



Guidelines for Collective Certification

Small Producers' Symbol

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1. INTRODUCTION

The official language of documents associated with the Small Producers' Symbol is Spanish. In the case of disputes arising from a translated version, the only valid version is the original version in Spanish.

ISO 19011: 2002 Guidelines for quality and/or environmental management systems auditing has been considered as a basis for developing these procedures.

These procedures fulfill the ISO/IEC Guide 65: 1996 General Requirements for Bodies Operating Product Certification Systems and the Guidelines from the International Accreditation Forum (IAF).

These complementary procedures should be applied in conjunction with other documents in the Small Producers' Symbol system.

2. OBJECTIVE

Specify the guidelines for implementation and fee collection for simultaneous certification of a number of Small Producers' Organizations that make up a high-level organization.

3. SCOPE

- 3.1 These procedures apply to first-level Organizations that are members of a higher level Small Producers' Organization that applies for Certification, based on the General Standard for the Small Producers' Symbol through the Small Producers' Organization of a higher level.
- 3.2 To understand the various options for Certification procedures and the types of evaluation mentioned here, it is important to become completely familiar with this document in order to be able to adequately apply all of its components.
- 3.3 With these guidelines, the high-level Small Producers' Organization does not acquire certification. If the high-level Small Producers' Organization is the organization that is commercializing products under the Small Producers' Symbol, it should become registered as an Intermediary (INT) or Collective Trading Company owned by Small Producers' Organizations (C-OPP).



4. REFERENCES

In order to apply these procedures it is necessary to consult the current versions of the following documents:

- 4.1 Certification Procedures for Small Producers' Organizations
- 4.2 Guidelines for defining the Work Plan for an Evaluation of Compliance
- 4.3 Regulations on Costs for the Small Producers' Symbol

5. DEFINITIONS

For the terminology associated with the certification process, please refer to the definitions specified in Certification Procedures for Small Producers' Organizations.

Abbreviations used in this document:

- 5.1 **FUNDEPPO** - Foundation of Organized Small Producers, a Civil Association (*Fundación de Pequeños Productores Organizados, Asociación Civil*)
- 5.2 **CE** - Authorized Certification Entity
- 5.3 **SPO** - Small Producers' Organization
- 5.4 **Facilitating SPO**– Second or higher-level Small Producers' Organization representing its member organizations in their collective certification process.
- 5.5 **SPP** - Small Producers' Symbol (*Símbolo de Pequeños Productores*)
- 5.6 **INT** - Intermediary
- 5.7 **C-SPO** - Collective Trading Company owned by Small Producers' Organizations

6. REQUIREMENTS FOR COLLECTIVE CERTIFICATION

In order to apply 'Collective Certification' as one of the options for certification procedures, the following requirements must be met:

- 6.1 The high-level Small Producers' Organization (SPO) should work to facilitate and promote the certification process for its members and should provide all the necessary information based on their internal control system.
- 6.2 The high-level SPO should complete the SPP Evaluation Form as a form of self-assessment in line with the information from each of the first-level SPOs involved.
- 6.3 The high-level SPO should send the documentation specified in the Evaluation Form as support documentation, as well as the information requested by the Certification Entity (CE).



7. SPECIFIC GUIDELINES

7.1 APPLICATION FOR CERTIFICATION

- a) The high-level Small Producers' Organization (SPO) should be in contact with the Certification Entity (CE), and should carry out the following actions:
 - i. Request information regarding collective certification: requirements and specific costs.
 - ii. Request the application form for collective certification procedures for Small Producers' Organizations
 - iii. Send in the application form in order to request an offer for certification services.
 - iv. Approve the offer.
- b) The authorized representative of the facilitating SPO should complete the application form with information from the first-level SPOs to be included in the collective certification.
- c) Send the Certification Application properly completed and signed to the CE.
- d) After approved, the application should be immediately sent by the Certification Entity to FUNDEPPO.
- e) FUNDEPPO will receive the application and assign an SPP Identification Code (#SPP) for each of the SPOs included in the collective certification procedures.
- f) The SPP Identification Code will be reported immediately to the CE, to be recorded in the applicant's file, as well as on any certificate issued by the CE, independently of any other number or additional code assigned by the CE for its own purposes.
- g) As soon as FUNDEPPO has received the Application for Certification, it will begin the normal objection process, in accordance with the SPP's Certification Procedures.

7.2 PREPARATION OF THE OFFER

- a) In the case of a Document-based Procedure (Normal or Shortened), the Certification Entity (CE) will use the Work Days table in the Regulations on Costs as a reference.
- b) The CE should determine the costs on the basis of the time established in the regulations for the total number of members in the SPOs included in the collective certification.
- c) In addition the CE should add an extra percentage for each first-level SPO included in the certification.



Procedure to be applied	Additional factor for each SPO to be certified
Document-based (Normal or Shortened)	20%
Complete (Remote or On site)	10%

d) Below is a table with the procedures for determining the offer in the case of a Document-based Procedure (Normal or Shortened) and an example for each step.

