

Section: **OPERATIONS PROCESSES**

Subject: **LICENSING AND REGISTRATION OF STAKEHOLDERS**

1.0 Objective

To ensure that all stakeholders are duly licensed/registered before the start of their operations and sugar transaction at a given crop year.

2.0 Scope

The procedure starts from receipt of application to issuance of license or registration.

3.0 Definition of Terms

G/S – General Information Sheet
 SEC – Securities and Exchange Commission
 CDA—Cooperative Development Authority

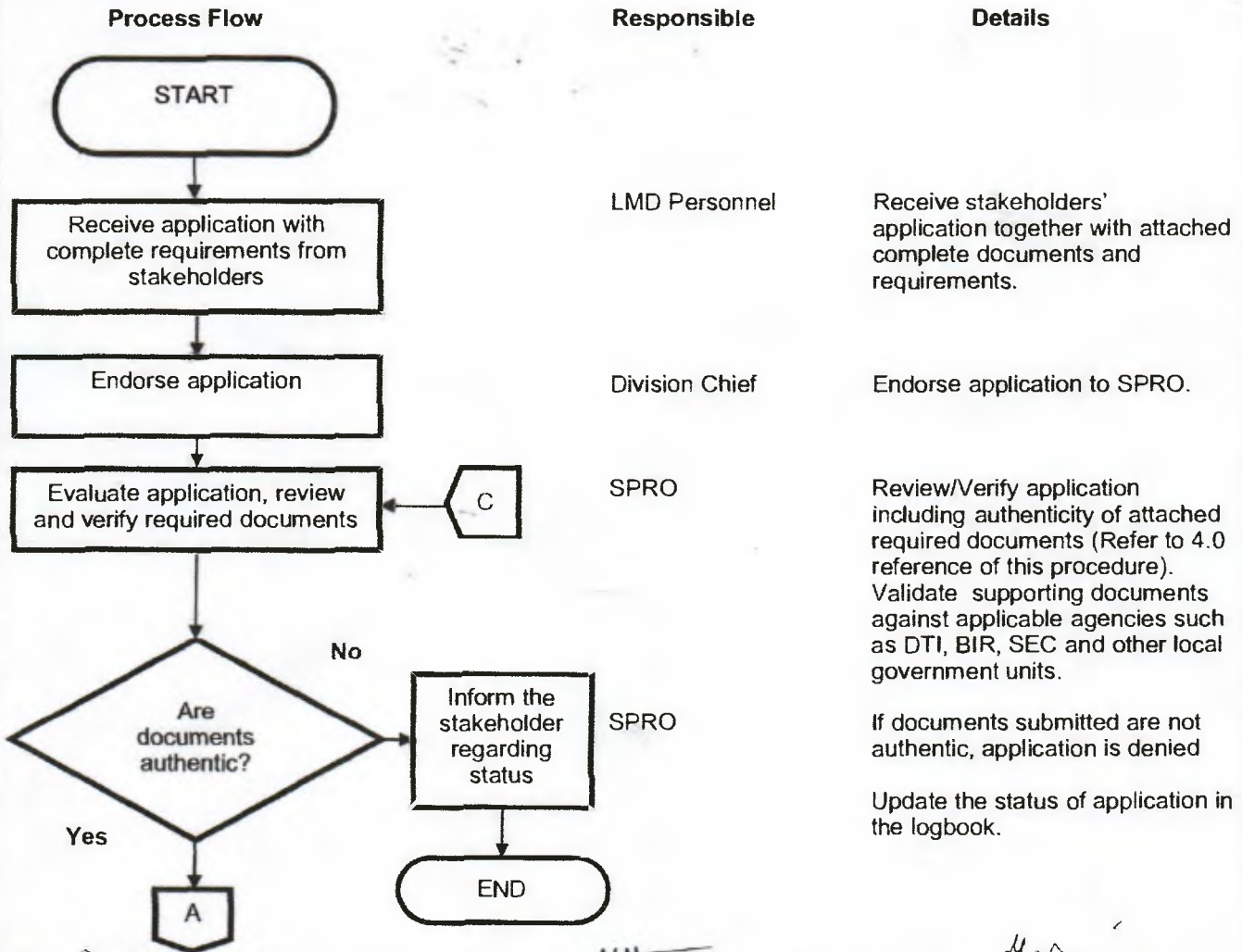
DTI – Department of Trade and Industry
 LMD – Licensing and Monitoring Division

4.0 Reference

Executive Order No. 18, May 28, 1986
 Sugar Order No. 12, series of 2010-2011
 Circular Letter No. 40, dated June 5, 2017

Sugar Order No. 4, series of 1992-1993
 Sugar Order No. 8, series of 1991-1992

5.0 Procedure



Prepared by: Senior Sugar Production and Regulation Officer	Reviewed by: Chief SPRO, Licensing and Monitoring Division	Approved by: Manager III/OIC Deputy Administrator Regulation Dept.
--	---	---





