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## 1 INTRODUCTION

- a. The official language for all documents associated with the *Small Producers' Symbol* (SPP) is Spanish. In the case of any doubt arising from a translated version, the Spanish document shall be used as the only valid version.
- b. This document cancels and replaces:
  - Small Producer' Symbol Handbook
  - Version 3. 10-June-2011
  - Edition 2. 8-August-2016
- c. This document, "*Small Producers' Symbol Handbook*," describes the entire SPP System, through the various categories of documents.

## 2 METHOD OF USE

- a. The SPP Handbook presents the various categories of documents making up the SPP system, specifically:
  1. Documents for Decision-making
  2. General Documents
  3. Documents on Standards
  4. Documents on Certification and Registration
  5. Documents on Certification Entities
- b. The document system includes information for all the stakeholders considered in the SPP system, specifically:
  1. Small Producers' Organizations (SPO)
  2. Buyers and other Stakeholders:
    - i. Final Buyers (BUY)
    - ii. Collective Trading Companies owned by Small Producers' Organizations (C-SPO)
    - iii. Intermediaries (INT)
    - iv. Maquila Companies (MAQ)
  3. Certification Entities (CE)
- c. Those interested in SPP certification, registration or authorization may consult the SPP Handbook to become informed regarding the regulations, procedures and guidelines that apply to each one them. Thus, the SPP Handbook may be used prior to requesting certification, registration or authorization.
- d. The SPP Handbook is also a contractual document since it is an Annex to the User's Contract that SPOs and companies must sign when they obtain their Certificate or Registration for the first time. Since it is a document annexed to the Contract, the SPP Handbook is sent when a Certificate or Registration is obtained for the first time.



- e. In order to use this handbook as a contractual document, each stakeholder should carry out the following:
  - i. Review the tables of documents: In each row the name of the document appears in the first column, a description is provided in the next column, and then its "Applicability" is indicated (referring to the type of stakeholder to which the document applies) in the following column. The final column indicates whether or not the document is "Required Knowledge".
  - ii. Even though a stakeholder is mentioned in the "Applicability" column, a complete reading of the document is required only if a "Yes" is indicated in the "Required Knowledge" column.
  - iii. In addition to reading the contract before signing it, stakeholders should review the SPP Handbook to become informed regarding the documents that apply to them, and whether or not they are Required Knowledge. Stakeholders should read the documents identified as Required Knowledge in their entirety.
- f. In addition to signing the User's Contract, stakeholders must also sign the 'Confirmation of Receipt' sent to them together with the User's Contract. The 'Confirmation of Receipt' verifies that a stakeholder has read and understands the contents of documents identified as Required Knowledge.
- g. Documents in the SPP system are modified periodically, as part of system improvement. When a new version of a document is published, a Notice of Changes in the SPP system is sent to all SPP stakeholders.
- h. SPP stakeholders are required to review the Notices of Changes in the System, for the purposes of knowing when a Required Knowledge document has been modified and becoming informed of the changes.

### 3 OBJECTIVES

- a. Present the *Small Producers' Symbol* system through a review of documents for certification, standards, costs and payments.
- b. Present the system to any stakeholder interested in SPP Certification, Registration or Authorization, and thus, enable any stakeholder to consult the specific document(s) corresponding to the information needed.
- c. Organize the system's documents to facilitate their selection as part of the process of signing the User's Contract and Acknowledgement of Receipt.

### 4 SCOPE

The SPP System presents the entities and documents regulating the SPP program for certification, registration and authorization, for:

- 1 SPO certification
- 2 Registration of Buyers and other stakeholders
- 3 Costs associated with the SPP
- 4 Use of the SPP



5 Authorization of Certification Entities

**5 WHAT DOES THE SPP SYSTEM CONSIST OF?**

**5.1 WHAT ARE THE SYSTEM'S COMPONENTS?**

**1 Documents for Decision-making in the SPP System**

A set of regulations for the Definition of the SPP System, specifically the Terms of Reference for entities and Procedures for defining Standards and Procedures.

**2 General Documents**

They are the fundamental documents in which it is based all the development of the SPP system.

**3 Documents on Standards**

A set of documents on the standards that define the principles and criteria for certification or registration of stakeholders, transactions and products.

**4 Procedures for Certification and Use**

A set of procedures for certification and use that regulate the way in which stakeholders should be evaluated with respect to compliance with SPP standards. Included are procedures for filing and responding to complaints.

**5 Regulations for Authorized Certification Entities**

A set of regulations for Certification Entities that define the rules for the initial authorization and operating of the SPP certification and registration program.

