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1 INTRODUCTION

- a. This document establishes the procedures to be followed by SPP GLOBAL in structuring, writing, approving, publishing and modifying, partially or completely, the standards for the Small Producers' Symbol.
- b. This document was approved by SPP GLOBAL's Standards and Procedures Committee and its Board of Directors.
- c. The content of this document is subject to changes resulting from decisions made by the above-mentioned entities responsible for its approval.

2 FIELD OF APPLICATION

- a. These procedures apply to all standards issued by *SPP Global*. Aplica a todas las normas que SPP GLOBAL emita.
- b. These procedures apply to all members of *SPP Global's* entities involved in defining standards.

3 REFERENCES

- a. Declaration of Principles and Values of the Small Producers' Symbol. Declaración de Principios y Valores del Símbolo de Pequeños Productores.
- b. Terms of Reference for the Standards and Procedures Committee. Términos de Referencia del Comité de Normas y Procedimientos.
- c. Code of Conduct for the Small Producers' Symbol.

4 DEFINITIONS

Standards and Procedures Committee: Entity responsible for developing standards and procedures for the Small Producers' Symbol, and guaranteeing that standards contribute to *SPP Global's* mission and respect the Declaration of Principles and Values of the Small Producers' Symbol.

Board of Directors: Entity having overall leadership responsibility in *SPP Global*, including responsibility for the final approval of standards, and also procedures for defining standards and the Standards and Procedures Committee's Terms of Reference, among others.

SPP GLOBAL: Global Small Producers' Symbol (Símbolo de Pequeños Productores Global, *Asociación Civil*).

Secretariat (for the Standards and Procedures Committee): *SPP Global's* operations team assigned to the area of standards, under the supervision of *SPP Global's* executive Director (see Standards and Procedures Committee's Terms of Reference). The Operations Coordinator for Standards is part of this Secretariat.



5 STRUCTURE

Standards for the Small Producers' Symbol have the following general structure: :

1. **Name:** A simple name that gives a general idea of the criteria found in the standard is selected.
2. **Date:** The day, month and year in which the standard was published or when the standard's draft was prepared is written out completely.
3. **Introduction:** A brief explanation is given of who is publishing the standard and the criteria developed in the standard.
4. **References:** References are given for documents used as input for defining the standard, and also documents that are important for correctly understanding the standard.
5. **Vocabulary:** The vocabulary and/or acronyms necessary to facilitate a solid understanding of the standard are specified.
6. **Criteria:** The criteria that must be met are specified in the main body of the standard.

In the section on criteria, there may be elements from texts that assist in introducing certain criteria.

6 DEFINITION OF STANDARDS PROGRAM

- a. The Standards Program is an instrument for planning, coordination and information on activities carried out by *SPP Global* in the area of Defining Standards
- b. This Standards Program is approved by *SPP Global's* Board of Directors, which takes into consideration the proposals made by *SPP Global's* Standards and Procedures Committee.
- c. The Standards Program must have the approval of *SPP Global's* General Assembly. If it is not ratified, the Board of Directors will make modifications based on recommendations from *SPP Global's* General Assembly.
- d. Anyone interested in a standard being developed, modified or updated on a specific topic or for a specific product should make a request to *SPP Global's* Board of Directors for its inclusion in the Standards Program. Interested parties should present such a request in writing, explaining the importance of such a standard.
- e. *SPP Global* publishes the Standards Program on its website.



7 PROCEDURES FOR DEVELOPING REGULATORY DOCUMENTS

The different types of regulatory documents are the following:

1. **SPP Standards:**
 - a. General Standards, to apply to all participants certified or registered in the Small Producers' Symbol system. There may also be General Standards applicable only to Small Producers' Organizations or only to Buyers.
 - b. Specific Standards, to apply to a particular product or region, or other specific situations.
 - c. Annexes to Standards, applicable to a specific part of a particular standard, including the List of Prohibited Products and List of Optional Complementary Criteria.
2. **Prices:** Regulatory document that presents SPP's Sustainable Prices consisting of three components: Minimum Price, Organic Recognition and SPP Incentive.
3. **Parameters:** Regulatory document that presents specific, temporary and permanent parameters for certain criteria in the General Standards, according to the product and the country in which it is produced.