#	Description of procedures	Example of Normal Document-based Procedure
1.	Add the total number of members in the first-level SPOs included in the certification.	6 first-level SPOs included. Total members in the 6 SPOs=1,200
2.	Look for the corresponding range in accordance with Table 3.2-a and 3.2-b, to consider the number of work days in calculating the offer.	According to Table 3.2-a, the total number of work days for 1,200 members is 3.75 days.
3.	a. For the Normal Document-based Procedure, calculate 20% of the time corresponding to the days defined in step 2, in order to determine the extra time per SPO included in the certification. b. For the Shortened Document-based Procedure, calculate 15%.	$20\% \times 3.75 = 0.75$
4.	Multiply the extra time defined in step 3 by the number of SPOs included in the certification.	$6 \text{ SPOs included} \times 0.75 = 4.5$
5.	Add the time defined in step 2 plus the time defined in step 4.	$3.75 + 4.5 = 8.25$
6.	Determine the total offer, multiplying the time defined in step 5 by the CE's daily fee.	$8.25 \times 300^1 \text{ US} = \$ 2475 \text{ USD}$

e) Below is a table with the procedures for determining the offer in the case of a Complete Procedure (Remote or On-site) and an example.

¹ Example of a daily fee charged by a Certification Entity.



#	Description of procedures	Example of Complete On-site Procedure
1.	Use Annex 1 Table for Calculating Work Days for SPP Evaluation.	
2.	Add the total number of members in the first-level SPOs included in the certification.	8 first-level SPOs included. Total members in the 8 SPOs=1,000
3.	Determine the total time in work days for all the evaluation activities included in the Complete Procedure	Total time is 5 work days
4.	Calculate 10% of the days defined in Step 3 for both the On-site and Remote Complete Procedures, to determine the extra time per SPP included in the certification	$10\% * 5 = 0.5$
5.	Multiply the extra time defined in step 4 by the number of SPOs included in the certification.	$0.5 * 8 = 4$
6.	Add the time defined in step 3 plus the time defined in step 5 to determine the total time.	$5 + 4 = 9$
7.	Determine the total offer, multiplying the time defined in Step 6 by the CE's daily fee.	$9 \text{ days} * \text{US } \$300 = \text{US } \$2,700$ <i>Note: US \$300 is an example of a daily fee charged by a CE. ((300 usd es un ejemplo de la tarifa al día del OC.))</i>

Note: For the Complete Procedure (On site or Remote), the sample per SPO level is the same as the sample for complementary sites, as in the case of a Normal Certification Procedure. When Annex I of the "Guidelines for defining the Work Plan for an Evaluation of Compliance" is applied, extra evaluation time for each SPO should not be added for any of the activities since the extra time is calculated at the end, using the formula of the 10% additional for each SPO to be certified.

7.3 COMPLETING EVALUATION FORM BY APPLICANT

- a) The facilitating SPO will be in charge of completing the evaluation form.
- b) The "Data" page should be completed with information regarding those involved.
- c) The 'Evaluation form' page should be completed in accordance with information that considers all the SPOs included in the certification.



Example of the response to one of the criteria included in the Evaluation Form:

#	Contents	Form of Compliance	Support documentation
4.3.1	The Small Producers' Organization has work methods and records that show the product flow from the land plot to the warehouse and the sales of products by the Small Producers' Organization.	<i>All the SPOs included in the certification have a system for flow control, with the exception of one of the SPOs that is just beginning to implement its system, since it was only established recently.</i>	<i>Flow control logs</i>

7.4 EVALUATION BY CERTIFICATION ENTITY

The Certification Entity should use the special Collective Certification versions of the forms for the Evaluation Report, the Non-compliance Report and the Certification Decision.

7.5 NOTIFICATION OF CERTIFICATION DECISION AND USER'S CONTRACT

- a) The CE should send an email to notify the Facilitating SPO of the results for each of the lower-level SPOs.
- b) The Certification Decision may be positive or negative
- c) If the Certification Decision is positive, the CE should send the User's Contract form for FUNDEPPO's Small Producers' Symbol to the Facilitating SPO, together with the corresponding Annexes and the Verification of Receipt of the Contract's Annexes.
- d) The Facilitating SPO should notify the SPOs included in the Collective Certification of the results from the examination.
- e) The contract signing can be done through this two options:
 - i. The contract may be signed according to one of two options
 - ii. Each of the lower-level SPOs signs the Contract and the Notification of Receipt.
- f) The Facilitating SPO signs the contract on behalf of all the SPOs included. In the case of the second option (Point d-ii), the Facilitating SPO should have a letter from the lower-level SPOs in which the higher-level SPO is legally authorized to act as their representative



- g) The User's Contract form that should be signed is the version entitled User's Contract for Collective Certification.
- h) In the case in which each SPO signs independently, they should use the current version of the Contract form.
- i) The Facilitating SPO should send the contract(s) and the notification of receipt to the CE, which in turn should send it to FUNDEPPO

7.6 PAYMENT OF MEMBERSHIP FEE TO FUNDEPPO

- a) Each SPO included in the collective certification should pay the membership fee in accordance with its number of members.
- b) If the certification decision is positive for all or some of the SPOs, the CE should give instructions to the Facilitating SPO that the SPOs receiving positive certification decisions should make their payments, and it should once again inform them of the amount to be paid to FUNDEPPO, also providing them with the corresponding bank information.
- c) The money may be wired to the corresponding bank account by each certified SPO or jointly by the Facilitating SPO.

Note: In the case of Mexico, the CE should remind the organization evaluated that the IVA tax (added value tax) should be added to the amount to be paid, in line with the SPP's Regulations on Costs.

7.7 GRANTING OF CERTIFICATES

- a) After the User's Contract and Notification of Receipt have been signed by the Facilitating SPO and sent, together with the Bank receipt for payment of the membership fee, the CE can deliver the Certificates.
- b) The CE should issue a certificate in the name of each SPO included in the Collective Certification. The name of the Facilitating SPO will be mentioned and placed between parentheses, however only the certified SPOs are the owners of the certificate.
- c) The certificates will be send to the Facilitating SPO, which will be responsible for delivering each certificate to the corresponding SPO.