
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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Table of Contents

1. Sustainable Rice Platform (SRP) CoC Standard requirements	4
2. Mass Balance Requirements	11
Reference Documents	12

1. Sustainable Rice Platform (SRP) CoC Standard requirements

1. General CoC requirements			
Criterion 1.1 The Participating Operator (PO) 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 volume 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 CoC Standard requirements. Review if there is a third-party monitoring system in place, can be included in the PO internal inspection. Can be N/A if PO does not use independent third parties.	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. Review internal inspection which should include all sites.	Yes/No/Not applicable

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

		Not applicable for single site or multi-sites under one management.	
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
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.	Verify whether there is an appointed person in charge of SRP CoC system control. Review the role and responsibility of the appointed person.	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) and producers' practices to conform with SRP CoC requirements, verify if the procedures cover 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 documents and records retention policy or procedure and verify if it is well implemented as per SRP CoC requirements.	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 Participating Operator must take appropriate corrective actions.	Review internal audit/inspection records, 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 records and materials, can be 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	Review PO's Traceability system including but not limited to procedures, records, and for mass	Yes/No

	<p>quantitative information that shall be maintained relating to each reporting period is as follows:</p> <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. 	<p>balance should have reliable quantity based on the conversion ratio. Verify the purchasing, processing, sales and stock records. Check the production yield in accordance with the conversion rate.</p>	
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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 procedure in place. And check that the records and documentation are aligned with the CoC models that PO choose.	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 procedure in place. And check that the records and documentation are aligned with the models that PO choose.	Yes/No/Not applicable
2.1.3	A Participating Operator applying the Mass Balance CoC model shall demonstrate the system is in place and in conformance with the Mass Balance requirements set out in Annex 3 ² .	Review procedure in place. And check that the records and documentation are aligned with the models that PO choose.	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.	Verify if the procedures are well implemented, observe if there is clear sign and mark of the SRP Verified rice, and interview with relevant staff handling the SRP Verified rice if they are understanding and are aware of the traceability system and requirements	Yes/No

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

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 ³ , 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. and VB database. Can be marked as not applicable if there is no purchase prior/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: <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 Code, as applicable; • Transaction Certificate (when applicable). 	Review purchasing procedure and records, transaction certificate. Verify if the information required for this indicator has been recorded. Can be marked as not applicable if there is no purchase prior/during audit.	Yes/No/Not applicable

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 VB 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 prior received 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.	Review verification and calibration schedule of	Yes/No/Not applicable

³ Assurance Scheme v 1.3 Annex 4 Transaction Certificate requirements

		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 measuring equipment.	
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.	SRP data allocation is only allowed for products deriving from rice processing such as starch, oil, bran, etc.	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 operational site, not exceeding 28 calendar days.	Review inventory records: input, processed, output and stock. Not applicable if PO has not received any SRP Verified rice.	Yes/No/Not applicable
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 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 Volume 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 – volume 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. Conduct an 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	The Participating Operator shall ensure correct claim information is provided on Transaction Certificate, sales invoices and shipping documents, including the following: <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 and sales documents information. Not applicable if there is no transaction prior and 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 claims			
Indicator		Guidance	Result
7.1.1	The Participating Operator shall sign a license agreement directly with the VB prior to using any SRP claims, labels or logos.	Review License Agreement to ensure this is in place and signed	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 PO's SRP claim procedure, check if it is aligned with Brand Manual and Assurance Scheme (version 1.3) 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 for all claims that have been or will be made.	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> <ul style="list-style-type: none"> a) An organizational chart illustrating the relationship between the Multi-site System Administrator and each site; b) The Multi-site System Administrator shall internally inspect all sites no less than annually; c) New sites must undergo an internal inspection before being included; and 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>Review the Internal Management System of the PO, organization chart, internal inspection procedure and schedule, agreement between PO and each site if it is not under common ownership. Not applicable if it is a single site.</p>	Yes/No/Not applicable
8.1.2	<p>The Multi-site System Administrator shall keep records of the sites included in the scope of its CoC, including:</p> <ul style="list-style-type: none"> a) List of sites including name, location, type of processing, and responsible personnel. b) Status of internal inspections and external audits; and 	<p>Review list of sites in the scope. Review the internal inspection records and sanction records if there is/are site(s) that have been sanctioned.</p> <p>Not applicable if it is a single site.</p>	Yes/No/Not applicable

	c) Identification of the sanctioned sites.		
8.1.3	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.	Review the IMS, sanction procedures, inspection records and sanction records if there is/are site(s) that have been sanctioned. Not applicable if it is a single site.	Yes/No/Not applicable

