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1.   PRESENTATION

1. The official language of the documents of 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.

2. ISO 19011: 2002 Guidelines for quality and/or environmental management systems auditing have been used as the basis for developing these procedures.

3. These procedures fulfill the ISO/17065 Guide General Requirements for Bodies Operating Product Certification Systems and the Guidelines from the International Accreditation Forum (IAF).

2.   OBJECTIVE

Present the applied methodology for the evaluation and examination conducted by Evaluators and Examiners of authorized Certified Entities, as part of the Certification and Registration processes for the *Small Producers´ Symbol*.

3.   SCOPE

1. These instructions are the reference for Type 'A' and Type 'B' Evaluators for SPP's Certification and Registration program.

2. These instructions are the reference for Certifiers from Certification Entities

4.   REFERENCES

1. General Standard of the Small Producers´ Symbol

2. Specific Standard for Herbs

3. Specific Standard for Handicrafts

4. Certification Procedures for Small Producers' Organizations

5. General Registration Procedure for Final Buyers and other stakeholders

6. *Small Producers' Symbol* Evaluation Form

7. Evaluation Report

8. Non-Compliance Report

9. Resolution Form

5.   RELEVANT INFORMATION FOR THE EVALUATOR

The Evaluator must be aware of the following information:

1) SPP General (or Specific) Standard[1]:

   a. **Criterion 1.13** (SPP General Standard): "All entities subject to evaluation by this Standard must in all cases comply 100% with the Critical, Minimum and Continuous Improvement Criteria that are applicable, according to indications in the columns, independently of the procedures applied by the Certification Entities."

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[1]There are Specific Standards for Herbs and for Crafts. Specific Standards are based on the same logic as the General Standard.

b. **Definition of the three types of Criteria**

- **Critical Criteria:** SPP's General Standard criteria labelled as critical are mandatory and will be evaluated in all cases, including as part of desk evaluations. Failure to comply with these criteria will directly impact Certification and Registration results.

- **Minimum Criteria:** The minimum criteria are also mandatory. Failure to comply with these criteria will directly impact Certification and Registration results.

- **Continuous Improvement Criteria:** These are criteria that will be evaluated in the framework of possibilities for compliance in a particular context. Unjustified failure to comply will impact Certification and Registration results.

2) **Certification Procedure and Registration Procedure:**

a. **Criteria to be reviewed, according to the type of Evaluation:**

- **Document-based Evaluation:** Critical Criteria.
- **Complete** *on-site* **Evaluation:** Critical Criteria, Minimum Criteria and Continuous Improvement Criteria

3) **Steps in the evaluation process:**

1. Self-evaluation by applicant
2. First revision by Evaluator
3. Eventual Request for Complementary Information
4. Second revision by Evaluator
5. Non-Compliance Report (when applicable)
6. Corrective Actions (in the case of Non-Compliance)

## 6. INSTRUCTIONS FOR EVALUATORS AND CERTIFIERS

6.1. General Instructions

1) Entities that can be certified and/or registered are:
- Small Producers' Organizations (SPOs)
- Final Buyer (COM)
- Collective Trading Company owned by Small Producers' Organizations (C-SPO)
- Intermediaries (INT)
- Maquila companies (MAQ)

Hereafter in this document, they will be referred to as "Applicants". The process is called 'Certification' for SPOs and 'Registration' for the other stakeholders.

2) The Form is presented in a trilingual manner, buttons have been included at the top of the sheets to select the language of your choice (Spanish, English and French).
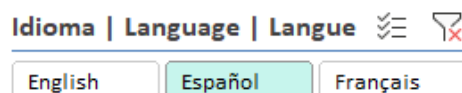
In the case of the evaluation tab ("Eval") there is a separate sheet per language, indicated with the abbreviation of each one: Spanish - ES; English EN; French - FR.

3) Filters are included so that both the applicant and the evaluators use this form more easily.

- To select only **one option,** just click on the desired button.
- To select **multiple options** (buttons), you must click on the "multi-select" button indicated by the following icon:
- To display all cells and clear the selection of options (buttons), you must click on the "clear filter" button indicated by the following icon:

4) The Evaluation Form is divided into the following 4 tabs:

1. **"Intro"**: (Three languages). It describes the instructions to use and fill out the form.