7.1 PROCEDURES FOR SPP STANDARDS

Procedure for Developing Generic Standards: Generic Standards are developed through a process in which a number of drafts are developed, subjected to consultation, and then authorized and published in the General Standards. The procedures are specified below:

A. Development of First Draft

- a. For the initial phase, already-existing regulatory documents may be considered, if reference is made to the source in the document being developed.
- b. At the beginning of the process of formulating a standard, it is necessary to make a Map of interested parties, consisting of (potential) Small Producers' Organizations, (potential) buyers, and (potential) consumers interested in the standard.
- c. Based on the Map of interested parties, a Working Group is formed, following the Terms of Reference for the Standards and Procedures Committee.
- d. The Secretariat for the Standards and Procedures Committee appoints the Operations Coordinator for the Standard, in joint agreement with the Working Group.
- e. In the process of formulating a standard's first draft, the Operations Coordinator should develop a Work Plan for the Standard in question, to be approved by the Working Group and the Secretariat's Coordinator.
- f. The Work Plan should consider collaboration with (potential) Small Producers' Organizations interested in the particular standard, certified and with the knowledge of SPP Global's General Assembly. The Work Plan for the Standard should also consider obtaining input from both (potential) buyers and (potential) consumers interested in the standard.



- g. After the Operations Coordinator has implemented the Work Plan for the Standard and has developed an initial version of the standard, identified as a Working Document, this Coordinator will present this version, with the backing of the Secretariat's Coordinator, the Working Group and the Standards and Procedures Committee.
- h. The Standards and Procedures Committee reviews and analyzes the Working Document for the Standard in an ordinary or extraordinary session, in accordance with the Annual Work Plan for Standards. It adds any contributions it may have, and approves the First Draft, to then move on to the Consultation Phase. If the Standards and Procedures Committee considers the quality of this Working Document to be insufficient, the Operations Coordinator must develop a new version of the Working Document, taking into consideration the observations made by the Standards and Procedures Committee.
- i. If the Working Document is approved, with any modifications agreed upon, the Operations Coordinator for the Standard must incorporate the observations made for formulating the First Draft, with backing from the Coordinator for the Standards and Procedures Committee's Secretariat.

B. Consultation on a Standard's First Draft

- a. The Secretariat for the Standards and Procedures Committee sends the Standard's First Draft to:
 - i. *SPP Global's* Standards and Procedures Committee.
 - ii. *SPP Global's* General Assembly members.
 - iii. Small Producers' Organizations and Buyers interested in the Standard.
 - iv. Small Producers' Organizations certified with the Small Producers' Symbol.
 - v. Buyers registered with the Small Producers' Symbol.
- b. At the same time, the First Draft is published on *SPP Global's* website, making it clear that it is only a draft, so that any interested sector or person can participate in the consultation process.
- c. *SPP Global's* Suggestion Form or another specific form developed by the Secretariat is used to present any suggestions for changes to the Standard's Draft.
- d. The ordinary period for presenting observations consists of 60 calendar days. If a shorter or longer period of time is needed, this modification must be endorsed by *SPP Global's* Board of Directors.
- e. The Operations Coordinator for the Standard must register all the comments made by all interested persons or sectors.



C. Development of Second Draft

- a. The Operations Coordinator for the Standard writes a report that brings together the suggestions received on the standard's draft and the results from processing those suggestions. This report is annexed to the standard's new draft version.
- b. The Operations Coordinator for the Standard formulates a Second Draft, with the backing of the Coordinator for the Standards and Procedures Committee's Secretariat.

D. Development of Final Draft

- a. The Standards and Procedures Committee reviews and analyzes the proposal for the Second Draft of the Standard in an ordinary or extraordinary session, adds any contributions it may have, and approves the Second Draft.
- b. If the Second Draft is not approved by the Standards and Procedures Committee, it will have to be reformulated by the Secretariat, on the basis of specifications from the Standards and Procedures Committee.
- c. If the Standards and Procedures Committee validates the Second Draft of the Standard, the Chairperson for this Committee passes it on to *SPP Global's* Board of Directors as the Final Draft ready to be authorized as a Standard. Supporting materials from the consultation process and the substantiated decision made by the Standards and Procedures Committee are annexed.

E. Authorization as Standard

- a. The Board of Directors considers the following aspects when deciding whether to ratify the Final Draft:
 - i. That there is sufficient evidence of participation by all interested sectors.
 - ii. That the draft is not contrary to the Declaration of Principles and Values of the Small Producers' Symbol.
- b. If the draft sent by the Standards and Procedures Committee is not approved, it will need to be reformulated by the Secretariat, and then reviewed by the Standards and Procedures Committee, on the basis of specifications from the Board of Directors.

F. Publication

In a time period agreed upon by the Standards and Procedures Committee, its Secretariat publishes the authorized Standard.

G. Review and Updating

- a. Generic standards are subject to regular, complete reviews conducted at least every five years.
- b. One year before the end of a five-year period, a survey should be conducted to determine whether a complete review of a standard is necessary. The stakeholders to be included in the survey are the following:
 - i. The SPP-certified Small Producers' Organizations that produce the product in consideration.



