Claim, the audit process can be signed off and the Letter of Attestation can be issued.

The Letter of Attestation must be issued within 4 weeks of the completion of the Verification Audit. This is either the date of the Audit Review Meeting, or the date of the Follow-up Verification Closing Meeting, whichever is later.

11.2 Contents

The Letter of Attestation must be produced by the VB and must include at minimum:

- The name and address of the farm
- An identifying Unique Code (the Global GAP Certificate Number, as generated by the FSA Verification Database)
- The verified FSA Performance Level Claim
- Crops covered by the claim

- The start and end date for the validity of the FSA Claim
- The name of the Principal Auditor
- The name, address and signature of the VB issuing the LoA

11.3 Validity

The maximum period of validity of a Letter of Attestation is 3 years.

The latest end date for validity of a Letter of Attestation is 3 years from the date of completion of the Verification Audit (the date of the Audit Review Meeting, or the date of the Follow up Verification Closing Meeting, whichever is later).

11.4 Applying FSA Performance Level Claims to the previous harvest

A verified FSA Performance Level Claim may be applied to the volume from the harvest preceding an FSA Verification Audit, if the FSA Management System Audit and the on-farm Audits provide evidence to show that the relevant measures were in place in that time period.

In this case, the start date of the Claim may be applied up to a maximum of one year retrospectively from completion of the Verification Audit. This is either the date of the Audit Review Meeting, or the date of the Follow up Verification Closing Meeting, whichever is later. The maximum validity period of the Letter of Attestation remains three years.

If the farm requires the Claim to be applied to the previous harvest, this must be agreed during the audit planning process. It must be clearly stated on the Letter of Attestation.

11.5 Registration

The VB must register the Letter of Attestation in the FSA Verification Database within 12 weeks of completion of the audit (either the date of the Audit Review Meeting, or the date of the Follow up Verification Closing Meeting, whichever is later).

Exemptions may be given by SAI Platform on a case-by-case basis.

It is the responsibility of the VB to ensure that every Letter of Attestation is registered. A Letter of Attestation is not valid until it has been registered. SAI Platform will confirm FSA-related claims with the farm when an FSA Letter of Attestation is registered.

Letters of Attestation can be downloaded from the FSA Verification Database if farmers share the identifying Unique Code.

Letters of Attestation will not be made public or shared with third parties by SAI Platform. Performance Level Claims, and the outcomes of Verification Audits, will not be made public by SAI Platform, unless agreed with the farmer.

12 Escalation

If the farmer and the VB are unable to agree on the outcome of an audit, this must be escalated to SAI Platform for adjudication via fsatool@saiplatform.org

In the first instance, the Systems Director (or an appointed representative) will seek to mediate between the two parties to agree a resolution.

If no agreement can be reached, the Systems Director will refer the question to the FSA Steering Committee, who may convene an adjudication sub-committee to resolve the question. The judgement of the Steering Committee will be final.

SAI Platform will seek to resolve all issues within one month of receipt of the escalation notification email.

13 Revisions to this document

This document will be revised whenever new revisions of the FSA Implementation Framework are published.

Corrections may be made on an ongoing basis in Guidance Notes or other communications.

Appendix 1: FSA Management System Audit Report Template

1. Audit details

| | |
|---|--|
| Name of Verification body | |
| Name of Principal Auditor | |
| Name(s) of Associate Auditors (if required) | |
| Dates of Audit Visit(s) | |
| Date Audit Report completed | |

2. Farm Details

| | |
|--|--|
| Name of Farm | |
| Crop(s) covered | |
| Country of farm | |
| Name, role and email address of manager responsible for the overall operation of the FSA Management System | |
| Name, role and email address of manager responsible for the volume accounting system (if different) | |
| Name of organisation requesting audit (if this was not the farm) | |

3. Audit Findings

The completed FMS Audit Control Points and Criteria checklist must be appended to the report and shared with the farmer.

| Overall Management Accountability and Oversight | |
|--|--|
| Audit activities: <ul style="list-style-type: none"> • Interviewees • Documents and records seen | |
| Summary of findings | |
| Assessment of compliance with FSA requirements | |
| Recommendations for Improvement | |
| Non-compliances identified | |

| Volume Accounting System | |
|---|--|
| Audit activities: <ul style="list-style-type: none"> • Interviewees • Documents and records seen • Systems tested & sample tests carried out | |
| Summary of findings | |
| Assessment of compliance with FSA requirements | |
| Recommendations for Improvement | |
| Non-compliances identified | |

Is there a Continuous Improvement Plan in place? YES/NO

Add any notes on the Plan here.

