
Sustainable Rice Platform Chain of Custody v 2.0 Report Template



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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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COVER PAGE

SRP Chain of Custody Verification Report for <Organisation's name>
 <Enter evaluation type> <Enter year>
 Evaluation date: <Enter date>
 Report date: <Enter date>
 Certificate code: VBcode-SRP-C-XXXXXX
 Issued date: <Enter date>

Organization Contact

<Organization address>
 Verification Body Contact
 [LEGAL ENTITY NAME e.g. Sustainable Rice Platform e.V.]
 [LEGAL ENTITY ADDRESS]
 Contact person: [NAME] [TITLE]
 Tel: [TEL]
 Email: [EMAIL]
 Skype: [Skype ID]

1. AUDIT CONCLUSIONS

1.1 Verification Decision

Based on auditor's recommendation and quality review, the following verification decision is taken:

CoC Audit Type	
Verification decision:	Choose verification decision
Verification decision by (name and signature of the person):	
Company Representative (name and signature of the person)	

Date of decision:	
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1.2 Non-Conformity Reports (NCRs)

NCRs describe evidence of Organization's non-conformities identified during audits. NCRs include defined timelines for the Organization to demonstrate conformity. MAJOR NCRs issued during verification/re-verification shall be closed prior to issuance of certificate. MAJOR NCRs issued during annual audits shall be closed within timeline or result in suspension.

Note: Non-conformities may be closed by the auditor prior to report finalization if evidence – demonstrating that the non-conformity has been corrected – is evaluated and accepted within 28 calendar days of the closing meeting.

NCR number:	NC grading:	Major <input type="checkbox"/>	Minor <input type="checkbox"/>
Site number: (in case multisite)			
Standard & Requirement:			
Description of Non-conformance:			
<p>[Provide full details of the identified non-conformance as it relates to above-mentioned requirement(s). Include reference to specific evidence and cite any supporting evidence. If there are several points of evidence, use bullet points to organize these. It is important to have precise details, but concise language.</p> <p>When necessary, describe the spatial scope of non-conformances, as for example, limited to the local area or systemic through all operations. For multi-site Chain of Custody certificates, specify if non-conformance was given at a "Central Office" level or "Participating Site" level; for group Chain of Custody certificates, specify "Group Manager" or "Group Member"; for group forest management certificates, specify "Group Entity" or "Group Member".]</p>			
Corrective Action Request:	<p>Organization shall implement corrective actions to demonstrate conformance with the requirement(s) referenced above.</p> <p>Note: Effective corrective actions focus on addressing the specific occurrence described in evidence above, as well as the root cause to eliminate and prevent recurrence of the non-conformance.</p>		
NCR conformance deadline:	<p>By the next annual audit, but not later than 12 months from the report finalization date</p> <p>Prior to (re)certification</p> <p>X months from report finalization date (dd/mm/yyyy)</p>		
Client evidence:	<p>PENDING</p> <p>[NB: TM might take a decision to require the Organization to complete this section. Short description of what Organization has prepared as evidence for actions taken to address the root cause and eliminate the non-conformance. When NCR is upgraded to major, maintain the original text here, add new evidence when applicable, and use dates to differentiate.]</p>		
Evaluation of evidence:	<p>PENDING</p> <p>[Auditor conclusions based on evaluation of evidence above. Conclusions should clearly describe the adequacy of the evidence for either closing or maintaining the NCR as open.</p> <p>When NCR is upgraded to major, maintain the original text here, add new evidence when applicable, and use dates to</p>		

	differentiate.]
NCR status:	OPEN
Comments (optional):	[Use for reference, when upgrading the status of NCRs and/or other relevant comments]

1.3 Closed Non-Conformity Reports (NCRs) – *applicable for annual audit*

NCR number:	NC grading:	Major <input type="checkbox"/>	Minor <input type="checkbox"/>
Standard & Requirement:			
Description of Non-conformance:			
Corrective Action Request:	Organization shall implement corrective actions to demonstrate conformance with the requirement(s) referenced above. Note: Effective corrective actions focus on addressing the specific occurrence described in evidence above, as well as the root cause to eliminate and prevent recurrence of the non-conformance.		
NCR conformance deadline:			
Client evidence:	PENDING		
Evaluation of evidence:	PENDING		
NCR status:	CLOSED		
Comments (optional):			

1.4 Observations

Note: Observations are issued for the early stages of a problem, which does not of itself constitute a non-conformance, but which the auditor considers may lead to a future non-conformance if not addressed by the Organization; observations may lead to direct non-conformances if not addressed.