**SUGAR REGULATORY ADMINISTRATION
PROCESS MANUAL**

Document Code:
PM-SRA-03-02

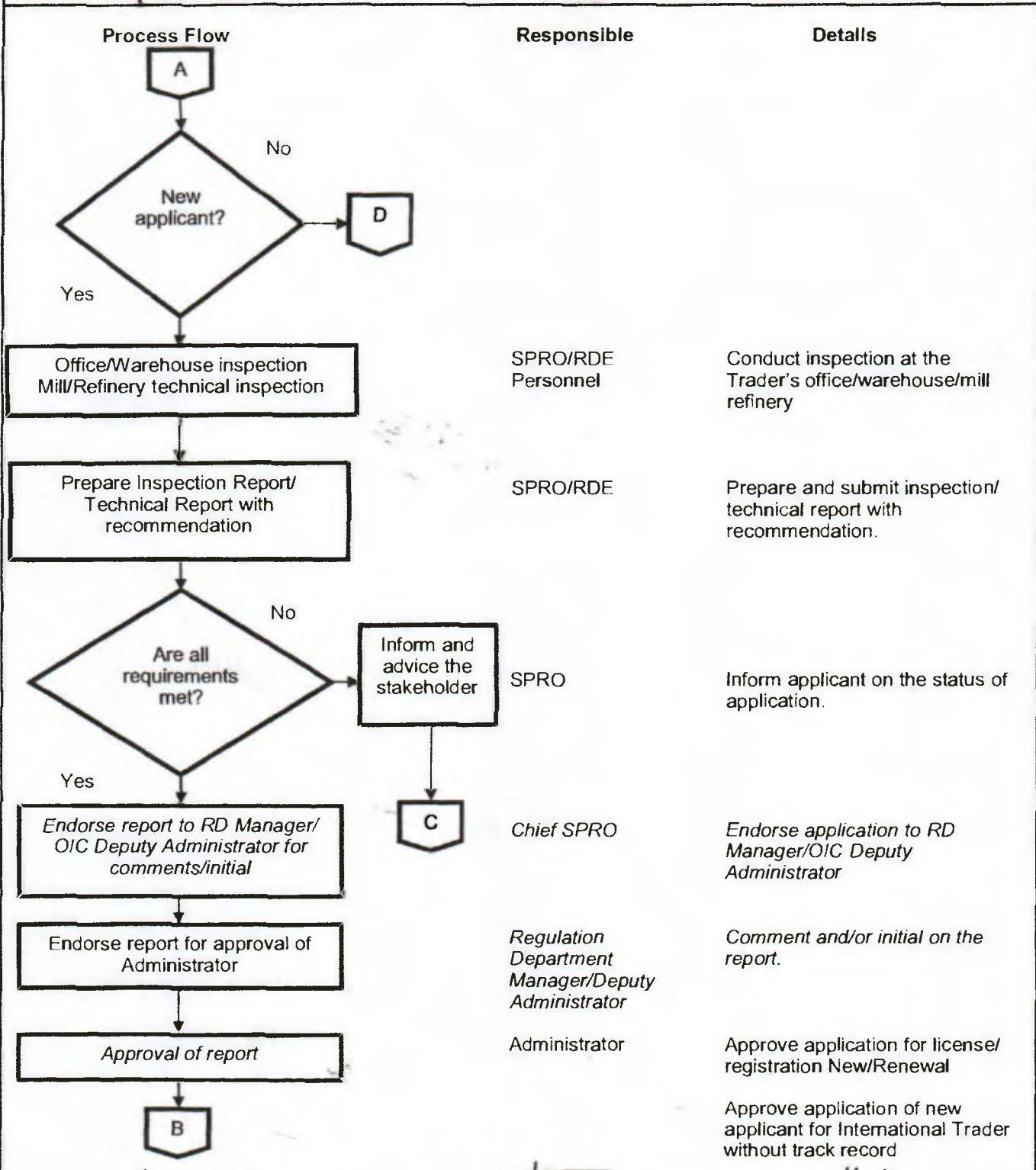
Page 2 of 4

Effectivity Date:
October 15, 2018

Revision No.:
1

Section: **OPERATIONS PROCESSES**

Subject: **LICENSING AND REGISTRATION OF STAKEHOLDERS**



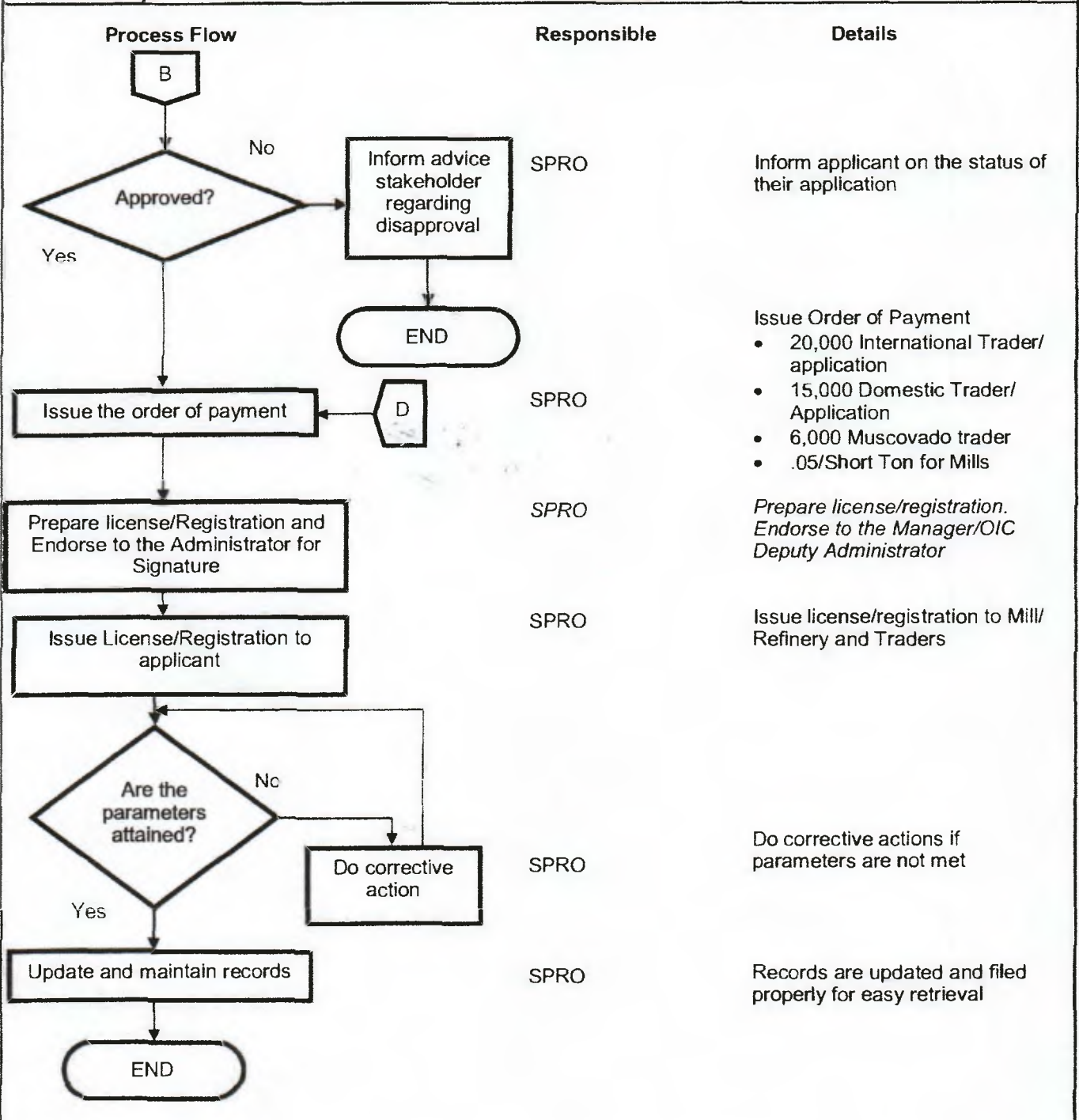
Prepared by: **Senior Sugar Pro-
duction and Regulation Officer**

