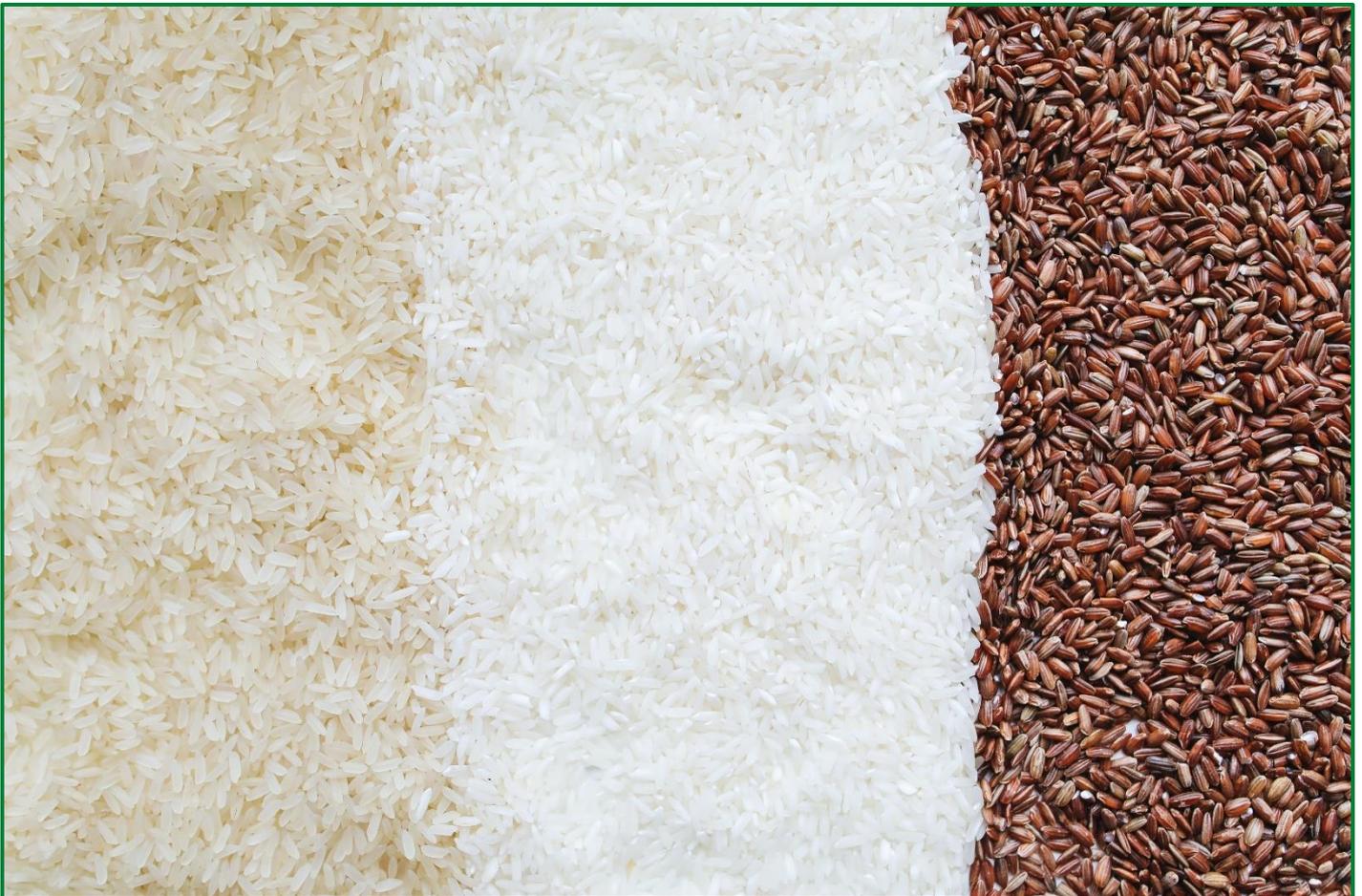

Overview of Changes SRP Chain of Custody Policy and Standard v 1.0 to v 2.0



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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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INTRODUCTION

Overview of Revisions to SRP Chain of Custody Policy and Standard v 2.0

The Sustainable Rice Platform (SRP) Standard for Sustainable Rice Cultivation offers a normative framework that can serve as a basis for supporting claims to sustainability performance in rice supply chains.

SRP Standard Versions Information

The SRP Assurance Scheme, launched in September 2020 following an open public consultation, recognizes three different types of Chain of Custody models: Identity Preservation (IP), Segregation System (Seg) and Mass Balance (MB). Chain of Custody verification is required for on-product use of SRP claims and use of the on-pack SRP-Verified Label.