OBS number:	Standard & Requirement:	
Description of findings leading to Observation:		
Observation:		

1.5 Additional Notes on Audit Findings

Write notes here

1.6 Verify Transaction Certificate (sampled)

Write notes here

1.7 Actions taken by Organization Prior to Report Finalization

Write notes here

1.8 Notes for Next Audit

Write notes here

2. AUDIT PROCESS

2.1 Audit Team

Auditor name(s)	Role	Qualifications

2.2 Audit Overview

Site(s) (indicate all sites in the scope)	Site activity	Audit date	Auditor(s)	Total on-site audit time (Hours)	Interviewed people (name, title)

Note: more details about audit process are provided in a separate audit plan

2.3 Description of Overall Audit Process

Write audit description here

3. ORGANIZATION DETAILS AND VERIFICATION SCOPE

3.1 General Overview of the Organization

Write general overview of the organization here

3.2 Audit Background

Management system changes since the previous evaluation: Click here to enter text.

Description of any complaints, disputes, or allegations of non-conformance with the standards raised against the Organization during the audit period: Click here to enter text.

Organization has taken physical possession of verified-rice materials: Answer Yes, No, N/A
(Assessments without possession require notification to Verification Body as soon as SRP materials are on-site)

Scope Details

Scope Item	Check all that apply to the Verification Scope	Change in scope (N/A for Assessments)
PO Type:	<input type="checkbox"/> Single <input type="checkbox"/> Multi-site	<input type="checkbox"/>
Approved Standards:	SRP Chain of Custody Policy and Standard version 2.0 – January 2022	<input type="checkbox"/>
Primary Activity:	Choose an activity	<input type="checkbox"/>
Secondary Activity:	Choose an activity	<input type="checkbox"/>
Total number of Participating Sites:		<input type="checkbox"/>
System for SRP Claims:	<input type="checkbox"/> IP <input type="checkbox"/> Segregation <input type="checkbox"/> MB	<input type="checkbox"/>
Controlled Rice Inputs:	<input type="checkbox"/> Only SRP Verified Rice <input type="checkbox"/> Low risk sources: other certified rice, e.g. Organic rice, etc. <input type="checkbox"/> Specified risk sources <input type="checkbox"/> Unspecified risk sources	<input type="checkbox"/>
Outsourcing/ service provider:	<input type="checkbox"/> Low risk/CoC number (if any) <input type="checkbox"/> High risk	<input type="checkbox"/>
How many service provider/services type		
SRP Claim:	<input type="checkbox"/> On-product <input type="checkbox"/> Off-product <input type="checkbox"/> SRP Label on product	<input type="checkbox"/>
Changes in scope:		

Site details

For very large multi-sites or groups (more than 20 sites), the table below may be replaced with a separate exhibit file if it contains all the required information in a similar format. If this option is used then refer to Exhibit # <enter exhibit number>

Legal entity + Site name (if applicable)	Primary responsible for CoC (name, position)	Address/ Tel/Fax/Email	Site activity	Number of employees (employees related with rice processing)	Audited during this evaluation
[Always include the trade or legal name, or other identifying name]		[Ok to reference sections above if info already exists]	[Enter all that apply: primary processor, secondary processor, broker/trader with/without physical possession, distributor, wholesaler, retailer For multi-site, list subset operations together for easy identification of subsets.]		<input type="checkbox"/>