Reviewed by: **Chief SPRO, LI-
censing and Monitoring Division**

Approved by: **Manager III/OIC Depu-
ty Administrator Regulation Dept.**



Section:	OPERATIONS PROCESSES
Subject:	LICENSING AND REGISTRATION OF STAKEHOLDERS



6.0 Records

Copy file of license issued
Application records

Prepared by: <i>[Signature]</i> Senior Sugar Production and Regulation Officer	Reviewed by: <i>[Signature]</i> Chief SPRO, Licensing and Monitoring Division	Approved by: <i>[Signature]</i> Manager I/OIC Deputy Administrator Regulation Dept.
--	---	---





**SUGAR REGULATORY ADMINISTRATION
PROCESS MANUAL**

Document Code:
PM-SRA-03-02
Effectivity Date:
October 15, 2018

Page 4 of 4
Revision No.:
1

Section: **OPERATIONS PROCESSES**

Subject: **LICENSING AND REGISTRATION OF STAKEHOLDERS**

Revision History ISO 9001:2008	Effectivity Date	Details/Description of Changes
Rev. 1	May 15, 2015	Revised the objective of the procedure to align the process based on the actual work flow of the Licensing and Monitoring Division. Removed unnecessary procedures in the work flow.
Rev. 2	November 15, 2015	Under 4.0 Reference: "Special Order" corrected as "Sugar Order No. 12, series of 2010-2011."
Rev. 3	April 15, 2017	Revised the subject title from "Licensing of Stakeholders" to "Licensing and Registration of Stakeholders." Updated the process flow, responsible person and details. Added references and definition of terms.
Revision History ISO 9001:2015	Effectivity Date	Details/Description of Changes
Rev. 0	May 24, 2018	Inclusion and addition of reference documents, improvement of sequencing in flow charts, and integration of risks into the flow of activities, and addition of the last phase wherein process goals (parameters) are checked if attained.
Rev. 1	October 15, 2018	Inclusion of new office/signatories to signify approval of report and Certificate of License to Operate as Trader/Mill/Refinery. Added "Approval of Report" activity box on page 2.

Prepared by: *[Signature]*
Senior Sugar Production and Regulation Officer

Reviewed by: *[Signature]*
Chief SPRO, Licensing and Monitoring Division

Approved by: *[Signature]*
Manager III/OIC Deputy Administrator Regulation Dept.





**SUGAR REGULATORY ADMINISTRATION
PROCESS MANUAL**

Document Code:
PM-SRA-03-08

Page 1 of 3

Effectivity Date:
November 23, 2018

Revision No.:
1

Section: **OPERATIONS PROCESSES**

Subject: **LABORATORY ANALYSIS**

1.0 Objective

To ensure that laboratory tests/analyses are accurately and completely conducted in a timely manner.

2.0 Scope

This procedure starts from the receipt of sample for analysis up to the release of the Certificate of Analysis. It covers tests conducted on sugar, raw and white quality, safety test, physico-chemical analyses of sugar, sugar-based food products and sugar co-products, premix/food concentrates, and environmental samples (water, wastewater and air emission).

3.0 Definition of Terms

Entry Sheet—A chronological logbook of samples received in the laboratory that contains proper sample identification

Analysis Fee—Corresponding fee for a specific test parameter.

Certificate of Analysis—A document containing the results of analysis requested certified and approved by the designated signatories.

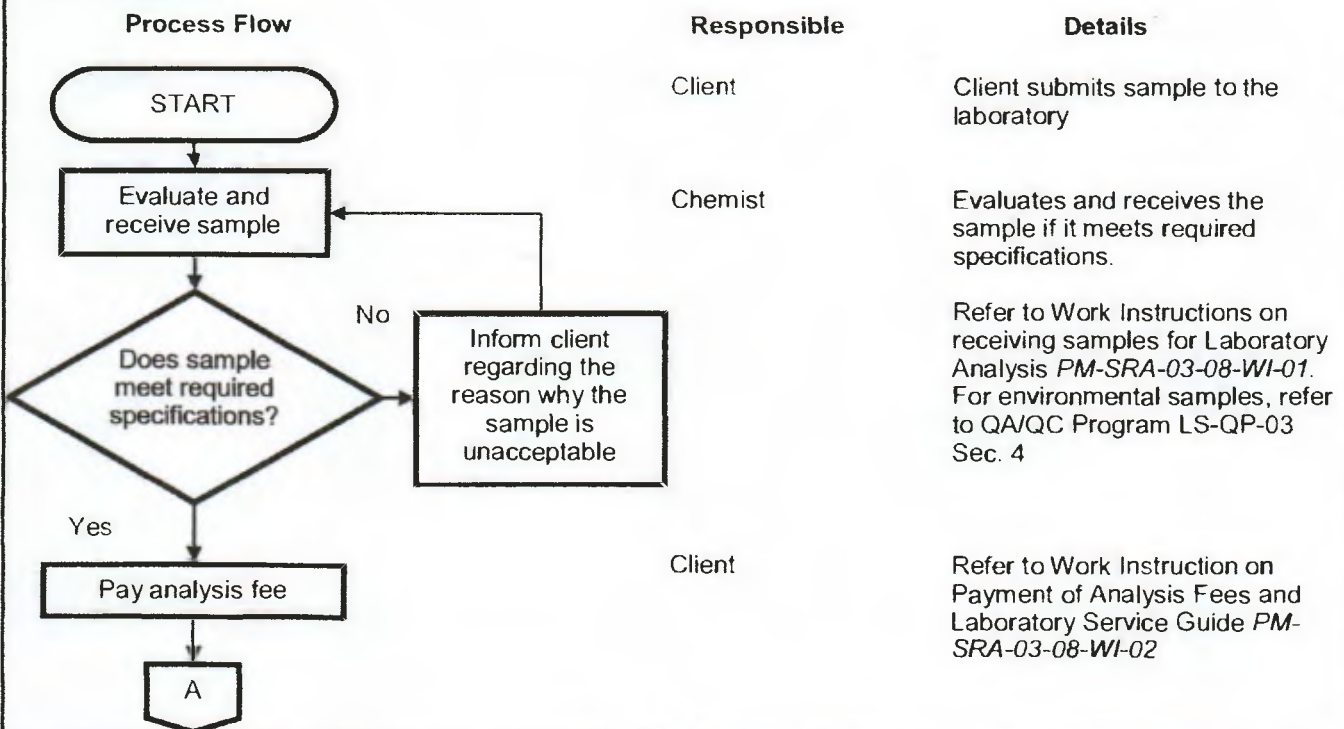
Records Section—A section of Sugar Regulatory Administration responsible for incoming and outgoing documents.

