
Guidance for SRP Chain of Custody (CoC) Policy and Standard v 2.0



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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. Originally co-convened by the International Rice Research Institute (IRRI), the United Nations Environment Programme (UNEP) and Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ), SRP is now an independent member association, working together with its 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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Contents

1. Sustainable Rice Platform (SRP) CoC Standard requirements	4
Reference Documents.....	10

1. Sustainable Rice Platform (SRP) CoC Standard requirements

1. General CoC requirements			
Criterion 1.1 The Participating Operator must implement the Chain of Custody requirements within the scope identified.			
Indicator		Guidance	Result
1.1.1	The Participating Operator must identify the scope of the Chain of Custody system.	PO shows the verification scope which can be indicated from the production map and/or production flow, including the sub-contractor/service provider (if applicable). The PO clearly defines its own CoC model	Yes/No
1.1.2	The Participating Operator must define the unit of verification, including, in the case of multi-site operators, the number of sites and type(s) of operations covered by the scope of their SRP CoC. When applying the Mass Balance system, a Participating Operator must implement at the level of a single site, following the mass balance requirements as set out in Annex 3 ¹ . Whenever more than one legal entity operates on a site, each legal entity must implement its own mass balance verification.	PO with multi-site operator must define supply chain model for every unit /site and calculate their own mass balance (as applicable)	Yes/No
1.1.3	The Participating Operator must ensure that independent third parties handling SRP products (e.g., subcontracts for storage, transport, etc.) conform with the CoC Standard requirements.	Review contract details between PO and their subcontractor referenced to conform with SRP requirements.	Yes/No/Not applicable
1.1.4	The Participating Operator must have an agreement with its sites requiring appropriate reporting and communication.	Review contract and communication documents between PO and operating site. Not applicable for single site or multi-sites under one management.	Yes/No/Not applicable
1.1.5	The Participating Operator shall define and document the claim category(ies) that will be tracked within the CoC control system.	Review claim history / records. Claim category(ies) based on product input and the PO's CoC model. Claim cannot be upgraded e.g. from segregation to IP.	Yes/No

¹ SRP Chain of Custody Policy and Standard v2.0 Annex 3 Mass Balance Requirements

Criterion 1.2 The Participating Operator has a system in place to implement CoC requirements.			
Indicator		Guidance	Result
1.2.1	The Participating Operator shall identify one person with overall responsibility for the CoC control system, and individual persons responsible for each part of the CoC control system – including but not limited to purchasing and receiving, processing, storage and shipping, marking, delivery and sales, and record-keeping.	Appointed person in charge of SRP CoC system controller.	Yes/No
1.2.2	The Participating Operator shall develop and maintain documented procedures to ensure conformance with all applicable CoC requirements. The procedures must be according to the scale and complexity of the PO, covering all sites included in the scope.	Review standard operating procedure (SOP) or producer's practice to conform with SRP CoC requirements and or covered all its operation.	Yes/No
1.2.3	The Participating Operator must retain, and report information related to the implementation of the SRP CoC standard, including procurement and sales documents, production records, and volume summaries for at least three (3) years.	Review document record and maintenance policy.	Yes/No
1.2.4	The Participating Operator must undertake an annual internal review of performance, including the effectiveness of quality management systems and the conformance of the sites (including outsourced contractors) with the requirements of the SRP CoC standard. In the case of non- conformities, the	Review internal audit/inspection record including non-conformity corrective action report. And improvement plan	Yes/No
1.2.5	All workers involved in the implementation of this CoC Standard shall be aware of and have sufficient knowledge of the SRP CoC requirements based on participation in relevant training.	Review training certificate, in house training records based on SRP CoC requirements.	Yes/No
1.2.6	The Participating Operator shall maintain data on the quantity of tracked products and ensure that the data are made available to the VB. At a minimum, the quantitative information that shall be maintained relating to each reporting period is as follows: <ul style="list-style-type: none"> • purchased SRP-Verified rice • SRP-Verified rice used in processing • waste produced during processing • sold SRP-Verified rice • input and final SRP-Verified rice held in stock. 	Review PO's Traceability system including but not limited to procedures, records, and for mass balance should have reliable quantity based on the conversion ratio.	Yes/No

2. Chain of Custody Models

Criterion 2.1 The Participating Operator must define the CoC Model used and develop a system to support the selected CoC model.

