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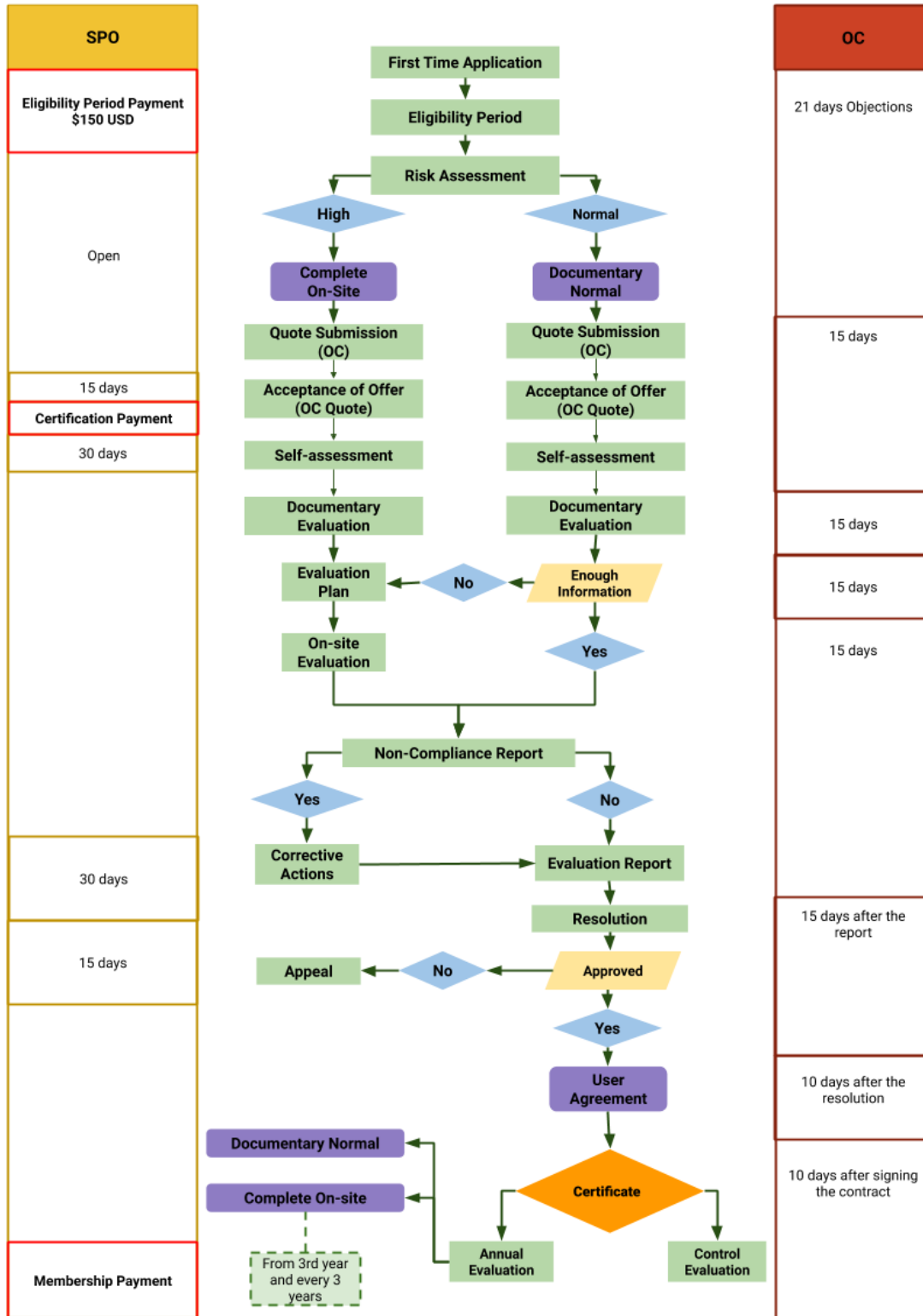
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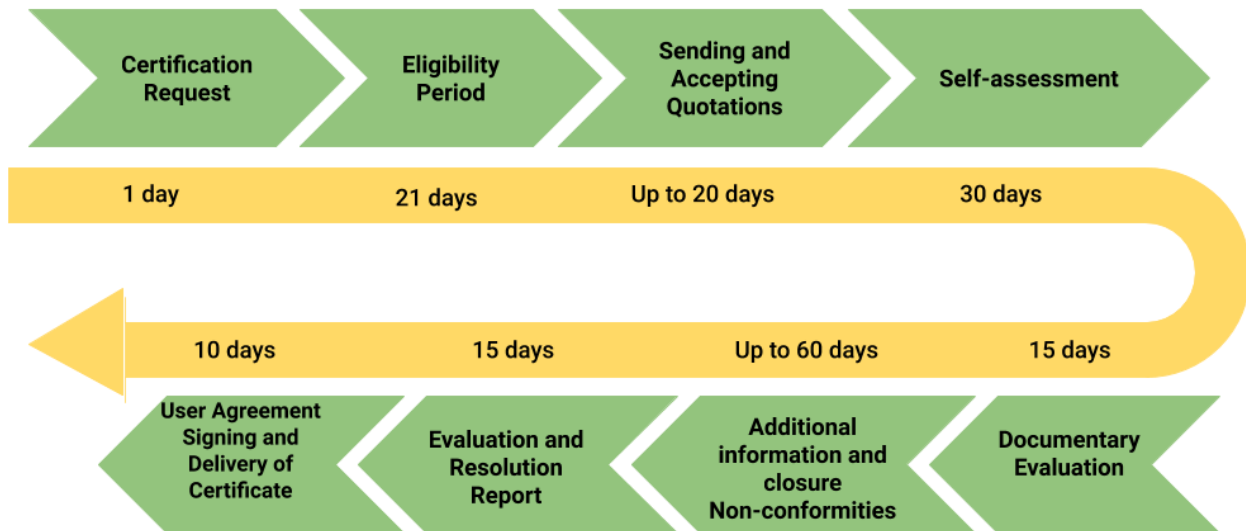
1. INTRODUCTION