Clients—May be one of the following: Sugar mills, refineries, sugarcane planters, traders, brokers, importers, researchers, industrial users, in-house support, other government agencies and the general public.

4.0 References

- Laboratory Service Guide
- ICUMSA Methods Book
- The Coca-Cola Specifications
- Standard Methods for the Examination of Water and Wastewater
- Code of Federal Regulation, 40 Part 60 US Environmental Protection Agency Procedure
- QA/QC Program LS-QP-03 Sec. 4

5.0 Procedure



Prepared by: *hmn* *chr*
Chemist III and Chemist II

Reviewed by: *[Signature]*
Chemist III—Head, Sugar Lab

Approved by: *[Signature]*
Manager III, Regulations Department—*U&M*





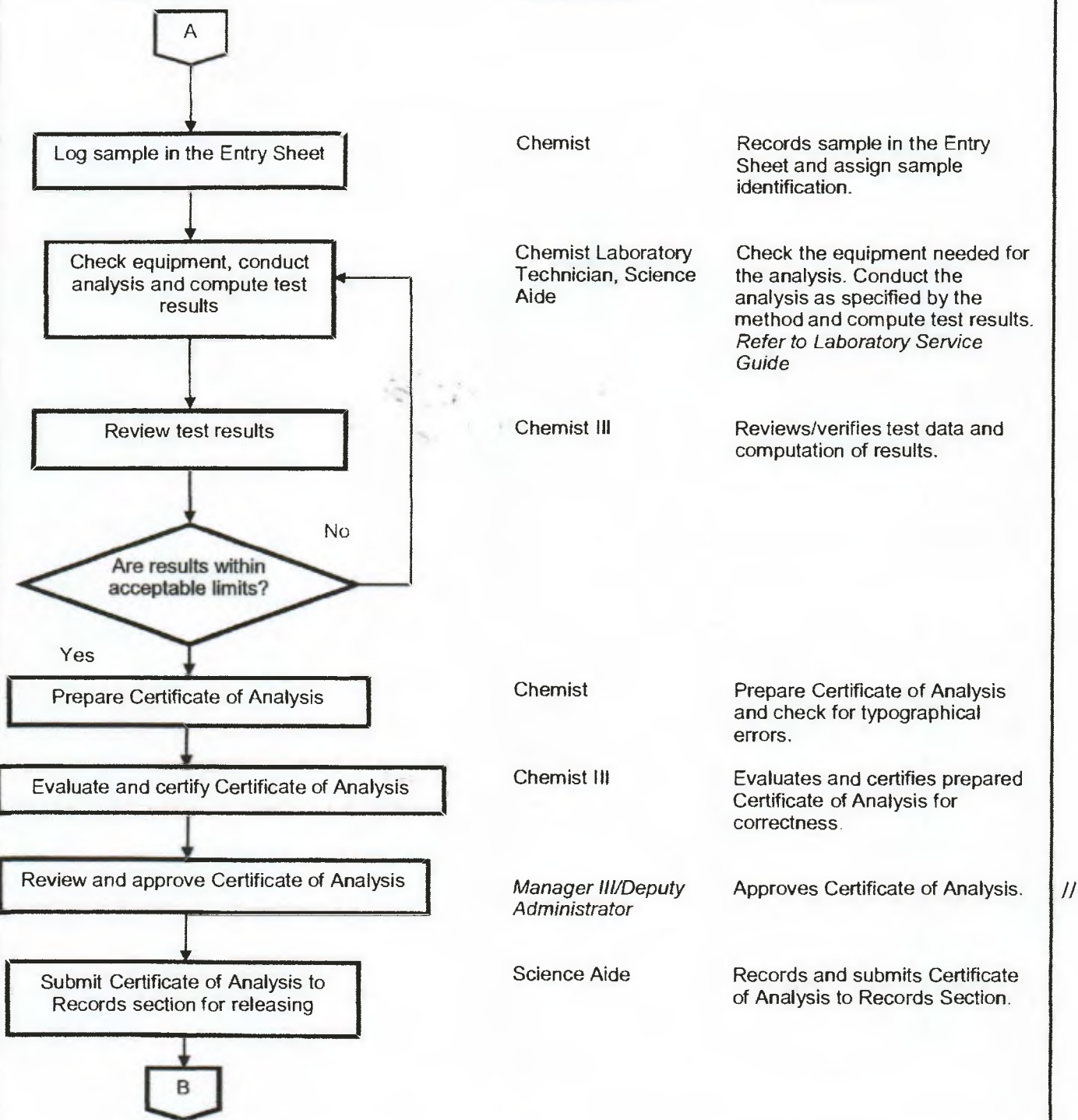
Section: OPERATIONS PROCESSES

Subject: LABORATORY ANALYSIS

Process Flow

Responsible

Details



Prepared by: *dm* *cha*
Chemist III and Chemist II

Reviewed by: *[Signature]*
Chemist III - Head, Sugar Lab

Approved by: *[Signature]*
Manager III, Regulations Department - L&M





**SUGAR REGULATORY ADMINISTRATION
PROCESS MANUAL**

Document Code:
PM-SRA-03-08

Page 3 of 3

Effectivity Date:
November 23, 2018

Revision No.:
1

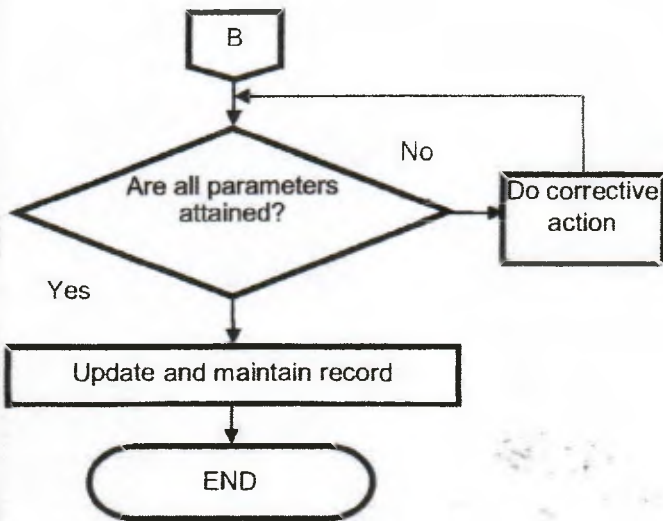
Section: **OPERATIONS PROCESSES**

Subject: **LABORATORY ANALYSIS**

Process Flow

Responsible

Details



Refer to PM—Corrective Action
All monitoring data are analysed for attainment of parameters.

Records are updated and filed properly for easy retrieval.

6.0 Records

- Request for analysis
- Order of Payment
- Entry Sheet for Samples Received
- Summary of Analytical Results
- Billing
- Certificate of Analysis
- Worksheets
- Activity Record


Revision History ISO 9001:2008	Effectivity Date	Details/Description of Changes
Rev. 1	September 15, 2015	Revised to include environmental samples in the scope and procedure.
Revision History ISO 9001:2015	Effectivity Date	Details/Description of Changes
Rev. 0	May 24, 2018	Enhancement on Definition of Terms, inclusion and addition of reference documents, improvement of sequencing in flow charts, integration of risks into the flow of activities, and addition of the last phase wherein process goals (parameters) are checked if attained.
Rev. 1	November 23, 2018	Change of Approved Signatory due to the transfer of Laboratory Services from RDE Department to Regulations Department.

Prepared by: *shw*
Chemist III and Chemist II

Reviewed by: *[Signature]*
Chemist III - Head Sugar Lab

Approved by: *[Signature]*
Manager III, Regulations Department—L&M



	SUGAR REGULATORY ADMINISTRATION PROCESS MANUAL	Document Code: PM-SRA-03-08-WI-01	Page 1 of 1
		Effectivity Date: November 23, 2018	Revision No.: 1