**5.1 TABLE OF DOCUMENTS FOR DECISION-MAKING**

Name of Document	Description	Applicability	Required Knowledge
<b>Terms of Reference for Board of Directors</b>	Document establishing the procedures that must be followed by the Board of Directors of the <i>Small Producers' Symbol</i> (SPP) with regard to its composition and functioning.	All stakeholders	No
<b>Terms of Reference for Standards and Procedures Committee</b>	Document establishing the process to be followed by <i>SPP Global</i> for the structuring and functioning of its Standards and Procedures Committee.	All stakeholders	No
<b>Terms of Reference for Surveillance Committee</b>	Document establishing the process to be followed by <i>SPP Global</i> for the structuring and functioning of its Surveillance Committee in the framework of <i>SPP Global</i> ' Legal By-laws and Internal Regulations in effect.	All stakeholders	No



Name of Document	Description	Applicability	Required Knowledge
<b>Terms of Reference for Dissent Committee</b>	Document establishing the procedures to be followed by <i>SPP Global</i> for the structuring and functioning of its Dissent Committee.	All stakeholders	No
<b>Procedures for the Definition of Standards and Procedures</b>	Document establishing the work procedures to be followed by <i>SPP Global</i> for the structuring, writing, approval, publication and modification of the SPP standards.	All stakeholders	No

## 5.2 TABLE OF GENERAL DOCUMENTS

Name of Document	Description	Applicability	Required Knowledge
<b>Declaration of Principles and Values</b>	Document that reflects all the Principles and Values behind the <i>Small Producers' Symbol</i> and that represents the philosophical foundations of the entire <i>Small Producers' Symbol</i> system.	All stakeholders	Yes
<b>Code of Conduct</b>	Document that describes the values and conduct to which participants in the <i>Small Producers' Symbol</i> system must commit. The Code of Conduct is not certified, but its violation may lead to processes of complaints and appeals.	All stakeholders	Yes

## 5.3 TABLE OF DOCUMENTS ON STANDARDS

Name of Document	Description	Applicability	Required Knowledge
<b>General Standards of the <i>Small Producers' Symbol</i></b>	The General Standards present the criteria that must be met by Small Producers' Organizations, Buyers, Collective Trading Companies owned by <i>Small Producers' Symbol</i> , Intermediaries and Maquila Companies, in order to participate.	All stakeholders	Yes



Name of Document	Description	Applicability	Required Knowledge
<b>List of Specific Parameters</b>	This list is an annex to the SPP Standards. It presents the specific, temporary or permanent parameters for certain criteria in the General Standards, in accordance with the product and the country in which it is produced.	All stakeholders	No
<b>List of Optional Complementary Criteria</b>	This list is an annex to the SPP Standards and presents the criteria to be evaluated when an organization or company requests the use of a complementary descriptor that is annexed to the SPP logo's graphic design.	All stakeholders	No
<b>List of Prohibited Products</b>	An annex to the SPP Standards that provides a description of products prohibited in the cultivation and processing of products that are certified and traded under the SPP.	All stakeholders	No
<b>List of Prices</b>	This list is an annex to the SPP Standards that presents the SPP Sustainable Prices, including minimum prices, organic recognition and the SPP incentive.	All stakeholders	Yes
<b>List of Authorized Countries</b>	List that specifies all the countries and regions in which the certification of <i>Small Producers' Symbol</i> is authorized, at the time of the list's publication, and the countries and regions in which the use of the SPP is permitted on products for SPP users.	All stakeholders	No
<b>Specific Standards for Crafts</b>	Specific Standards for Crafts, based on the SPP General Standards. Stakeholders in the crafts sector should use these standards as the basis for their operations.	SPO, companies and CE involved in the crafts sector	No
<b>Specific Standards for Herbs</b>	Specific Standards for Herbs, based on the SPP General Standards. Stakeholders in the herb sector should use these standards as the basis for their operations.	SPO, companies and CE involved in the herb sector	No



Name of Document	Description	Applicability	Required Knowledge
<b>Suggestion Form</b>	Form that SPP stakeholders may use to register their suggestions with regard to any specific document, to be sent to <i>SPP Global</i> .	All stakeholders	No