- 1.1 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
- 1.2 This document cancels and replaces:

Certification Procedures for Small Producers' Organizations
Small Producers' Symbol
Version 9.0 2020-11-19
- 1.3 ISO 19011: 2002 Guidelines for quality and/or environmental management systems auditing has been used as the basis for developing these procedures.
- 1.4 These procedures fulfill the ISO/17065 Standard "Conformity assessment - Requirements for bodies certifying products, processes and services".
- 1.5 If you would like to see the changes between this new edition and the previous one, please consult the chart listing the changes, presented at the end of this document.

2 DIAGRAM OF PROCESS





3 OBJECTIVE

Establish the procedures that Certification Entities must follow when granting Certification to Small Producers' Organizations that comply with the General Standard of the *Small Producers' Symbol*.

4 SCOPE

- 4.1 These procedures apply to all Small Producers' Organizations that wish to apply for Certification based on the General Standard of the *Small Producers' Symbol*.
- 4.2 These procedures may be applied in combination with other certification procedures of other certification programs.
- 4.3 It is important to become familiar with all the procedures, in order to understand the different parts of this certification process and the types of evaluations described in this document, to then be able to apply each of the separate components correctly.

5 REFERENCES

To apply these procedures, it is necessary to consult the valid versions of the following documents:

- a. General Standard of the *Small Producers' Symbol*
- b. Code of Conduct of the *Small Producers' Symbol*
- c. Procedure for Defining the Work Plan for Evaluation
- d. Dissents Procedures
- e. Risk Determination Procedures
- f. Examination Procedures
- g. Regulations on Costs

- h. Procedures for Issuance, Modification and Extension of Certificates and Registrations of Conformity
- i. General Regulation for the SPP System Application
- j. List of Requirements for the Evaluation