2. Mass Balance Requirements

Participating Operators applying Mass Balance as the CoC model shall demonstrate the system is in conformance with the SRP Assurance Scheme. The following additional requirements also apply:

1. Traceability	
1.1	All sales and shipment transactions of mass balance materials or products claimed as SRP- Verified rice must be reported through the Chain of Custody Database. As a minimum, all sales conducted during a calendar quarter must be registered within 28 calendar days of the end of the respective quarter.
	Review sale records and CoC database or records of SRP-Verified product after every quarter to be available on the database within 28 days.
1.2	Mass balance credits are valid for a maximum of three years. If sales exceed purchases, these must be covered with sufficient purchases of certified inputs by the end of the quarter to make transaction for that quarter.
	Review stock balance records and input or raw material purchasing plan of SRP-Verified product compared to sales records to cover the number of sales.
1.3	When using mass balance, a transaction for purchases of the SRP rice should reflect the content recipe of the packaging. For example, if the SRP rice is 30 percent, the transaction document should be purchased for this rice in the same proportion.
	Review packaging identification of SRP-Verified product compared to supporting documents which should identify the same proportion. e.g Purchasing order, Packing list, Bill of Lading, transport documents
2. Double Counting for Multi-Certified Materials	
2.1	If a batch of SRP rice is purchased from a farm with more than one verification scheme (e.g., Organic), then the equivalent volume of material can be sold forward with both certifications attached to the batch. However, the two certifications may not be separated and applied to two separate batches of material, each equivalent in volume to the original purchase, as this would be considered double counting. Volumes entered in Chain of Custody Database as SRP and sold under an alternative scheme must be recorded in Chain of Custody Database "Sold as non-SRP."

Verify label and claims of the SRP-Verified product sold compared to others scheme claims. The difference figure would be recorded Sold as non-SRP.

3. Conversion Ratio

3.1 If a PO wishes to convert mass balance credits to be used for further processed materials, they must demonstrate the conversion ratios. Credits can't be converted backward or in any other manner inconsistent with actual processing conversions.

Review conversion ratio of processed material. P.O. needs to prove their credit by showing calculation result of the conversion rate.

4. Time-Bound Plan

4.1 The PO should develop a time-bound plan to demonstrate commitment to increasing the percentage of SRP-Verified procurement as a proportion of the claimant's total annual procurement, and eventually transition from the mass balance model to IP or Segregation System. The time-bound plan should be available during the CoC audit as part of the CoC evidence.

Review time-bound plan of the organization which should affects the increasing of SRP-Verified procurement. The plan should be available and explain how the organization will achieve the sustainable goal.

5. Communication and Claims

5.1 POs implementing the Mass Balance system are not permitted to use on-pack SRP-Verified

SRP-Verified label is allowed to use for P.O. that has been verified level 3 by SRP authorized Verification Body and apply SRP CoC with Identity Preserve and Segregation Model.

5.2 On-pack claims should comply with SRP Member Communication and Claim/Logo/Label Guidelines as setout in Annex 7 of the SRP Assurance Scheme v 1.3 and the SRP Brand Manual 2020 (both available at www.sustainablerice.org).

SRP-Verified label and Communication Claims requirements and guidelines explain in detail including sample of communication claims.

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)
 Information Note No 4 (6/2022)
 License & Registration Agreement (LRA)
 VB License and Sublicence Agreement v 2.0
 SRP Chain of Custody Policy & Standard v 2.0
 SRP Internal Management System (IMS) Standard for Producer Groups operating under the SRP
 Standard for Sustainable Rice Cultivation (IMS Standard) v 1.0
 SRP Internal Management System Guidelines
 SRP Chain of Custody Fee Table 2022
 SRP Brand Manual update 2022

Link to all reference documents: www.sustainablerice.org/resources