Section:	OPERATIONS PROCESSES		
Subject:	HOW TO RECEIVE SAMPLES FOR LABORATORY ANALYSIS		

1. Person Responsible

Chemist I, Chemist II or Chemist III

2. Steps

2.1. For samples coming from the Mill/Refinery (Weekly/Biweekly Composite Samples)

- 2.1.1. Receive mill samples from cargo couriers or from SRA Regulation officers.
- 2.1.2. Check packaging conditions of test sample upon receipt and note down the condition.
* Notify SRA Regulation officer or any representative from the Mill/Refinery if sample is insufficient.
- 2.1.3. Assign sample identification and record on Entry Sheet *FM-LAB-009/FM-LAB-010*.
- 2.1.4. Dispose analyzed sample 90 days after the release of test certificate unless requested/retrieved by the client

2.2. For Walk-In Samples

- 2.2.1. Receive sample and attend to client inquiry
- 2.2.2. Accomplishment of Request for Analysis *FM-LAB-008* in 2 copies
- 2.2.3. Review accomplished request form. Review resources and finalize due date.
- 2.2.4. Client pays the Analysis Fee. (Refer to Work instructions on Payment of Analysis Fee *PM-SRA-03-08-WI-02*)
- 2.2.5. Assign sample identification and record on Entry Sheet
- 2.2.6. Dispose analyzed sample 90 days after the release of test certificate unless requested/retrieved by the client

2.3. For Premix Commodity and/or Samples for Regulatory Support

- 2.3.1. Coordinate with the Regulation Department for schedule of sampling
- 2.3.2. Conduct site (plant/warehouse/port) sampling with Regulation Department
- 2.3.3. Affix signature on labels/seals of samples. Representatives of the importer/broker and Regulation Department shall also sign the labels/seals of samples
- 2.3.4. Accomplish Activity Record *FM-LAB-034*. Representatives of the importer/broker and Regulation Department shall also sign the activity report
- 2.3.5. Submit samples to the SRA Laboratory for assignment of sample identification and recording on the Entry Sheet
- 2.3.6. Dispose analyzed sample 90 days after the release of test certificate unless requested/retrieved by the client.

2.4. For Environmental Samples

- 2.4.1. Refer to QA/QC Program *LS-QP-03* Sec. 4

Revision History ISO 9001:2008	Effectivity Date	Details/Description of Changes
Rev. 1	September 15, 2015	Revised to include environmental samples.
Revision History ISO 9001:2015	Effectivity Date	Details/Description of Changes
Rev. 0	May 24, 2018	Change in process/section classification from "Service Realization" to "Operations Processes."
Rev. 1	November 23, 2018	Change of Approved Signatory due to the transfer of Laboratory Services from RDE Department to Regulations Department.