The SRP Chain of Custody Policy and Standard Version 1.0 was released in October 2020. Version 2.0 was endorsed by the SRP Board in January 2022, and all users are encouraged to migrate to v 2.0 at the earliest opportunity, Version 1.0 will remain valid for Verification Bodies to conduct CoC verification audits for Participating Operators until 30 June 2022, after which v 2.0 will become mandatory and v1.0 will no longer be recognized. Transition arrangements are explained in the SRP Assurance Scheme Info. Note No.3.

Any Verification Body that has completed a SRP CoC verification audit under CoC v 1.0 is authorized to issue a SRP CoC compliance Verification Statement to companies deemed to be in compliance with the CoC Standard v 2.0 with one year validity. If Transaction Certificates are to be used, a remote complementary audit is required.

Key changes in Version 2.0

Key changes in Version 2.0 are summarized below:

- ✓ Replaced the term "Certification Body" with "Verification Body" throughout the document to conform with SRP Verification System.
- ✓ Clarified ambiguous language where users frequently observed difficulty in interpretation of meaning.
- ✓ Added and changed new compliance levels for many requirements to guide and encourage step- wise improvement in the journey toward sustainability.
- ✓ Added the term "Transaction Certificate" to Glossary to conform with additional requirements.
- ✓ Added requirements to Verification Body roles and requirements for SRP CoC.
- ✓ Added SRP CoC Standard requirements for CoC multi-site Participating Operator (Annex 2 No. 8).
- ✓ Introduced "Transaction Certificate requirements" to Annex 4.

Introduced "Transaction Certificate requirement" section to ANNEX 4

The SRP Chain of Custody Standard is intended to be used in conjunction with the SRP Standard and the Assurance Scheme to enable market actors to make verifiable sustainability claims for rice produced using proven, climate-smart, sustainable best practices.

Under the SRP Chain of Custody Policy and Standard Version 1.0, the traceability system of the farm ends at the farm or facility or the Verification Statement holder.

The most significant change in version 2.0 of the SRP Chain of Custody Policy and Standard is the introduction of the Transaction Certificate system to link producer and final seller. The Transaction Certificate system enhances transparency with regard to transfer of ownership of SRP-Verified products and associated claims to their 3rd party customer.

Annex 4 of the SRP Chain of Custody Policy and Standard v2.0 describes the requirements for use of Transfer Certificates.

Details of text additions/changes from CoC v 1.0 to CoC v 2.0

Section	CoC v. 1.0	CoC v. 2.0
Verification body roles and requirements for SRP CoC	None	Added section: <i>Verification body Roles and Requirement for SRP CoC.</i> The VB must clearly explain the Data Access Rules to the producer or producer group and obtain their written consent.
Glossary	None	Added definition: <i>Transaction Certificate:</i> a document issued by the CoC Verification Body that verifies the goods being shipped or delivered from one organization to the next conform to a given standard. A Transaction Certificate can be transferred from the Participating Operator to the customer without conducting a CoC audit at the customer site. The Verification Body will conduct a SRP Standard audit on farm and a CoC audit at the company supplying to the customer to verify SRP compliance.
Glossary	Certification Body (CB): an independent organization that is ISO 17065-accredited and recognized by an accreditation body for its competence to audit and issue	Verification Body (VB): an independent organization that has signed a License agreement with the Assurance Service Provider (ASP) to provide conformity assessments and verification statements to Participating Operators that meet the SRP Chain of Custody Policy and Standard requirements.

	certification confirming that an organization meets the requirements of the SRP Chain of Custody Standard.	
Requirement 1.3	None	<p>Added text: 4. v.) The VB must hold a valid ISO 17065 accreditation for another standard covering primary production (e.g., GLOBALG.A.P. IFA, Rainforest Alliance, Organic).</p> <p>11) from commercial, financial, or other pressures that might affect their judgment, and are expressly forbidden from promoting any goods or services during evaluation activities.</p> <p>24) The ASP must ensure that the VB and the CoC Verification Statement holder agree to be registered and undergo potential integrity audits conducted by the SRP. Costs of integrity audits will be covered by the SRP. However, if during such routine integrity audits, incidents related to VB's activities are found that lead to follow-up integrity audit visits, the SRP reserves the right to charge the VB for these additional integrity audit visits.</p>
Requirement 1.4: Verification Body participants in the audit process		<p>Added text: 1.4.4 Database administrator: c) Upload the Audit report in the Chain of Custody database</p>
Requirement 2 CoC verification rules		<p>Added text: 2.1.1 The SRP Chain of Custody CoC requirements shall apply to any organization in the supply chain that physically and non-physically (i.e., traders) handles SRP-Verified rice products at a location under the control of the organization, including outsourced contractors. After the end-product manufacturer, there is no further requirement for certification. Onsite CoC audit is required for any organization physically handling the product(s), desktop CoC audit is required for any organization not physically handling the product(s).</p>