Product group details

For very large multi-sites or groups or when there are many product groups (e.g. rice traders), table(s) below may be replaced with separate exhibit file(s) if the files contain all the required information in a similar format. If this option is used then refer to Exhibit # <enter exhibit number>

Rice Type	Legal entity + Site name (if applicable)	Scientific name	Material category for input	Chain of Custody system	Material category for output

Appendix <Enter appendix code>: standard checklist (Chain of Custody – SRP Standard version 2.0)

1. Evaluation of <Choose site type> <enter site name>
2. Standard Checklist

The following section summarises the Organisation's compliance with SRP Chain of Custody (CoC) requirements. This checklist is directly based on the SRP Chain of Custody standard requirement numbers, which are identical with the checklist numbers below.

Element 1: General CoC requirements

Standard Requirement	Conformance
Criterion 1.1 The Participating Operator must implement the Chain of Custody requirements within the scope identified.	
1.1.1 The Participating Operator must identify the scope of the Chain of Custody system.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Findings: The Participating Operator (PO) has identified the scope of the Chain of Custody system, which auditor verified through document review and interviews with responsible persons. The PO has indicated in exhibit XX the product flow of verified rice and where these processes occur. The PO applies the CoC model: XXX	
1.1.2 The Participating Operator must define the unit of certification including, in the case of multi-site operators, number of sites and the 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 – the mass balance requirements set out in Annex 3. Whenever more than one legal entity operates on a site, each legal entity is required to operate its own mass balance.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Findings: The PO has defined the unit of certification to includes xx sites located in XX. Each site has defined its Chain of Custody model as XXX	
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. Not applicable (N/A) if there is no independent third parties handling SRP products	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: By reviewing contract details between PO and their subcontractor in which conformance with SRP requirements are highlighted, in addition with interview of the responsible person, auditor finds this sufficiently.	
1.1.4 The Participating Operator must have an agreement with its sites requiring appropriate reporting and communication. Not applicable (N/A) if it is a single site participating operator	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: This is all included in the PO's Documented Control System (DCS), which is reviewed by auditor and verified by interview.	

1.1.5 The Participating Operator shall define and document the claim category/ies that will be tracked within the CoC control system.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Findings: The PO has defined and documented the applied claim category / ies that will be tracked within the CoC control system. The PO apply: XX	
Criterion 1.2 The Participating Operator has a system in place to implement CoC requirements.	
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.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Findings: This is all included in the PO's Documented Control System (DCS) / Standard Operating Procedures (SOP) which is reviewed by auditor and verified by interview with the relevant individual responsible employees.	
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.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Findings: The PO has developed and maintain documented procedures which was verified at audit (exhibit XX).	
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.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Findings: The PO confirmed by interview that all relevant report information are retained for a minimum of 3 years.	
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.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: The PO has conducted an internal review of performance dated at xx-xx-xxxx. Auditor finds the internal audit / inspection record sufficiently. No non-conformities were identified / improvement plan is identified.	
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.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Findings: The PO has trained relevant involved workers, which was verified by interview of relevant workers and by review of training records / training certificates. Last internal training had happened xx-xx-xxxx	
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 	Yes <input type="checkbox"/> No <input type="checkbox"/>

<ul style="list-style-type: none"> input and final SRP-Verified rice held in stock. 	
<p>Findings: The PO has an integrated ERP IT-system / Traceability system in which all relevant data as mentioned above is entered and maintained, which was demonstrated by relevant people to auditor.</p>	