Prepared by: <i>JA</i> Chemist III and Chemist II	Reviewed by: <i>[Signature]</i> Chemist III, Head Sugar Lab	Approved by: <i>[Signature]</i> Manager III, Regulations Department—U&M
---	---	---



Section:	OPERATIONS PROCESSES
Subject:	PAYMENT OF ANALYSIS FEE

1. Person Responsible

Chemist I, Chemist II or Chemist III

2. Steps

2.1. For Raw Sugar Weekly Composite Samples

With pre-arranged payment scheme

2.2. For Other Samples coming from the Mills/Refineries without pre-arranged payment scheme

- 2.2.1. Receive sample and proceed with the analysis
- 2.2.2. Issue Billing Statement *FM-LAB-033* to the Mill/Refinery together with test certificate
- 2.2.3. Proceed to Step 2.4.1. upon receipt of payment from the Mill/Refinery

2.3. For Premix Samples

- 2.3.1. Receive and log samples in the Entry Sheet *FM-LAB-010*.
- 2.3.2. Start analysis after full payment of the required analysis fee. In case of nonpayment of the analysis fee, dispose unanalyzed samples 90 days after the date of sampling.
- 2.3.3. Proceed to Step 2.4.1 upon receipt of payment from the client.

2.4. For Walk-In Samples

- 2.4.1. Prepare Order of Payment *FM-LAB-035* in 2 copies
- 2.4.2. Client pays the Analysis Fee at the Treasury Section
- 2.4.3. Retain duplicate copy of Order of Payment with OR No. for filing

2.5 For Environmental Samples

- 2.5.1. Refer to QA/QC Program LS-QP-03 Sec. 4

Revision History ISO 9001:2008	Effectivity Date	Details/Description of Changes
Rev.1	September 15, 2015	Revised to include environmental samples.
Revision History ISO 9001:2015	Effectivity Date	Details/Description of Changes
Rev. 0	May 24, 2018	Change in process/section classification from "Service Realization" to "Operations Processes."
Rev. 1	November 23, 2018	Change of Approved Signatory due to the transfer of Laboratory Services from RDE Department to Regulations Department.

Prepared by: <i>lhw</i> Chemist III and Chemist II	Reviewed by: <i>[Signature]</i> Chemist III - Head Sugar Lab	Approved by: <i>[Signature]</i> Manager III, Regulations Department - L&M
--	--	---



**SUGAR REGULATORY ADMINISTRATION
PROCESS MANUAL**

Document Code:
PM-SRA-03-03

Page 1 of 4

Effectivity Date:
February 12, 2019

Revision No.:
1

Section: **OPERATIONS PROCESSES**

Subject: **SUGAR TRANSACTION DOCUMENTATION**

1.0 Objective

To ensure that all quedans applied for sugar transactions are checked accurately and accounted for and to issue accurate certificates in a timely manner.

2.0 Scope

The procedure covers the processing of quedans up to the issuance of certificate.

3.0 Definition of Terms

Crop Year— Sugar production period covering September of the previous year to August of the current year.

Production Weekending—Production cut-off of sugar which is midnight of Sunday a week.

Quedan—Refers to a warehouse receipt issued by a sugar mill/refinery attesting the fact that the volume and class of sugar and its owner, as therein stated, is kept at the said sugar mill/refinery and with the commitment that it will be delivered to the holder of said document by the sugar mill/refinery's warehouse man upon demand.

Sugar Classification—Market destination of sugar. These are "A" sugar for U.S. Export, "B" sugar for Domestic market and "D" sugar for World market.

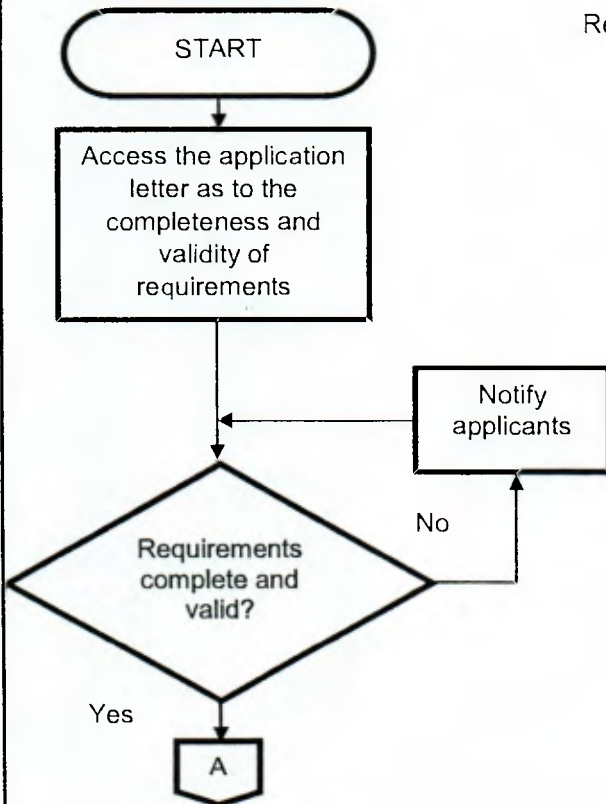
Sugar Traders—A company or a person who has the authority to transact sugar domestically and/or internationally provided that he has a certificate of registration from SRA.

4.0 Reference

Sugar Orders

5.0 Procedure

Process Flow



Responsible

Regulation Officer

Details

Attach requirement checklist to help in assessing the requirements.

Requirements include notarized application letter, physical quedans, listing of quedans (soft copy and hard copy), affidavit as to ownership of sugar. Additional requirements are as follows:

For sugar export:

<u>Add'l Req.</u>	<u>"A" or US</u>	<u>"D" or World</u>
<i>Initial</i>	<i>Export Declaration (temporary)</i>	<i>Export Declaration (temporary)</i>
	<i>PO/Invoice, Undertaking to Export, Payment of Fee</i>	<i>PO/Invoice, Undertaking to Export, Payment of Fee, Bill of Lading, Notice to Export</i>
<i>Post</i>	<i>Bill of Lading, Export Declaration stamped by BOC</i>	<i>Packing List, Export Declaration stamped by BOC, Notarized Declaration of Consignee, Customs Clearance from Port Entry</i>

For shipment—purchase order, invoice, bill of lading, packing list, deed of undertaking, for shipment in world market, customs clearance from port of entry, and declaration of consignee