2. **"Info":** (Three languages). You must provide the general information of your organization or company, as well as contact information. Once the evaluation sheet is completed, this sheet must be signed to declare the truthfulness of the information.

   The evaluator must ensure that the information sheet is duly completed and signed.

3. **"Eval":** (1 per language). It contains the Evaluation Format and includes only the chapters of the General Standard or Specific Standards with assessable criteria (Chapters 4, 5 and 6).

   To simplify the form before sending it to the applicant, it is proposed to make use of the filter buttons included in the upper part of the sheet. It is recommended to follow the following instructions according to the type of stakeholder and type of evaluation to be carried out:

   - **SPO:** Evaluate Chapter 4 and 6
   - **Companies:** Evaluate Chapter 5 and 6
   - **Document-based Evaluation:** Critical Criteria.
   - **Complete Evaluation:** Critical, Minimum and Continuous Improvement Criteria

Chapter				Type of Criterion			
4	5	6		Continuous Improve...	Critical		
				Informative	Minimum		
				(blank)			

   Criteria classified as **"Informative"** do not need to be filled, they can be shown or hidden with the aforementioned filters.

4. **"Docs":** (Three languages). It contains the list of documents that the applicant must attach in a mandatory way at the time of sending the Form. It is divided by type of stakeholder and type of evaluation to be carried out.

5. **"Informe-Report-Rapport":** (Three languages). It contains the Evaluation Report Form.

6. **"Dictamen-Resolution-Résolution":** (Three languages). It contains the Resolution Form.

6.2. Form Revision

1) In general, the "Eval" sheet is presented as follows:

2) Buttons are included so that evaluators revise the form according to the criteria compliance categories. These buttons are found in the section "To be filled by the Applicant", "To be filled by the Evaluator" and "To be filled by the Certifier".

3) It must be checked whether, in general, the applicant filled out the section "To be filled by the applicant" completely.

To be filled by the applicant		
Compliance	**Form of Compliance**	**Support Documents**
Complies		
Does not Comply		
Does not Apply		

Also, and in particular, the Evaluator must review the following aspects:

a. In the **"Compliance"** column the evaluee must have chosen one of the options from the drop-down list 'Complies', 'Does Not Comply' or 'Does Not Apply'.

b. If the evaluee chose the option **'Does not comply'**, it must be explained why the criterion is not fulfilled in the column **'Form of Compliance'.**

c. If the evaluee chose the option **'Does Not Apply'**, you can leave the column 'Form of Compliance' blank**.**

d. If the evaluee chose the option **'Complies'**, it must be written and / or explained in the column **'Form of Compliance'** how the organization or company complies with what each criterion indicates. In addition, the column '**Support Documents' must be completed**. In general, compliance can be proven by means of a document. However, applicants can also demonstrate compliance through other sources of information, such as observations, testimonies, audiovisual material, etc.

6.3. Evaluation by the Evaluator

6.3.1. First Revision

1) At the end of the previous review, the Evaluator will proceed to write down the results obtained in the section **"To be filled by the evaluator."**

To be filled by the Evaluator				
1° revision	2° revision	3° revision	**Compliance**	**Comments**
			Complies	
			Partially Complies	
			Does not Comply	
			Does not Apply	

2) In the **"Compliance"** column you must choose one of the options from the drop-down list: "Complies", "Partially Complies", "Does not comply", "Does not apply"

3) In the column **"1st Revision"** it should be indicated if the information provided by the applicant is "Sufficient" or "Insufficient" to be able to evaluate the criterion.

4) The **"Comments"** column can be used to request additional information to evaluate the fulfillment of a particular criterion, obtained by other sources of information.

