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1. PRESENTATION

- 1.1 The following procedure is an updated version of the “Guidelines for Registry Sharing with Small Buyers” document, dated September 12, 2019.
- 1.2 The objectives of these guidelines are the following:
 - 1.2.1 Define what “Small Buyers” are.
 - 1.2.2 Define the mechanisms to register SPP Small Buyers.
- 1.3 The official language for all documents associated with the *Small Producers’ Symbol* is Spanish. In the case of any doubt arising from a translated version, the Spanish document shall be used as the only valid version.
- 1.4 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).
- 1.5 These complementary procedures should be applied in conjunction with other documents in the SPP system, specifically:
 - Registration Procedures for Buyers and other Stakeholders
 - Regulations on Costs
 - Procedures for Issuance, Modification and Extension of Certificates and Registrations of Conformity.

2. SCOPE

Registration Process of Small Buyers through companies registered as SPP Final Buyers or SPP certified Small Producers Organizations.

3. DEFINITIONS

- 3.1 **Final Buyer (FB):** A company that purchases products certified under the Small Producers Symbol to put them on the final consumer market under its name or brand and that meets the respective criteria of the General Standard for the Small Producers' Symbol.
- 3.2 **Criteria:** The criteria defined in the SPP General Standard.
- 3.3 **Day:** Calendar Day
- 3.4 **Evaluation:** Systematic, independent and documented process to objectively obtain and evaluate evidence in order to determine the degree of compliance with the criteria.
- 3.5 **Follow-up evaluation:** Programmed evaluation carried out with the objective of evaluating exclusively the corrective actions requested in the resolution document.
- 3.6 **On-site evaluation:** It is an on-site evaluation at the place (s) where the activities of the organization or company to be evaluated are carried out, to verify compliance with the General Standard.
- 3.7 **Annual Evaluation:** Evaluation scheduled annually, which is carried out to evaluate if the conditions under which the Certification or Registration was granted are maintained.
- 3.8 **SPP Global:** *Small Producers Symbol, Civil Association.*

- 3.9 **Regulatory Guidelines:** The set of procedures, regulations, guidelines, policies, codes and forms that regulate the certification, registration, use and authorization program of the Small Producers' Symbol. The Declaration of Principles and Values of the Small Producers' Symbol is the philosophical foundation of the Regulatory Framework but is not part of it.
- 3.10 **Certification Entity:** CE authorized by SPP Global to operate the Small Producers' Symbol Certification and Registration program. In exceptional cases where authorized CEs are unable to provide the requested service in a timely manner, SPP Global may act as CE
- 3.11 **Small Producer's Organization:** A Small Producers Organization that meets the criteria for Small Producers Organizations of the General Standard of the Small Producers' Symbol. Those trading companies that are part of the structure of a single Small Producers Organization certified by the Small Producers Symbol are considered part of said Small Producers Organization.
- 3.12 **Document-based procedure:** It consists exclusively of a Documentary Evaluation to verify compliance with all applicable Critical Criteria of the General Standard for Certification or Registration purposes.
- 3.13 **Complete Procedure:** It includes a Document-based Evaluation and a Field Evaluation to verify compliance with all applicable criteria of the General Standard for Certification or Registration purposes.
- 3.14 **Applicant:** Those who have applied for the Certification or Registration of the Small Producers' Symbol.

4. DEFINITION OF A SMALL BUYER

- 4.1 Buyers meeting all criteria listed below are considered Small Buyers by SPP:
 - 4.1.1. Fulfill the definition of a Final Buyer as defined by the Small Producers' Symbol:

A company that buys products certified with the Small Producers' Symbol to place them on the final consumer market under its own name or trademark, and that complies with the respective criteria in the applicable Standards of the Small Producer's Symbol.
 - 4.1.2. Purchase small amounts of SPP products:
 - a. At a total value of less than \$100,000 USD annually (corresponding to the previous year, or projected for the current year). If a Small Buyer purchases product from different SPP SPO's or Final Buyers, the total sum of the transactions must not exceed the aforementioned amount (No limit of number of transactions or suppliers).
 - b. For a maximum value of \$150,000 USD per year in total, involving a maximum of 5 transactions and up to 3 suppliers (SPO or Final Buyers).
 - 4.1.3. Face economic and/or practical limitations in becoming an SPP Final Buyer on their own.
 - 4.1.4. Ensure physical and administrative product traceability, from the moment it is purchased from an SPP Registered Company or an SPP certified Small Producers Organization up to the moment it reaches end consumers at points of sale.
 - 4.1.5. In the case of products sold on a compound basis to consumers, chapter 6.6 "Origin Criteria" of the SPP General Standard and the SPP Regulations on Graphics in force are to be applied.