Indicator	Guidance	Result	
2.1.1	A Participating Operator applying the Identity Preservation (IP) CoC model shall demonstrate segregation starting from the producer or producer group level up to point of sale.	Review traceability procedures and records from receiving of raw material, storage, processing, waste, and output balance. Traceability testing report at least annually	Yes/No/Not applicable
2.1.2	A Participating Operator applying the Segregation System CoC model shall demonstrate segregation of SRP-Verified rice from any non-verified rice stored at or passing through its operational sites.	Review traceability procedures and records from receiving of raw material, storage, processing, waste, and output balance. Traceability testing report at least annually	Yes/No/Not applicable
2.1.3	A Participating Operator applying the Mass Balance CoC model shall demonstrate the system is in place and conformance with the Mass Balance requirements set out in Annex 3 ² .	Review traceability procedures and records from receiving of raw material, storage, processing, waste, and output balance. Traceability testing report at least annually	Yes/No/Not applicable
2.1.4	The Participating Operator shall track and segregate SRP-Verified rice with separate claim categories throughout all processes, including purchasing and receiving, processing, storage and shipping, marking, delivery and sales, and record-keeping.	Review Mass Balance traceability record keeping, stock balance and checking the traceability system by sampling from end product to receiving.	Yes/No

3. Data Validation

Criterion 3.1 Participating Operator must validate the SRP documentation.

Indicator	Guidance	Result	
3.1.1	The Participating Operator must check the supplier contract, Transaction Certificates (Review Annex 4), invoice, and supporting documentation to ensure the supplied SRP-Verified rice comes from SRP-verified suppliers,	Review purchasing records, transaction certificate in GLOBALG.A.P. database. Can be not applicable if there is no purchase during audit.	Yes/No/Not applicable
3.1.2	For each purchase/receipt of SRP-Verified rice tracked within the CoC control system, the Participating Operator shall identify, validate and record at least the following information:	Review purchasing procedure and records, transaction certificate	Yes/No/Not applicable

² SRP Chain of Custody Policy and Standard v2.0 Annex 3 Mass Balance Requirements

	<ul style="list-style-type: none"> • identification of supplier(s) • identification of SRP-Verified claim • quantity of delivery • date of delivery • claim category • the supplier's SRP Verification Code⁶, as applicable. • Transaction Certificate (when applicable) 	Can be not applicable if there is no purchase during audit.	
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4. Data Reconciliation

Criterion 4.1 The Participating Operator must record and manage the SRP documentation.

Indicator	Guidance	Result	
4.1.1	Invoice and/or supporting documentation of incoming SRP-Verified rice must be received and entered into the PO's system and the transaction should be reported to the CB that will later issue the Transaction Certificate within 28 calendar days of physical intake at the PO facility.	Review receiving procedures and records, including the transaction certificates from supplier(s) Not applicable if there is no incoming or receiving SRP-Verified rice during audit.	Yes/No/Not applicable
4.1.2	Where applicable, the Participating Operator must use documented conversion rates to calculate the equivalent output weight or volume associated with the received SRP consignment.	Review conversion rate method and calculation result.	Yes/No/Not applicable
4.1.3	The Participating Operator must maintain the accuracy of any measuring equipment used. Finding:	Review verification and calibration schedule of the equipment(s) and calibration record(s). This should be done at a specific frequency (for example, every 6 months). Not applicable if there is no equipment. Remarks:	Yes/No/Not applicable
4.1.4	The volume of SRP-Verified rice received, and the associated sustainability characteristics must be recorded in the PO's system and follow the process as stated in 4.1.1., after validity has been confirmed (Indicator 2.1.1)	Review PO recording system, procedure and traceability system.	Yes/No/Not applicable
4.1.5	Allocation of SRP data must be only to products that are fungible with rice products.	-	Yes/No/Not applicable
4.1.6	The Participating Operator must undertake inventories of the input/output balance of SRP-Verified rice at fixed regular intervals, for each	Review Mass Balance inventory records: input, processed, output and stock.	Yes/No/Not applicable

	operational site, not exceeding 28 calendar days.	Not applicable if PO has not received any SRP verified rice.	
4.1.7	The volume of SRP-Verified rice received shall be greater or equal to the volume or quantity of SRP-Verified rice supplied to clients over a fixed inventory period of a maximum of 28 calendar days.	Review Mass Balance inventory records: input, processed, output and stock. Not applicable if PO has not received any SRP-Verified rice.	Yes/No/Not applicable
4.1.8	Where the balance of inputs and outputs is positive at the end of the economic operator's inventory period, sustainability data may be carried forward to the next inventory period.	Review Mass Balance inventory records from previous year and carry over quantity.	Yes/No/Not applicable
4.1.9	Sustainability data expires three (3) years from the date of entry into the system or when verification of the economic operator ceases, whichever occurs sooner.	Review CoC system, data validity, obsolete document records.	Yes/No/Not applicable

5. Processing

Criterion 5.1 The Participating Operator shall implement the CoC system within its processing activities.