5) When **evaluating Continuous Improvement Criteria**, the Evaluator must be aware of the context in which the SPO or company is situated, in order to determine in each case whether or not it is possible to comply with the criterion.
   - If the Evaluator determines that **it is possible** to comply, the criterion in question will be evaluated in the same way as Critical and Minimum Criteria. When there is a doubt, the Evaluator must request information from the Applicant to justify an eventual case of Non-Compliance.
   - If the evaluator considers that **it is not possible** to comply at that time, the reason why it is not possible must be marked in the "Comments" cell and they must make a suggestion to the Applicant on how to comply.

   In subsequent evaluations, the Evaluator will have to evaluate whether there is progress toward complying with the Continuous Improvement Criteria.

6) If, after completing the first revision of the Evaluation Form, the Evaluator did not mark any of the rows listed in the **"1st Review"** column as **INSUFFICIENT**, then the evaluation concludes at this point, and the Evaluator must complete the Evaluation Report.

6.3.2. Eventual Request for Complementary Information

1) If at the conclusion of the first review of the Evaluation Form, the evaluator marked one or more rows listed in the "1st Revision" column as "Insufficient", the evaluator must write an email to the applicant to request said information.

2) After the applicant sends the information requested by the Evaluator, the latter should conduct a **second revision** of the complementary information.

6.3.3. Second revision by Evaluator

1) If the information sent by the applicant is sufficient, the evaluator must update the marks from the "1st Revision" column in the corresponding cells of the **"2nd Revision"** column. You must also change the respective status in the **"Compliance" column.**

2) In the event that another review is required, the **"3rd Revision"** column must be filled in the same way as the "2nd Revision" **column.**

6.3.4. Non-Compliance Report (when applicable)

1) If at the end of the last review, there is one or more cells in which "Does not comply" was indicated, a Non-Compliance Report must be prepared.

2) The cases of Non-Compliance must be addressed in the form entitled 'Non-Compliance Report,' which is sent to the applicant to carry out Corrective Actions.

6.3.5. Corrective Actions (in the case of Non-Compliance)

1) After the applicant has carried out the corrective actions, the Evaluator must review the attention given to the corrective actions or the action plan carried out by the applicant.

2) If the Evaluator determines that the corrective actions were implemented, the Evaluator must then prepare an **Evaluation Report** using the corresponding form.

6.4. Resolution

1) After completing the Evaluation, the Evaluator submits the Evaluation Form, the Non-Compliance Report, when applicable, and the Evaluation Report to the Certifier.

2) The Certifier must review the evaluation conducted by the Evaluator in the section entitled 'To be filled by the Certifier'. This section has buttons to classify the criteria according to compliance categories.

Compliance	
Complies	Does not Apply
Does not Comply	Partially Complies
(blank)	

3) The Certifier must fill out the section **"To be filled by the Certifier"**.

To be filled by the Certifier			
1° revision	2° revision	3° revision	Compliance
			Complies
			Does not Comply
			Partially Complies
			Does not Apply

4) In the **"Compliance"** column you must choose one of the options from the drop-down list: "Complies", "Partially Complies", "Does not comply", "Does not apply"

5) In the column **"1st Revision"** it should be indicated if the information provided by the applicant is "Sufficient" or "Insufficient" to be able to evaluate the criterion. If a 2nd revision is required, it will be indicated in the corresponding columns.

6) The Certifier reviews the Evaluation Report and the conclusions issued by the Evaluator.

7) Finally, a Resolution is issued using the corresponding form.
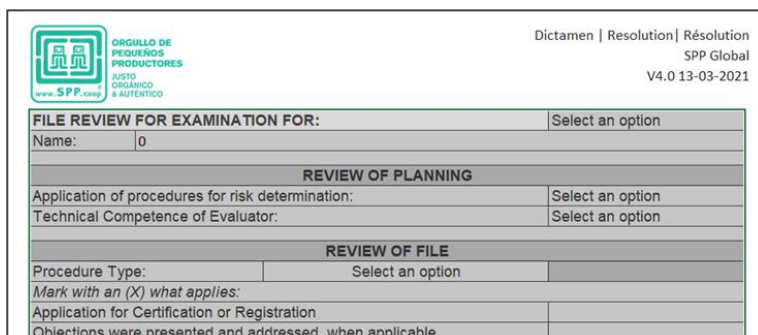
6.5. Evaluation Report and Resolution Forms

1) The forms contain lists of options and references to the general information sheet of the evaluated person to speed up filling.