5. REGISTRATION MECHANISM

- 5.1 Small Buyers are not registered independently, but through an SPP Final Buyer or an SPP Small Producers Organization.
- 5.2 To be able to register Small Buyers via their own certificate or registration, the company or SPO must meet the following requirements:
 - 5.2.1 Have a currently valid SPP Registration as a “Final Buyer” or an SPP Certificate as a Small Producers Organization.
 - 5.2.2 In the case of products sold on a compound basis to consumers, chapter 6.6 "Origin Criteria" of the SPP General Standard and the SPP Regulations on Graphics in force are to be applied.
 - 5.2.3 Ensure physical and administrative traceability of SPP products, both for SPP purchases and sales to Small Buyers. All purchases/sales must be reported to SPP Global.
 - 5.2.4 Pay a User Fee to SPP Global for the products sold to registered SPP Small Buyers (their own or third party). *(Just in case that the Small Buyer is registered through an SPP Final Buyer)*
- 5.3 When applying for a certification or registration, under any of the existent procedures, the company or SPO must mention in their application all general information of the Small Buyers which they wish to register in their certificate or registration. If the company or SPO are already certified as SPP and they wish to register a new small buyer, see point 5.8.
- 5.4 The Company or SPO must fill and sign an affidavit where they manifest that the small buyer fulfills the following criteria:
 - Chapter 6.1 “Contract” and chapter 6.2 “SPP Price System” (Just in case that the Small Buyers are registered through Small Producers Organizations)
 - Chapter 6.6 “Origin Criteria” of the SPP General Standard
 - SPP Regulations on Graphics
- 5.5 Small Buyers must sign an affidavit declaring that they fulfill the criteria and requirements mentioned in chapter 4 of this procedure.

Small Buyer must specify in the affidavit who will make the Quarterly Reports on SPP product purchases and sales. (Only if the Small Buyer was registered via a Final Buyer. If the Small Buyer was registered by an SPO, both must report purchases and sales of SPP products).

At the time when Registration is requested under any of the existing Procedures, by a Final Buyer or an SPO, the Small Buyer must commit to the following:

	In case of Registration via a Final Buyer	In case of Registration via a Small Producers Organization
5.5.1	Either the Final Buyer or the Small Buyer must prepare a Quarterly Report on SPP product purchases and sales and submit it directly to SPP Global.	Prepare a Quarterly Report on SPP product purchases and sales and submit it directly to SPP Global. SPOs, for their part, will only report sales.

5.5.2	Pay an annual membership fee to SPP Global, directly or via the FB/SPO, according to the total value of purchases during the previous year and according to the amounts established in the SPP Regulations on Costs. The FB or the SPO must establish clear agreements with the SB on the form of payment.	
5.5.3		Pay a User's Fee to SPP Global, either directly or through the SPO, according to the type of product, value and total volume of the purchases made during the last year. ¹

- 5.6 Small Buyers will not be subject to the Eligibility Process that must be carried out by *SPP Global* in all cases. Instead, Registered SPP Final Buyers or SPOs must endorse all Small Buyers that they register.
- 5.7 Any non-compliances of the SPP regulations and procedures by a Small Buyer or by a Final Buyer are the sole responsibility of the person who incurs the fault.
- 5.8 A final buyer or an SPO can register new Small Buyers at any given moment by fulfilling the requirements stated on the aforementioned affidavit.
- 5.9 Once the CE positively assesses compliance affidavits, it confirms the registration of the Small Buyer in the Certificate or Registration of the applicant.
- 5.10 Certification Entities should no longer evaluate Small Buyers as part of the evaluation process of the Final Buyers or Small Producer Organizations involved.
- 5.11 SPP Global, however, will annually conduct a random monitoring of Small Buyers to verify correct compliance with the requirements mentioned in chapter 4 of these guidelines.
- The annual sample will be determined taking into account at least 10% of the Small Buyers included in the registration or certificate of each Buyer or SPO involved, considering at least one Small Buyer.
- 5.12 In the event that SPP Global detects anomalies with respect to the fulfillment of the criteria mentioned in chapter 4 of these guidelines, it may request a certification Entity to carry out a Complete Remote Evaluation on the Small Buyer in question; in order to verify compliance with the signed Affidavit.
- During these evaluations that follow, the "Guidelines for defining a Work Plan for Evaluating Compliance" will be applied, as well as the steps and deadlines established in the Certification or Registration Procedures.
- 5.13 The costs of this verification would have to be paid by the SB and / or the Final Buyer. The agreement between the parties regarding the payment of an eventual evaluation must be made known to SPP Global via the affidavit both parties must sign.

6. GRANTING OF REGISTRATION OR CERTIFICATE

- 6.1 The Certificate or Registration of the Final Buyer or Small Producers Organization that registers the Small Buyer is delivered by **SPP Global** via the SPP Digital System (D-SPP), including the

¹ Refer to the Regulation on Costs for specifications on payments

general information of the Small Buyers provided². The certificate for the Small buyer must also be delivered via the SPP Digital System (D-SPP), with their respective general information.

- 6.2 Small Buyers must have one single SPP identification code. Therefore, the code assigned for the first time will be used for future renewal procedures.

² The general information of Small Buyers can be mentioned on the Certificate or Registration document issued or it can be annexed to it.