4. Statement

The FSA Management System meets FSA requirements: Yes/NO

If not, summary of non-compliances found

| FMS requirement # | Non-compliance found | Correction required |
|--------------------------|-----------------------------|----------------------------|
| | | |

(add rows as required)

5. Follow up (if required)

| FMS requirement # | Correction made | Evidence seen |
|--------------------------|------------------------|----------------------|
| | | |

(add rows as required)

The FSA Management System meets FSA requirements: Yes/NO

Date:

Appendix 2: On-farm FSA Verification Audit Report Template

1. Audit details

| | |
|---|--|
| Name of VB | |
| Name of Principal Auditor | |
| Name(s) of Associate Auditors (if required) | |
| Dates On-Farm Audit completed | |
| Name and address of Farm | |
| Crop(s) in scope | |
| Is this a small-scale farm? | |

2. Pre-audit work

| | |
|---|-----------------------------|
| Risk assessment attached | Yes/No |
| Confirm that the farm has a valid FSA Management System Audit Report confirming that management system meets FSA requirements | Give date of report: |
| Any issues identified in the Audit Self-Assessment (e.g. n/a sections incorrectly completed), and how they were resolved | |
| FSA self-assessment score & performance level to be verified | |

Audit activities (if desired, complete a separate summary for each topic area)

| | |
|--|--|
| Summary of audit visit activities <i>(including key documents seen, areas of the farm visited, and names of management interviewees)</i> | |
| Number and type of worker interviews carried out, and basis on which this was determined. | |

Audit findings

| | |
|---|--|
| Verified score and performance level | |
|---|--|

Questions where downward deviations were found

| FSA question # | FSA question wording | Summary of issues found at farm(s) where deviation was found |
|-----------------------|-----------------------------|---|
| | | |
| | | |

(add rows as needed)

Questions where upward deviations were found

| FSA question # | FSA question wording | Summary of issues found at farm(s) where deviation was found |
|-----------------------|-----------------------------|---|
| | | |
| | | |

(add rows as needed)

Observations for continuous improvement

| | |
|-------------------------------|--|
| Good practices identified | |
| Opportunities for improvement | |

3. Audit Review Meeting

| | |
|-------------------------------------|--|
| Date of Audit Review meeting | |
| People present | |
| Minutes attached | Yes/No |
| Next steps agreed: | Path a – no deviations, self-assessed scores agreed Path b – deviations found, self-assessed scores amended without additional investigation of farms Path c – deviations found, farmer chooses to investigate |

4. Audit Conclusions

Path a – no deviations found; self-assessed scores agreed

Date of agreement:

Scores and performance levels agreed:

| FSA score (% essential - intermediate - advanced) | | Performance level (Bronze-Silver-Gold) | | FSA# of amended questions |
|--|-------------------|---|-------------------|---------------------------|
| Self-assessed | Post-verification | Self-assessed | Post-verification | |
| | | | | |
| | | | | |
| | | | | |

Path b – deviations found; self-assessed scores amended with no additional investigation

Date of agreement:

Scores and performance levels agreed:

| FSA score (% essential - intermediate - advanced) | | Performance level (Bronze-Silver-Gold) | | FSA# of amended questions |
|--|-------------------|---|-------------------|---------------------------|
| Self-assessed | Post-verification | Self-assessed | Post-verification | |
| | | | | |
| | | | | |
| | | | | |

Path c – deviations found; farmer chooses to investigate

| | |
|---|--|
| Date of Verification Closing Meeting | |
| People present | |
| Minutes attached | |
| Evidence provided | |

Date of agreement:

Scores and performance levels agreed:

| FSA score (% essential - intermediate - advanced) | | Performance level (Bronze-Silver-Gold) | | FSA# of amended questions |
|--|-------------------|---|-------------------|---------------------------|
| Self-assessed | Post-verification | Self-assessed | Post-verification | |
| | | | | |
| | | | | |
| | | | | |

(add rows as needed)