



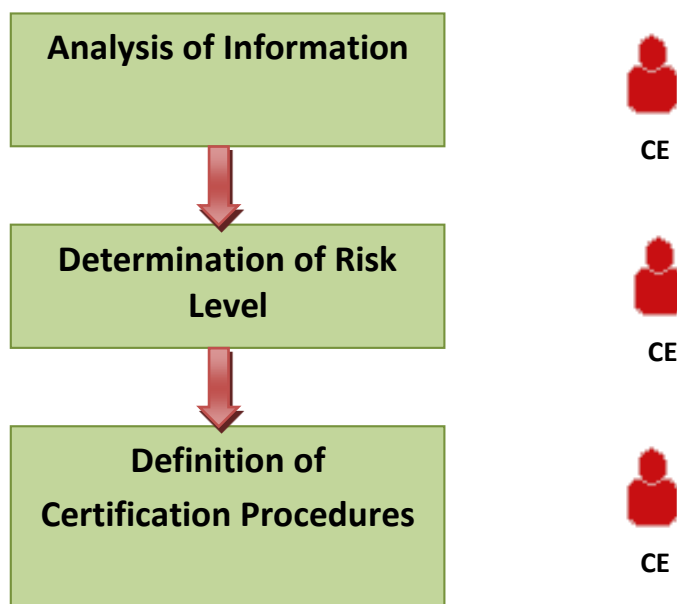
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1. INTRODUCTION

1. 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.
2. 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).

2. DIAGRAM OF PROCESS





3. OBJECTIVE

Define the type of Certification or Registration procedures that will be applied to new applications, as well as in annual evaluations and eventually in other cases.

4. SCOPE

- 4.1** These procedures are to be applied by Certification Entities to: Small Producers' Organizations, Buyers, Collective Trading Companies owned by Small Producers' Organizations, Intermediaries and Maquila Companies participating in Certification and Registration processes.

5. REFERENCES

In order to correct apply these procedures, it is necessary to become familiar with the valid versions of the following documents:

- 5.1** General Standard of the *Small Producers' Symbol*.
- 5.2** Certification Procedures for Small Producers' Organizations.
- 5.3** Registration Procedures for Buyers, Collective Trading Companies owned by Small Producers' Organizations, Intermediaries and Maquila Companies.
- 5.4** Regulations on Costs.

6. DEFINITIONS

- 6.1** **Buyer:** 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.
- 6.2** **Collective Trading Companies owned by Small Producers' Organizations:** Companies that are majority-owned by two or more Small Producers' Organizations certified with the *Small Producers' Symbol*, and that trade products certified with the *Small Producers' Symbol* to place them on the market.
- 6.3** **Risk Factor:** An aspect that affects the likelihood that an entity applying for or already certified or registered will fully comply with the General Standard of the *Small Producers' Symbol*.
- 6.4** **Intermediaries:** Trading companies that buy and sell *Small Producers' Symbol* products, and do not place these products on the final consumer market under their own name or trademark
- 6.5** **Maquila Companies:** Service providers that intervene in the trading or processing of products, but do not buy or sell these products.
- 6.6** **Certification Entity (CE):** SPP Global or a certification entity authorized by SPP Global to operate the certification and registration program of the *Small Producers' Symbol*.
- 6.7** **Small Producers' Organization (SPO):** A Small Producers' Organization that meets the criteria for Small Producers' Organizations in the General Standard of the *Small Producers' Symbol*. When a trading company is part of the structure of a single Small Producers' Organization that is certified with the *Small Producers' Symbol*, it is considered to be part of the Small Producers' Organization.



- 6.8 First-level Small Producers' Organization:** SPO whose members are producers and individuals.
- 6.9 Second-level Small Producers' Organization:** SPO whose members are first-level SPOs.
- 6.10 Third-level Small Producers' Organization:** SPO whose members are second-level SPOs.
- 6.11 Fourth-level Small Producers' Organizations:** SPO whose members are third-level SPOs.
- 6.12 Internal Control System:** Includes the plan and all the methods coordinated and measures adopted in order to comply with the General Standard of the *Small Producers' Symbol*

7. PROCEDURES

7.1 ANALYSIS OF INFORMATION

Each time a Certification Entity must determine the Certification or Registration procedures that apply, the following information will be analyzed in order to determine the risk factor:

- 1. Small Producers' Organizations, subject to the Certification process:**
 1. Number of members
 2. Level of organization
 3. Complexity of chain
 4. Internal Control System
 5. Attention to corrective actions and observations from previous evaluations, both internal and external in nature
 6. Other certifications
 7. Value of total sales from previous cycle.
- 2. Buyers, Collective Trading Companies owned by Small Producers' Organizations, Intermediaries and Maquila Companies, subject to the Registration process:**
 1. Number of product suppliers
 2. Ownership of company
 3. Complexity of chain
 4. Internal Control System
 5. Attention to corrective actions and observations from previous evaluations, both internal and external in nature
 6. Other certifications
 7. Percentage traded with certification
 8. Value of total purchases in previous cycle.