#### 5.4 TABLE OF DOCUMENTS ON CERTIFICATION AND REGISTRATION

Name of Document	Description	Applicability	Required Knowledge
<b>Certification Procedures for Small Producers' Organizations</b>	Document that presents the SPP certification process for Small Producers' Organizations.	SPO and CE	Yes
<b>Registration Procedures for Final Buyers and other stakeholders</b>	Document that presents the SPP registration process for Final Buyers, Collective Trading Companies owned by Small Producers' Organizations, Intermediaries and Maquila Companies associated with products from certified <i>Small Producers' Symbol</i> .	BUY, C-SPO, INT, MAQ and CE	Yes
<b>Procedures for Risk Determination</b>	Procedures applied after interested parties have sent their applications to <i>SPP Global</i> . The objective is to define the type of Certification or Registration procedure to be applied to new applications, as well as annual evaluations, and potentially other cases.	All stakeholders	No
<b>General Application Guidelines for SPP System</b>	Document that presents specific guidelines associated with SPP certification, registration, control and use.	All stakeholders	No
<b>Guidelines for Collective Certification</b>	Document that specifies the guidelines for conducting and charging for simultaneous certification of a number of Small Producers' Organizations that are part of a higher-level organization.	SPO and CE	No
<b>Guidelines for Shared Use of Registration with Small Buyers</b>	Document that defines the conditions under which a Registration for a SPP Final Buyer (BUY) may be shared among a number of "Small Buyers."	BUY and CE	No



Name of Document	Description	Applicability	Required Knowledge
<b>Procedures for Issuance, Modification and Expansion of Certificates and Registrations</b>	Procedures establishing the way in which an SPP certificate or registration of conformity is issued and the conditions under which such a certificate or registration of conformity may be modified or expanded.	All stakeholders	No
<b>Dissents Procedures</b>	Document that establishes the procedures to be followed by <i>SPP Global</i> to address any cases of dissent arising in Certification, Registration or Authorization processes, or in the general functioning of the <i>Small Producers' Symbol</i> .	All stakeholders	No
<b>Guidelines for defining the Work Plan for Evaluation of Compliance</b>	Document presenting the guidelines to be followed in determining the necessary Work Plan for carrying out an evaluation of compliance with the requirements specified in the standards.	All stakeholders	No
<b>Regulations on Costs</b>	Document that specifies the costs of Certification and Registration, as well as the Symbol's use.	All stakeholders	Yes
<b>User's Contract</b>	Document signed after a positive resolution is received for certification or registration, and serving as legal backing for due care of the <i>Small Producers' Symbol</i> .	All stakeholders	Yes
<b>Regulations on Graphics</b>	Document specifying regulations for the practical use of the <i>Small Producers' Symbol</i> , in terms of its general graphic representation and its practical application in materials and products.	All stakeholders	Yes
<b>Evaluation Form</b>	Form presenting all the criteria in the General Standards, which all stakeholders requesting certification or registration must complete as a type of self-evaluation. The form is also used by the assigned evaluator and the Examination Committee to conduct the respective evaluation and examination.	All stakeholders	Yes
<b>Evaluation Report</b>	Form to be completed by the evaluator after an evaluation has been completed.	CE	No





Name of Document	Description	Applicability	Required Knowledge
<b>Non-compliance Report</b>	Form to be completed by the evaluator in the case of Non-compliance.	CE	No
<b>Evaluation Plan</b>	Form to be completed by the Certification Entity when an on-site evaluation is carried out.	CE	No
<b>Resolution</b>	Form to be completed by the Certification Entity after an evaluation has been completed and it has received the results.	CE	No
<b>Sworn Statement of Compliance by SPOs</b>	Form used in the Shortened Document-based Certification Procedure to enable SPOs to make a Sworn Statement of compliance with the specific criteria in the General Standards.	SPO, CE	No
<b>Sworn Statement of Compliance by Buyers and other stakeholders</b>	Form used in the Shortened Document-based Certification Procedure to enable Buyers and other stakeholders to make a Sworn Statement of compliance with the specific criteria in the General Standards.	SPO, BUY and other stakeholders	No
<b>Shortened Evaluation Report</b>	Form to be completed by the evaluator in the Shortened Document-based Procedure following the completion of an evaluation.	CE	No
<b>Sworn Statement of Inclusion of Small Buyer</b>	Form used in the Guidelines for Shared Use with Small Buyers to enable Final Buyers to make a Sworn Statement of compliance.	BUY, CE	No

### 5.5 TABLE OF DOCUMENTS ON CERTIFICATION ENTITIES

Name of Document	Description	Applicability	Required Knowledge
<b>Authorization Procedures for Certification Entities</b>	Document establishing procedures and requirements applied by <i>SPP Global</i> for the authorization and supervision of Certification Entities operating the <i>Small Producers' Symbol</i> certification.	CE	Yes
<b>Procedures for Qualification of Evaluators and Examiners</b>	Document establishing procedures to be followed by Certification Entities in rating their evaluators and examiners.	CE	Yes



Name of Document	Description	Applicability	Required Knowledge
<b>Regulations on Costs for Certification Entities</b>	Document specifying SPP regulations and fees with regard to the costs involved in the Authorization of Certification Entities and their participation in the SPP system.	CE	Yes
<b>Agreement on Authorization of Certification Entities</b>	An agreement between Certification Entities and <i>SPP Global</i> after Authorization has been obtained.	CE	Yes