Indicator	Guidance	Result	
5.1.1	The Participating Operator shall use a tracking system or production records to document product processing for each claim category.	Review production procedures and records: input – processed records -output – balance stock.	Yes/No
5.1.2	The Participating Operator shall ensure that any off-site processing or handling that takes place at a contracted facility follows the same CoC procedures as implemented by the Participating Operator and is covered by a signed outsourcing agreement (described in 1.1.4), requiring conformance with the applicable requirements of this Standard.	Review outsource/ /subcontractor agreement(s)/ contract details to conform with SRP CoC requirements. Interview with sub-contractor(s) if possible.	Yes/No/Not applicable
5.1.3	All products that cannot be identified as belonging to one of the claim categories defined in 2.1 above shall be kept separate from all other products until documented evidence of the claim category is obtained.	Review CoC system, CoC model, procedures and availability of documents.	Yes/No

6. Shipping and sales

Criterion 6.1 Participating Operator shall ensure the SRP-Verified rice is sold with correct information in the sales documents.

Indicator	Guidance	Result	
6.1.1	<p>The Participating Operator shall ensure correct claim information is provided on Transaction Certificate, sales invoices and shipping documents, including the following:</p> <ul style="list-style-type: none"> • Description of the product and the claim category • Quantity of each product/ claim category • SRP Verification Code, if applicable. 	Review claims record compared to Transaction Certificate information. Not applicable if there is no transaction during audit.	Yes/No/Not applicable

7. Claims and public information

Criterion 7.1 Participating Operator shall ensure the SRP-Verified rice is sold with correct

Indicator	Guidance	Result	
7.1.1	The Participating Operator shall sign a license agreement directly with the VB prior to using any SRP claims or logos.	Review Licensee Agreement	Yes/No
7.1.2	All claims and references to SRP made by the Participating Operator shall conform with SRP Trademark Rules, as applicable.	Review SRP claim manual, check if it is aligned with Brand Manual and AS Annex 7	Yes/No/Not applicable
7.1.3	The Participating Operator shall submit all draft claims and proposed on-product Label use to SRP / VB / GLOBALG.A.P. for review and approval prior to use.	Review communication and approval records	Yes/No/Not applicable

8. Multi-site operators

Criterion 8.1 Management system for multi-site operators.

Indicator	Guidance	Result	
8.1.1	<p>The Multi-site System Administrator shall document and implement an Internal Management System that guarantees conformance of all the individual sites with the SRP Chain of Custody system. At a minimum, the Internal Management System shall include the following elements:</p> <ol style="list-style-type: none"> An organizational chart illustrating the relationship between the Multi-site System Administrator and each site; The Multi-site System Administrator shall internally inspect all sites no less than annually; 	Not applicable if it is a single site	Yes/No/Not applicable

	<p>c) New sites must undergo an internal inspection before being included; and</p> <p>d) For sites that are not under a common ownership structure, consent from each site acknowledging participation in the SRP Chain of Custody system and granting authority to the Multi-site System Administrator for internal inspection and sanction.</p>		
8.1.2	<p>The Multi-site System Administrator shall keep records of the sites included in the scope of its CoC, including:</p> <p>a) List of sites including name, location, type of processing, and responsible personnel.</p> <p>b) Status of internal inspections and external audits; and</p> <p>c) Identification of the sanctioned sites.</p>	<p>Review list of sites in the scope.</p> <p>Not applicable if it is a single site.</p>	Yes/No/Not applicable
8.1.3	<p>The Multi-site System Administrator's Internal Management System shall document and implement procedures for sanctioning sites that do not comply with the SRP CoC system. Each site shall be informed of the sanction system. A system of progressively more serious sanction measures shall be established, concluding with the exclusion of a site from the CoC scope.</p>	<p>Review the sanction procedures.</p> <p>Not applicable if it is a single site.</p>	Yes/No/Not applicable

Reference Documents

SRP Assurance Scheme v 1.3
 Information Note No 1 (12/2020)
 Information Note No 2 (6/2021)
 Information Note No 3 (2/2022)
 License & Registration Agreement (LRA)
 VB License and Sublicense Agreement v 2.0
 SRP Chain of Custody Policy & Standard v 2.0
 SRP Chain of Custody Fee Table 2022
 SRP Brand Manual update 2022

Link to documents www.sustainablerice.org/resources