For reclassification—purchase order

For authority to withdraw—refined sugar quedan

For swapping—notarized affidavit of ownership, and deed of undertaking

Receive the physical quedans

Prepared by: **Sugar Production and Regulation Officer III**

Reviewed by: **Chief SPRO, Sugar Transaction Division**

Approved by: **Manager III, Regulation Department**





**SUGAR REGULATORY ADMINISTRATION
PROCESS MANUAL**

Document Code:
PM-SRA-03-03

Page 2 of 4

Effectivity Date:
February 12, 2019

Revision No.:
1

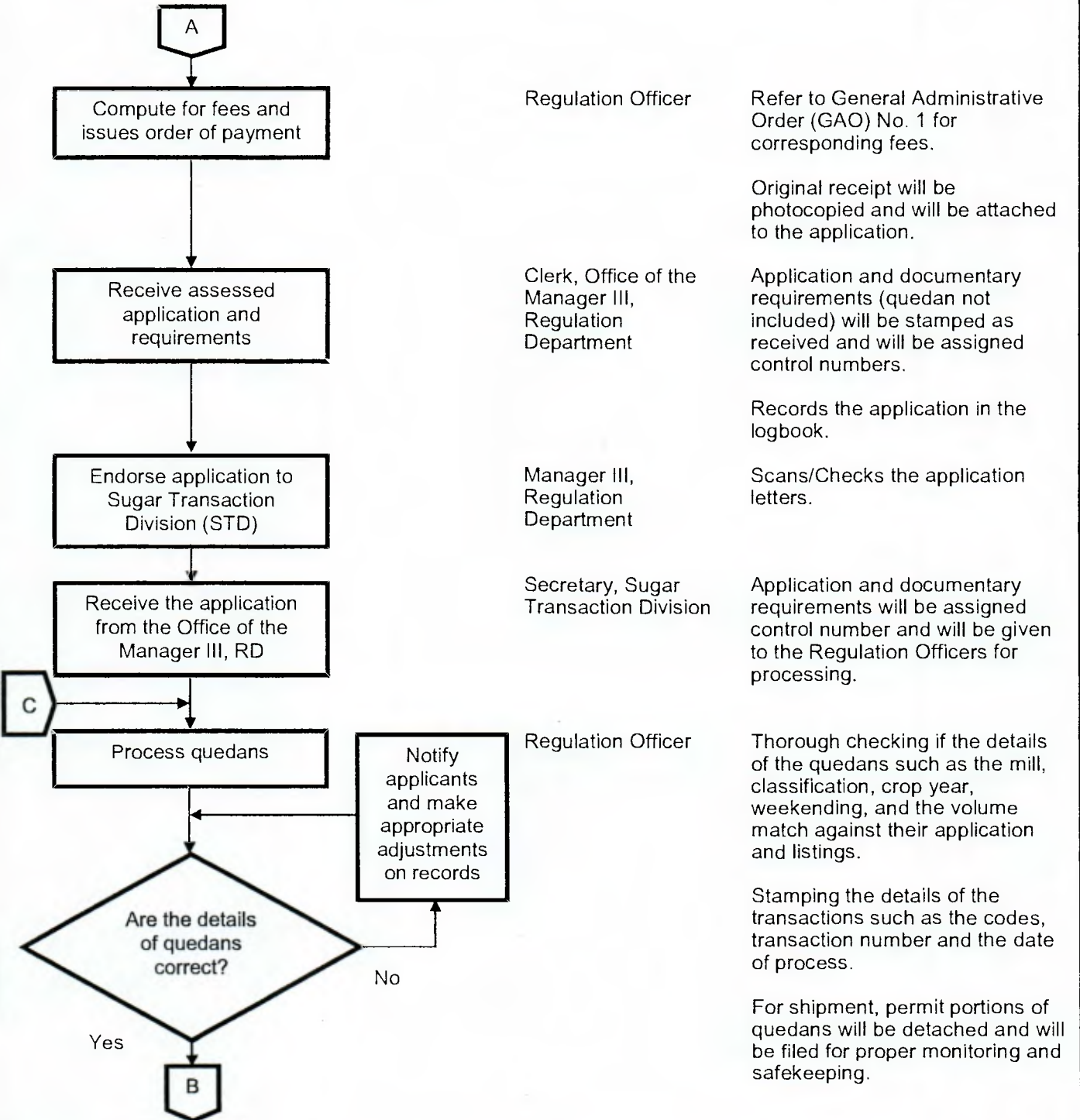
Section: **OPERATIONS PROCESSES**

Subject: **SUGAR TRANSACTION DOCUMENTATION**

Process Flow

Responsible

Details



Regulation Officer

Refer to General Administrative Order (GAO) No. 1 for corresponding fees.

Original receipt will be photocopied and will be attached to the application.

Clerk, Office of the Manager III, Regulation Department

Application and documentary requirements (quedan not included) will be stamped as received and will be assigned control numbers.

Records the application in the logbook.

Manager III, Regulation Department

Scans/Checks the application letters.

Secretary, Sugar Transaction Division

Application and documentary requirements will be assigned control number and will be given to the Regulation Officers for processing.

Regulation Officer

Thorough checking if the details of the quedans such as the mill, classification, crop year, weekending, and the volume match against their application and listings.

Stamping the details of the transactions such as the codes, transaction number and the date of process.

For shipment, permit portions of quedans will be detached and will be filed for proper monitoring and safekeeping.