Following, are presented the results of the evaluation conducted through the
<u>Select an option</u> Procedure to the <u>Select Stakeholder Type</u> with name
<u>SPO's name</u> , as part
of the <u>Certification</u> process of the Small Producers' Symbol.

2. APPLICANT INFORMATION

Name:	SPO's name			
Office address:	Street	City/Town	Country	ZIP
Telephone:	555-555-123			

2) To export either of the two form to PDF, it is recommended to follow the following instructions to obtain the document in the corresponding language and avoid having blank pages.

   1. Select the desired language with the button that appears on the right-hand sheet.

   2. Make a selection of the sheet (s) that will be part of the final document; that is, select all the visible cells, in the corresponding language.
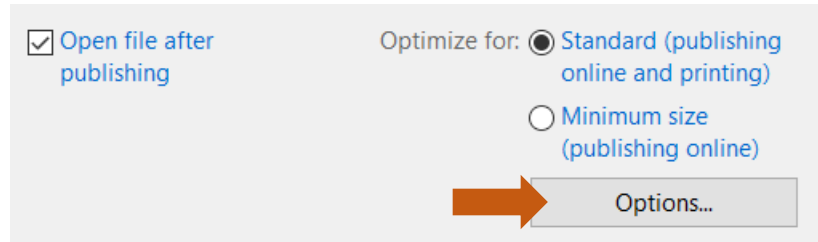
   3. Go to the menu File> Export> Create PDF Document> >
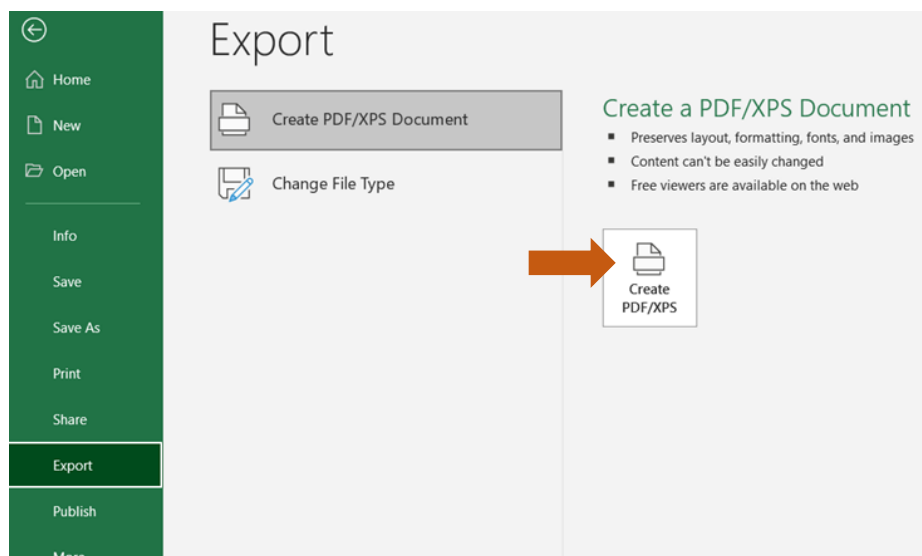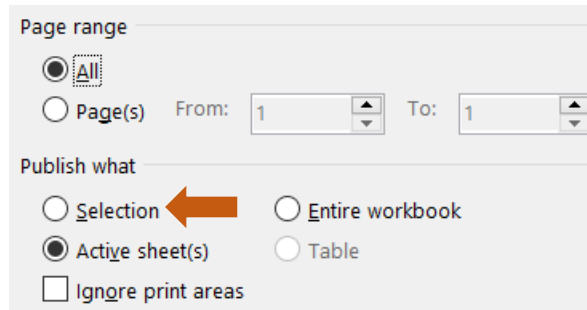
4. In the pop-up window go to the "Options" menu. In this menu, find the section "Publish what" and choose the "Selection" option.

5. Click on the "Accept" button and finally "Publish" to obtain the PDF document.