- ii. The SPP-registered Final Buyers that commercialize the product in consideration.
- c. The process for updating an existing generic standard will follow the same procedures as in the case of defining a new standard.
- d. There is always the possibility that a stakeholder or *SPP Global's* Operations Team may present suggestions for changes to generic standards, which the Secretariat of the Standards and Procedures Committee must review, systematize and present in a timely manner to *SPP Global's* Standards and Procedures Committee and Board of Directors.
- e. If there is reason to consider reviewing a generic standard before the five-year period is over, the Board of Directors may decide to initiate an early review and consultation process for that standard or part of that standard, and will establish a specific schedule for the review, consultation and approval process.

7.2 PROCEDURES FOR DEFINING PRICES

In accordance with stipulations in Minimum Criteria 6.2.6 of SPP's General Standards: "When the List of Sustainable Prices does not mention the product or by-product of the parties interested in being certified as a Small Producer's Organization, or interested in becoming registered as a Buyer, it is necessary to ask *SPP Global* to establish the prices or references to be applied.

- a. In the case of new prices for products and regions, the Procedures for Generic Standards (section 7.1 of this document) should be carried out, specifically: Development of First Draft, Consultation, Development of Second Draft, Development of Final Draft, Authorization as Standard and Publication. The Consultation phase is limited to Small Producers' Organizations and Buyers interested in the standard and SPP-certified Small Producers' Organizations and SPP-registered Buyers.
- b. Following are the general requirements to be included in the establishing of prices:
 - i. The proposal must be based on a comprehensive calculation of the production costs of the product(s) in consideration, and when applicable, identifying the specific costs of organic production.
 - ii. A proposal for the SPP Sustainable Price should include its three components: Minimum Sustainable Price, Organic Recognition and SPP Incentive. The percentage of the Organic Recognition should be in the range of 15-25% of the Minimum Sustainable Price, and the SPP Incentive should be in the range of 10-15% of the Minimum Sustainable Price. If prices outside these ranges are proposed, an appropriately substantiated justification must be presented.
- c. When the price being established is one of high priority due to beneficial market opportunity for one or various small producers' organizations, and if a price has already been defined for the product in consideration, this SPP Sustainable Price should be used provisionally, whether it has been established for all countries or for a specific country.
- d. If the established price is not applicable, a price request may be presented, accompanied by a justification for why a decision is needed in the short term, and specifying the time frame during which the necessary complementary information will be provided to appropriately substantiate the proposal for a permanent decision.



- e. A price proposal must be accompanied by verifiable references for the opinions regarding the proposal from at least one buyer involved in the supply chain.

7.2.1 REVIEW AND UPDATING OF PRICES

- a. Prices are subject to regular, complete reviews conducted at least every five years.
- b. One year before the end of the five-year period, a survey should be conducted to determine whether a complete review of all prices presented in the List of SPP Sustainable Prices is necessary, or only of some prices. The stakeholders to be included in the survey are the following:
 - i. The SPP-certified Small Producers' Organizations that produce the product in consideration.
 - ii. The SPP-registered Final Buyers that commercialize the product in consideration.
- c. The results of the survey are used to determine whether it is necessary to review the complete list of prices, or only some prices for certain products.
- d. Current prices in other certification schemes and market prices should be studied as part of the review of prices. If it is determined that SPP prices should be modified, the Procedures for Generic Standards (section 7.1 of this document) should be carried out, specifically: Development of First Draft, Consultation, Development of Second Draft, Development of Final Draft, Authorization as Standard and Publication. The Consultation phase is limited to Small Producers' Organizations and Buyers interested in the standard and SPP-certified Small Producers' Organizations and SPP-registered Buyers.
- e. There is always the possibility that a stakeholder or *SPP Global's* Operations Team may present suggestions for changes to prices, which the Secretariat of the Standards and Procedures Committee must review, systematize and present in a timely manner to *SPP Global's* Standards and Procedures Committee and Board of Directors.
- f. If there is reason to consider reviewing a price before the five-year period is over, the Board of Directors may decide to initiate an early review and consultation process for a particular standard or part of that standard, and will establish a specific schedule for the review, consultation and approval process.
- g. For some products considered to be of extremely high demand, it is important to monitor prices used in other certification schemes and also market prices. The objective of such monitoring is to maintain SPP's Sustainable Minimum Prices aligned with the market and other certification schemes.