7.2 RISK DETERMINATION

1. The Certification Entity, with help from the "Risk Factor Tables,"¹ assigns a score to the Small Producers' Organizations, Buyers, Collective Trading Companies owned by Small Producers' Organizations, Intermediaries and Maquila Companies.
2. Based on the total score from the qualification process:
 - a. **SPO:**
 1. From 0 to 18 points is a **Normal Risk**.
 2. Over 18 points is a **High Risk**.
 - b. **Buyers, Collective Trading Companies owned by Small Producers' Organizations, Intermediaries and Maquila Companies:**
 1. From 0 to 20 points is a **Normal Risk**.
 2. Over 20 points is a **High Risk**.

7.3 DEFINITION OF CERTIFICATION OR REGISTRATION PROCEDURES

After the applicant has been classified, the Certification or Registration procedures to be applied are defined.

- a. If results indicate a Normal Risk, the Quick Procedure will be applied, as anticipated in the valid Certification and Registration procedures.
- b. If results indicate a High Risk, the Complete Procedure will be applied, as anticipated in the valid Certification and Registration procedures.

8. TABLE I. RISK FACTORS FOR SMALL PRODUCERS' ORGANIZATIONS

Risk Factor	Parameters	Score
1. Number of members	1 to 1,000	1
	From 1,000 to 5,000	2
	From 5,000 to 10,000	3
	Over 10,000	4
2. Level of organization	First Level	1
	Second Level	2
	Third Level	3
	Fourth Level	4
3. Complexity of chain	Includes one or more of the following processes: Production – Processing and Raw Material Trading.	1
	Includes all of the following processes: Production – Processing and Trading – Raw Material and Finished Product.	2
4. Internal Control System for complying with the criteria in the	Yes	1
	In process of being applied.	2

¹ The tables can be found at the end of the document.

Risk Factor	Parameters	Score
General Standard of the <i>Small Producers' Symbol</i>	No	3
5. Attention to corrective actions and observations from previous evaluations, both internal and external in nature	Non-existent or Addressed and completed.	1
	Addressed but not completed.	2
	Not addressed and not completed.	3
	No internal or external evaluations have been conducted.	4
6. Other certifications	Is already certified or registered with the <i>Small Producers' Symbol</i> .	1
	Has maintained at least one certification associated with organic and/or fair trade during the last five years without interruption.	2
	Has had at least one certification associated with organic and/or fair trade during the last cycle.	3
	Does not have any certification associated with organic and/or fair trade.	4
7. Value of total sales in previous cycle	Up to US \$3,000,000	1
	Between US \$3,000,000 and \$10,000,000	2
	Between US \$10,000,000 and \$25,000,000	3
	Over US \$25,000,000	4

TABLE II. RISK FACTORS FOR BUYERS, COLLECTIVE TRADING COMPANIES OWNED BY SMALL PRODUCERS' ORGANIZATIONS, INTERMEDIARIES AND MAQUILA COMPANIES

Risk Factor	Parameters	Score
1. Number of product suppliers	Up to 10	1
	From 10 to 25	2
	From 25 to 50	3
	Over 50	4
2. Ownership of company	Company owned by Small Producers' Organization	1
	Independent private company	2
	Public enterprise	3
	Company that is part of a private consortium	4
3. Complexity of chain	Direct relationship with Small Producers' Organization and final consumer, without intervention by other stakeholders.	1
	Direct relationship with Small Producers' Organization and with Other Stakeholders.	2
	No direct relationship with Small Producers' Organization; only with Other Stakeholders. .	3
4. Internal control system for complying with criteria in the	Yes	1
	In process of being applied	2



Risk Determination Procedures

Small Producers' Symbol

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Risk Factor	Parameters	Score
General Standard of the <i>Small Producers' Symbol</i>	No	3
5. Attention to corrective actions and observations from previous evaluations, both internal and external in nature	Non-existent or Addressed and completed.	1
	Addressed but not completed.	2
	Not addressed and not completed.	3
	No internal or external evaluations have been conducted.	4
6. Other certifications	Is and continues to be certified or registered with the <i>Small Producers' Symbol</i> .	1
	Has maintained at least one certification associated with organic or fair trade during the last five years without interruption.	2
	Has had at least one certification associated with organic and/or fair trade during the last cycle.	3
	Has not had any certification associated with organic and/or fair trade during the last five years.	4

Risk Factor	Parameters	Score
7. Percentage traded with certification	Between 91 and 100% of company's sales are conducted with organic certification / fair trade / <i>Small Producers' Symbol</i> .	1
	Between 66 and 90% of company's sales are with organic certification / fair trade / <i>Small Producers' Symbol</i> .	2
	Between 26 and 65% of company's sales are conducted with organic certification / fair trade / <i>Small Producers' Symbol</i> .	3
	Less than 25% of the company's sales are conducted with organic certification / fair trade / <i>Small Producers' Symbol</i> .	4
8. Value of total purchases in previous cycle	Up to US \$3,000,000	1
	Between US \$3,000,000 and \$10,000,000	2
	Between US \$10,000,000 and \$25,000,000	3
	Over US \$25,000,000	4