6 DEFINITIONS

- 6.1 **Corrective Action:** An action presented in the case of Non-Compliance with Criteria in the General Standard of the *Small Producers' Symbol*.
- 6.2 **Cancellation:** Total annulment of the validity of an SPP certificate or registration of an organization or company, as a result of a certain failure to comply with the SPP Regulatory Framework. The status obtained in this case is "Cancelled."
- 6.3 **Examination Committee of the Certification Entity:** The Examination Committee or staff of *SPP Global* or any other Certification Entity recognized by *SPP Global*.
- 6.4 **Final Buyer (BUY):** 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.
- 6.5 **Collective Trading Companies owned by Small Producers' Organizations (C-SPO):** 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.
- 6.6 **Criteria:** The criteria defined in the General Standard of the *Small Producers' Symbol*.
- 6.7 **Critical Criterion:** The criteria for these standards that are qualified as critical are mandatory and will be evaluated in all cases, including as part of desktop assessments. Non-compliance with these criteria will directly impact Certification and Registration results.
- 6.8 **Minimum Criteria:** Minimum criteria are mandatory, but will only be evaluated through evaluations that include a field visit. Non-compliance with these criteria will directly impact Certification and Registration results.
- 6.9 **Continuous Improvement Criteria:** Criteria that are evaluated according to the range of possibilities for compliance within a specific context. They are only evaluated by means of a field evaluation. Unjustified Non-compliance with these criteria will impact Certification and Registration results.
- 6.10 **Deactivation:** Temporally annulment of the validity of a certificate or registration requested voluntarily by the organization or company. The status obtained in this case is "Inactive."
- 6.11 **Day:** Calendar Day
- 6.12 **Evaluation:** A systematic, independent and documented process used to obtain and analyze facts in an objective manner, in order to determine the level of compliance with criteria.
- 6.13 **Control Evaluation:** A field evaluation that is randomly carried out on a yearly basis on 10% of those certified or registered through the Quick Procedure and on 5% of those certified or registered through the Complete Procedure.
- 6.14 **Monitoring Evaluation:** A programmed evaluation that is conducted exclusively to evaluate the Corrective Actions requested in the Resolution.
- 6.15 **On-Site Evaluation:** An on-site evaluation at the location(s) where activities of the organization or company to be evaluated take place, to verify compliance with the Standard.
- 6.16 **Document-based Evaluation:** An evaluation based exclusively on documents that verify compliance with the Standard, to be presented or sent by the applicant to the evaluator.
- 6.17 **Annual Evaluation:** An annual evaluation that is conducted to verify if the conditions under which Certification or Registration was granted, have been maintained. Applicant subject to an evaluation in order to obtain Certification or Registration.
- 6.18 **Evaluatee:** An applicant who is subject to an evaluation for purposes of Certification or Registration.