The specific products to be monitored are:

- i. Coffee
- ii. Cacao
- iii. Sugar
- iv. Bananas



- h. For the monitoring of products as defined in the previous point, the Secretariat of the Standards and Procedures Committee is responsible for including this activity within its Annual Work Plan. If any of these products were updated recently, their monitoring should be included in the Work Plan for the following two years.
- i. In any case, minor adjustments may be made in the wording of any standard for the purpose of clarification or correcting any errors, as long as contents are not changed.

7.3 PROCEDURES FOR DEFINING PARAMETERS

There are two types of procedures for defining parameters, specifically:

- I. Parameters for existing products¹
- II. Parameters for new products²

I. Procedures for defining parameters for existing products

- a. The Procedures for Generic Standards (section 7.1 of this document) should be carried out, specifically: Development of First Draft, Consultation, Development of Second Draft, Development of Final Draft, Authorization as Standard and Publication. The Consultation phase is limited to Small Producers' Organizations and Buyers interested in the standard and SPP-certified Small Producers' Organizations and SPP-registered Buyers.
- b. When the specific parameter being established is one of high priority due to beneficial market opportunity for one or various small producers' organizations, a request and proposal may be submitted, as long as the request explains the need for a decision in the short term and establishes the time frame during which the necessary complementary information will be provided to appropriately substantiate the proposal for a permanent decision.

II. Procedures for defining new products

- a. The interested parties will need to send a request with appropriate justification explaining why it is necessary to establish a specific parameter for a new product.
- b. The Operations Coordinator, as instructed by the Secretariat of the Standards and Procedures Committee, will review the request and justification presented by the petitioner(s). The following criteria should be considered in such a review:
 - If the proposal for the parameter is within that established in the General Standards.

¹ Existing product: Product for which there is already a specific, defined parameter that is different from that established in the General Standards, applicable for all countries or for a particular country. países o para un país específico.

² New product: Product for which a specific, defined parameter has not been established.



- If there is a difference with respect to the General Standards, sufficient information and substantiation must be provided to justify the definition of a specific parameter.
- c. With the information collected, the Secretariat of the Standards and Procedures Committee (SPC) will present the request to the SPC, providing information justifying that such request is feasible or that the process for establishing a specific parameter for the new product should be discontinued. The SPC should respond with its approval or denial for continuation of the process. If the SPC responds favorably, the Procedures for Generic Standards (section 7.1 of this document) will be carried out, specifically: Development of First Draft, Consultation, Development of Second Draft, Development of Final Draft, Authorization as Standard and Publication. The Consultation phase is limited to Small Producers' Organizations and Buyers interested in the standard and SPP-certified Small Producers' Organizations and SPP-registered Buyers.

7.3.1 REVIEW AND UPDATING OF PARAMETERS

- a. Specific parameters are subject to regular, complete reviews conducted at least every five years, from the date on which each parameter was approved.
- b. One year before the end of the five-year period, a survey should be conducted to determine whether a complete review of the various parameters is necessary. The stakeholders to be included in the survey are the following:
 - iii. The SPP-certified Small Producers' Organizations that produce the product in consideration. Las Organizaciones de Pequeños Productores certificadas SPP que producen el producto en cuestión.
 - iv. The SPP-registered Final Buyers that commercialize the product in consideration. Los Compradores Finales registrados SPP que comercializan el producto en cuestión.
- c. The process for updating an existing specific parameter will follow the same procedures as in the case of defining a new standard.
- d. There is always the possibility that a stakeholder or *SPP Global's* Operations Team may present suggestions for changes to specific parameters, which the Secretariat of the Standards and Procedures Committee must review, systematize and present in a timely manner to *SPP GLOBAL's* Standards and Procedures Committee and Board of Directors.
- e. Annual Work Plans should specify a review for determining which parameters have reached their five-year mark, to include their review in the corresponding Work Plan.



8 CHANGES

CHANGES MADE TO PREVIOUS VERSION ON DOCUMENT

Previous Document:

Procedurs for Defining Standards

Versión 2 01-Oct-201

Edición1 12-Feb-2017

#	Change	Reasson	Type of Change	Effective Date
1	The document's overall structure has been modified to make it more logical. The new proposal presents different procedures in accordance with the type of regulatory document.	The necessity to define different process for defining Standards	Content	2017-10-15
2	The explanation of the different types of regulatory documents has been modified according the following categories of regulatory documents: <ul style="list-style-type: none"> - General Standards - Specific Standards - Regulatory Annexes 	The necessity to define different process for defining Standards	Content	2017-10-15
3	A specific procedure is presented for defining the different types of regulatory documents.	The necessity to define different process for defining Standards	Content	2017-10-15
4	Each section that explains the procedures for defining a different type of standard includes a sub-section on Review and Updating each of the different types of regulatory documents.	The necessity to define different process for defining Standards	Content	2017-10-15