Element 2: Chain of Custody Models

Standard Requirement	Conformance
<p>Criterion 2.1 The Participating Operator must define the CoC Model used and develop a system to support the selected CoC model.</p>	
<p>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. Not applicable (N/A) if participating operator does not choose this COC model</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: Auditor reviewed the traceability procedures and records including raw material receiving, storage, processing, waste and output balance, which was demonstrated and explained by relevant people. The PO has defined the CoC model used as Identity Preservation in its procedures (exhibit xx).</p>	
<p>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. Not applicable (N/A) if participating operator does not choose this COC model</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: Auditor reviewed the traceability procedures and records including raw material receiving, storage, processing, waste and output balance, which was demonstrated and explained by relevant people. The PO has defined the CoC model used as Segregation System in its procedures (exhibit xx).</p>	
<p>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. Not applicable (N/A) if participating operator does not choose this COC model</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: Auditor reviewed the Mass Balance traceability procedures and records including raw material receiving, storage and stock balance, processing, waste and output balance, which was demonstrated and explained by relevant people. The PO has defined the CoC model used as Mass Balance in its procedures (exhibit xx).</p>	
<p>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.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>Findings: The PO do only handle one claim category (XXwhichXX) and hence no risk of mixing of claim categories is identified by auditor.</p>	

Element 3: Data validation

Standard Requirement	Conformance
Criterion 3.1 The Participating Operator must validate the SRP documentation.	
3.1.1 The Participating Operator must check the supplier contract, Transaction Certificates (see annex 4), invoice and supporting documentation to ensure the supplied SRP- Verified rice comes from SRP-verified suppliers, matches the accompanying documentation. Not applicable (N/A) if there is no purchase during audit period	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: The PO demonstrated how the relevant people check the supplier contract, TC, Invoice and supporting documentation, if any, to ensure the supplied SRP-verified rice comes from SRP- verified suppliers. The responsible person checks TCs in GLOBAL G.A.P database. By randomly reviewing the company's purchasing documents and interviewing the responsible employee, the PO demonstrated a proper check of these requirements. For example, but not limited to: examples of purchase invoices (no. dates, claims)	
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 Code¹, as applicable. Not applicable (N/A) if there is no purchase during audit period	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: Auditor reviewed the purchasing procedures and records as well as transaction Certificates in which the information as describes above all were find align with data in the POs ERP IT-system, which auditor controlled randomly.	

Element 4: Data reconciliation

Standard Requirement	Conformance
Criterion 4.1 The Participating Operator must record and manage the SRP documentation.	
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. Not applicable (N/A) if no incoming or receiving SRP-Verified rice during audit period.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: Auditor reviewed receiving and purchasing procedures and records as well as	

¹ SRP Global Number from SRP database.

<p>transaction Certificates in which the information as describes above all were find align with data in the POs ERP IT-system, which auditor controlled randomly. The PO is aware of the requirement regarding transaction reporting to the VB within 28 days of physical intake at the PO's facility/ies.</p>	
<p>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. Not applicable (N/A) if participating operator does not process the verified material, packaging activity is not consider as processing</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p>
<p>Findings: Auditor reviewed conversion rate method and the results of calculations, which were demonstrated by the responsible persons, who showed good understanding of the requirement.</p>	
<p>4.1.3 The Participating Operator must maintain the accuracy of any measuring equipment used. Not applicable (N/A) if participating operator does not process the verified material, packaging activity is not consider as processing</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: Auditor reviewed verification and calibration schedule of the equipment's and calibration records, which was demonstrated by the responsible person who as well told the frequency for calibration was XX.</p>	
<p>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) Not applicable (N/A) if no incoming or receiving SRP-Verified rice during audit period.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: Auditor reviewed the PO's recording system and verified volume of SRP-verified rice was correctly recorded in here. The responsible persons were well aware of the requirements.</p>	
<p>4.1.5 Allocation of SRP data must be only to products which are fungible with rice products. Not applicable (N/A) if no incoming or receiving SRP-Verified rice during audit period.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: The PO allocate only SRP data to products which are fungible with rice products, which auditor verified by observation and interview of relevant employees.</p>	
<p>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. Not applicable (N/A) if no incoming or receiving SRP-Verified rice during audit period.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: Auditor reviewed the PO's procedures and the PO's inventory records to verify each operational site undertake inventories of the input/output balance at fixed regular intervals. The PO undertake inventories for every xx period.</p>	
<p>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. Not applicable (N/A) if no incoming or receiving SRP-Verified rice during audit period.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: Auditor reviewed the PO's procedures and the PO's inventory records to verify the volume or quantity of SRP-Verified rice received over a fixed inventory period was</p>	