Prepared by: **Sugar Production and Regulation Officer III**

Reviewed by: **Chief SPRO, Sugar Transaction Division**

Approved by: **Manager III, Regulation Department**





SUGAR REGULATORY ADMINISTRATION
PROCESS MANUAL

Document Code:
PM-SRA-03-03

Page 3 of 4

Effectivity Date:
February 12, 2019

Revision No.:
1

Section: **OPERATIONS PROCESSES**

Subject: **SUGAR TRANSACTION DOCUMENTATION**

Process Flow	Responsible	Details
<pre> graph TD B{{B}} --> A[Random inspection/ checking of processed quedan] A --> D{Passed?} D -- No --> C{{C}} D -- Yes --> E[Prepare certificate] </pre>	<p>Regulation Officer (Quality Control of the day)</p>	<p>Conducts quality control on 10% of total number of pieces of processed quedan for the day to detect errors and correct the errors.</p>
<p>Prepare certificate</p>	<p>Regulation Officer</p>	<p><i>For verification, prepare certificate of verification.</i></p> <p><i>For regular swapping, advance swapping and replenishment, prepare letter of advice to the mills, and certificate of exchange authority.</i></p> <p><i>For export shipment, prepare certificate of clearance in- loading, withdrawal and letter of acknowledgment receipt of permit portions of sugar quedan, export clearance, and clearance out-loading.</i></p> <p><i>For reclassification, prepare letter of advice to trader and mill.</i></p> <p><i>For authority to withdraw, prepare letter of advice to trader, refinery, and food processor.</i></p>
<p>Proofread the certificate</p>	<p>Regulation Officer</p>	<p>Certificates, letters, advices should be printed in duplicate.</p> <p>Check the details of certificate against application (quantity, mill name, trader's/quedan owner's name, signatory's spelling, etc.)</p>
<p>D</p>		

Prepared by: **Sugar Production
and Regulation Officer III**

Reviewed by: **Chief SPRO, Sugar
Transaction Division**

Approved by: **Manager III, Regulation Department**





**SUGAR REGULATORY ADMINISTRATION
PROCESS MANUAL**

Document Code:
PM-SRA-03-03

Page 4 of 4

Effectivity Date:
February 12, 2019

Revision No.:
1

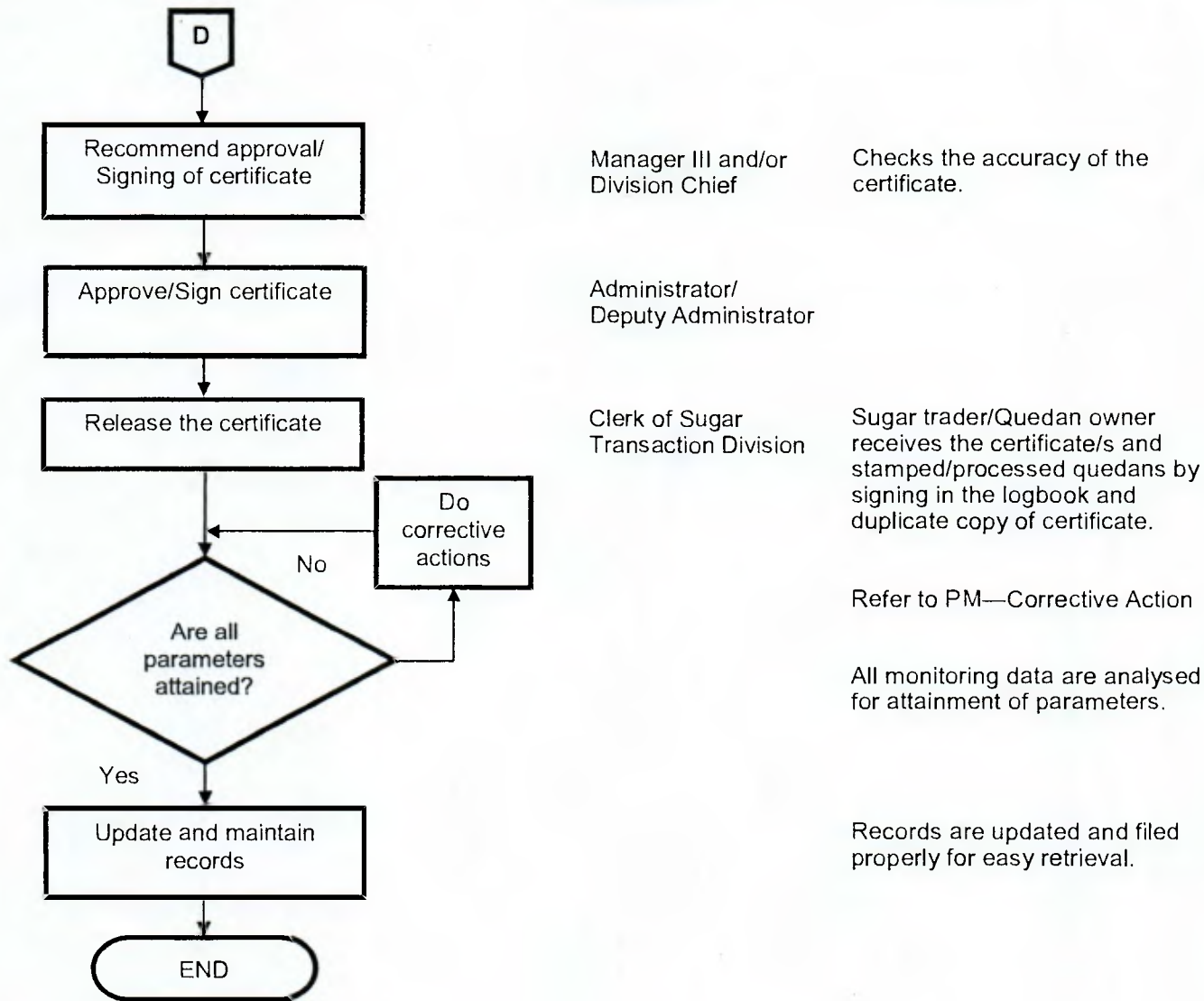
Section: **OPERATIONS PROCESSES**

Subject: **SUGAR TRANSACTION DOCUMENTATION**

Process Flow

Responsible

Details



6.0 Records

Logbooks of Sugar Transactions
Duplicate copies of Certificates & Letters

Submitted requirements
Permit Portions of Quedan

Revision History ISO 9001:2015	Effectivity Date	Details/Description of Changes
Rev. 0	May 24, 2018	Enhancement on Definition of Terms, inclusion and addition of reference documents, improvement of sequencing in flow charts, integration of risks into the flow of activities, and addition of the last phase wherein process goals (parameters) are checked if attained.
Rev. 1	February 12, 2019	Revised Sugar Import requirements.

Prepared by: **Sugar Production and Regulation Officer III**

Reviewed by: **Chief SPRO, Sugar Transaction Division**

Approved by: **Manager III, Regulation Department**