		<p>2.1.7 Expansion of Multi-site Participating Operator Verification Statement:</p> <p>b) For a multi-site PO to increase its number of sites, it must communicate to the VB regarding each site it wishes to include. Multisite PO may register sites in different countries with different VB.</p>
Requirement application process 3.	None	<p>3.1 Application Process: Adding new sections.</p> <p>3.1.2 The applicant PO shall sign the latest version of the SRP Sublicense and Registration agreement with the VB.</p> <p>3.1.6 The process of PO registration in the Chain of Custody Database shall comply with the registration rules set up for producers and producer groups (Section 4 of the SRP Assurance Scheme) as well as with the requirements of the SRP CoC Data Access Rules.</p> <p>3.1.7 Following successful registration, the applicant PO will be assigned with a Global Aggregator Number – GAN.</p> <p>3.1.8 The PO must include and maintain all relevant information of each site (including subcontracting sites) if a multi-site audit is chosen while complying with all requirements above. All sites will be listed in the annex of the Verification Statement.</p>
Requirement 3.1.1	The Participating Operator must check the supplier contract, invoice and supporting documentation to ensure the supplied SRP- Verified rice comes from SRP-verified suppliers, matches the accompanying documentation.	Added text: 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.
Requirement 3.1.2	For each purchase/ receipt of SRP-Verified rice tracked within the CoC control system, the Participating	Added text: 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:

	<p>Operator shall identify, validate and record at least the following information:</p> <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. 	<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)
Requirement 3.4 Audit Report and Review		Added Text: 3.4.7 The VB shall upload the audit report in the Chain of Custody Database.
Requirement 4.1.1	Invoice and/or supporting documentation of incoming SRP-Verified rice must be received and entered into the system within 28 calendar days of physical delivery	Added text: 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.
Requirement 4.1.4	The volume of SRP-Verified rice received and the associated sustainability characteristics must be recorded in the system, within 28 calendar days of entering the system, after validity has been confirmed (indicator 2.1.1)	Added text: 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)
Requirement 6.1.1	The Participating Operator shall ensure correct claim information is provided on sales invoices and shipping documents, including the following:	<p>Added text: 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

	<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 	<ul style="list-style-type: none"> • SRP Verification Code, if applicable.¹
Requirement 7.1.1	The Participating Operator shall sign a license agreement directly with SRP prior to using any SRP claims or logos.	Changed text: The Participating Operator shall sign a license agreement directly with the VB prior to using any SRP claims or logos
Multisite Operators Requirement 8.1.1	None	<p>Added new requirement: 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 <p>Multi-site System Administrator for internal inspection and sanction.</p>
Requirement 8.1.2	None	Added new requirement: The Multi-site System Administrator shall keep records of the sites included in the scope of its Chain of Custody, including:

¹ SRP Verification Code: a unique code awarded to an organization which has certified or verified part or all of its products according to the Assurance Scheme.

		<p>a) 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>
Requirement 8.1.3	None	Added new requirement: 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.
Annex4	None	<p>Added Annex 4: <i>Transaction Certificate Requirements.</i></p> <p>All supply chain actors must request a transaction certificate from the VB if they plan to transfer the SRP Claims to another entity to maintain the SRP compliance and sustainability claims. POs may ask the VB to issue a Transaction Certificate to accompany the transfer of the product to the customer or customer's order final destinations. POs that request for a Transaction Certificate must have successfully met SRP verification requirements at Level 2 or Level 3 and for SRP CoC.</p> <p>The Claims on the packaging must follow Assurance Scheme v.1.3 Annex 7 (SRP MEMBER COMMUNICATION AND CLAIM/LOGO/LABEL GUIDELINES (ON AND OFF-PACK)). The VB will verify the compliance of Transaction Certificate processing during PO annual audit. A Transaction Certificate is proof to the VB that SRP-Verified products were used as input for further processing or trading. The Transaction Certificate can be requested retrospectively up to six (6) months. A Transaction Certificate can include multiple lots, invoices and containers within one (1) month.</p>

For complete document please follow this link; www.sustainablerice.org

Reference documents

SRP Assurance Scheme v 1.3
Information Note No 1 (12/2020)
Information Note No 2 (6/2021)
Information Note No 3 (4/2022)
License & Registration Agreement (LRA)
VB License and Sublicence Agreement v 2.0
SRP Chain of Custody Policy & Standard v 1.0
SRP Chain of Custody Policy & Standard v 2.0

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