greater or equal to the volume or quantity supplied. The fixed inventory period is set to be XX .	
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 into the next inventory period.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: Auditor reviewed the inventory record of sustainability data from previous year to see if any quantity has been carried over. The responsible person explained how this would be managed in the system and expressed good understanding of the requirement by interview.	
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.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: The responsible person expressed good understanding of the requirement by interview. Review CoC system, data validity and obsolete records if applicable.	

Element 5: Processing

Standard Requirement	Conformance
Criterion 5.1 The Participating Operator shall implement the CoC system within its processing activities.	
5.1.1 The Participating Operator shall use a tracking system or production records to document product processing for each claim category.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: Auditor reviewed PO's procedures for production and examined records for input, output, processing and stock balance. The PO register all necessary information in its ERP IT- System, which was demonstrated by relevant person.	
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. Not applicable (N/A) if there is no independent third parties handling SRP products	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: Auditor reviewed outsourcing agreement, which covered relevant requirements for the standard (exhibit xx). Interview with the sub-contractor confirmed conformance with the applicable requirements of this standard.	
5.1.3 All product 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.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: The responsible person and involved employees are aware of and expressed good understanding of this requirement.	

Element 6: Shipping and sales

Standard Requirement	Conformance
Criterion 6.1 The Participating Operator shall ensure the SRP-Verified rice is sold with correct information in the sales documents.	
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. Not applicable (N/A) if there is no transaction during audit.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: By randomly reviewing the company's TC's, sales- and shipping documents, and by interviewing the responsible employee, the PO demonstrated a correct performance of the requirement. For example, but not limited to: examples of TC, invoices, shipping documents (no. dates, claims)	

Element 7: Claims and public information

Standard Requirement	Conformance
Criterion 7.1 The Participating Operator shall ensure the SRP-Verified rice is sold with correct claims. <input type="checkbox"/> N/A - Check if participating operator does not wish to use SRP claims or label	
7.1.1 The Participating Operator shall sign a license agreement directly with the VB prior to using any SRP claims or logos.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Findings: The PO has signed a license agreement with its VB, dated xx-xx-xxxx (exhibit XX).	
7.1.2 All claims and references to SRP made by the Participating Operator shall conform with SRP Trademark Rules, as applicable.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: Auditor reviewed the PO's SRP claim manual (exhibit xx), which auditor finds align with SRP Brand Manual.	
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.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Findings: The responsible person expressed good understanding for these requirements and auditor did not observe any trademark usage publish without an approval. The PO saves all approval in xxxx.	

Standard Requirement	Conformance
Criterion 8.1 Management system for multi-site operators. <input type="checkbox"/> N/A - Check if participating operator is a single site	
8.1.1 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	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

<p>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>Not applicable (N/A) if it is a single site PO</p>	
<p>Findings: The PO has implemented an Internal Management System that includes the above mentioned elements, which was explained by the system administrator at audit, which auditor finds in accordance with the requirement (exhibit xx).</p>	
<p>8.1.2 The Multi-site System Administrator shall keep records of the sites included in the scope of its Chain of Custody, including:</p> <ul style="list-style-type: none"> a) A list of sites including name, location, type of processing, and responsible personnel. b) Status of internal inspections and external audits; <p>and</p> <ul style="list-style-type: none"> c) Identification of the sanctioned sites. <p>Not applicable (N/A) if it is a single site PO</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: The responsible person expressed good understanding for this requirement and keeps record of the sites included. The PO has implemented procedures which list the above-mentioned points if applicable.</p>	
<p>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 Chain of Custody 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 Chain of Custody scope.</p> <p>Not applicable (N/A) if it is a single site PO</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Findings: The responsible person expressed good understanding for this requirement and implemented procedures includes sanctioning and exclusion of sites should it become necessary.</p>	