- 6.19 **Evaluator:** A person assigned by *SPP Global* or the Certification Entity who is responsible for the process of evaluating the applicant.
- 6.20 **Objective Evidence:** Records, declarations of facts, or any other information that can be verified and reproduced.
- 6.21 **SPP Global:** Symbol Organized Small Producers, a Civil Association (Símbolo de Pequeños Productores Organizados, Asociación Civil).
- 6.22 **Evaluation Findings:** Results of the evaluation of objective evidence, showing Compliance or Non-compliance with criteria.
- 6.23 **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.
- 6.24 **Maquila Companies:** Service providers that intervene in the trading or processing of products, but do not buy or sell these products.
- 6.25 **SPP Regulatory Framework:** The set of standards, procedures, regulations, guidelines, policies, codes and forms that regulate the program of certification, registration, use and authorization of the *Small Producers' Symbol*. The Declaration of Principles and Values of the *Small Producers' Symbol* expresses the basic philosophy of the Regulatory Framework, but is not part of it.
- 6.26 **Offer:** Proposal for costs and characteristics of a service.
- 6.27 **Certification Entity (CE):** CE authorized by *SPP Global* to operate the certification or registration program for the *Small Producers' Symbol*. In exceptional cases in which authorized CEs are unable to provide the service requested in a timely manner, *SPP Global* may serve as a CE.
- 6.28 **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.
- 6.29 **First-Level Small Producers' Organization:** SPO whose members are producers and individuals.
- 6.30 **Second-Level Small Producers' Organization:** SPO whose members are first-level SPOs (and occasionally members of a first-level SPO and/or individuals).
- 6.31 **Third-Level Small Producers' Organization:** SPO whose members are second-level SPOs (and occasionally members of a first-level SPO and/or individuals).
- 6.32 **Fourth-Level Small Producers' Organization:** SPO whose members are third-level SPOs (and occasionally members of a second-level or first-level SPO and/or individual members).
- 6.33 **Observation related to the Continuous Improvement Criteria:** An observation carried out by the Certification Entity, related to compliance with the Continuous Improvement Criteria specified in the General Standard of the *Small Producers' Symbol*.
- 6.34 **Document-based Procedure:** Consists exclusively of a Document-based Evaluation of compliance with the applicable Critical Criteria specified in the General Standard, as part of a Certification or Registration process.
- 6.35 **Shortened Document-based Procedure:** Consists of acknowledging a SPO that already has a Fair Trade-related certificate, and thus an abbreviated Document-based Evaluation will be applied.
- 6.36 **Complete Procedure:** Includes a Document-based Evaluation and a Field Evaluation of compliance with all applicable criteria specified in the General Standard, as part of a Certification or Registration process.
- 6.37 **Applicant:** Those applying for Certification or Registration with the *Small Producers' Symbol*.
- 6.38 **Suspension:** Temporary annulment of the validity of a certificate or registration of an organization or company, as a result of certain failure to comply with the SPP Regulatory Framework. The status obtained in this case is "Suspended".

Other important definitions and abbreviations are reflected in the various documents mentioned.

7 GENERAL PROCEDURES

7.1 CERTIFICATION OPTIONS AND TYPES OF EVALUATION

- i. Following are the current Certification Procedures:

Document-based Procedure:

1. **Normal:** Consists exclusively of a Document-based Evaluation of compliance by Small Producers' Organizations applying for certification with the applicable Critical Criteria specified in the General Standard.
2. **Complete On Site Procedure:** Consists of an evaluation on site for all applicable criteria (critical, minimum and continuous improvement) of the General Standard by Small Producers' Organizations to be certified.

(Valid until April 30, 2021, to consult new guidelines that will apply as of May 1, 2021, see [V11.0](#))

- ii. The Certification Procedures for Small Producers' Organizations will be conducted in accordance with the following certification scheme:

Year 0	Document-based Procedure (Normal):
Year 1:	Document-based Procedure (Normal)
Year 2	Complete On-site Procedure
Year 3:	Document-based Procedure (Normal)
Year 4:	Document-based Procedure (Normal)
Year 5:	Complete On-site Procedure
Year 6:	Document-based Procedure (Normal)
Year 7:	Document-based Procedure (Normal)

(Valid until April 30, 2021, to consult new guidelines that will apply as of May 1, 2021, see [V11.0](#))

- iii. If the applicant prefers, the Complete On-site Procedure may be applied in any case, instead of the Document-based Procedure
- iv. Even if there are few or no SPP transactions, Complete On-site Procedure should be carried out within two years of being certified and then every three years thereafter.
- v. When transactions are above US \$1,500,000, a Complete On-site Procedure will be conducted every two years instead of every three years.
- vi. Non-conformity notes, changes in legal status and other drastic changes in an organization's characteristics may cause the CE to request control evaluations (with an On-site evaluation) in the years corresponding to a Document-based Evaluation, with prior authorization from *SPP Global*.¹
- vii. In any case, if the Document-based Procedure does not provide sufficient information to establish compliance with the Critical Criteria
- viii. specified in the General Standard, it must be complemented with an Evaluation on site.

¹ After the application of the Complete Procedure On Site, the Document-based Procedure is applied two continuous years, as established in 7.a.ii

- ix. In this case the Certification Entity will make a proposal for costs based only on expenses incurred in the complementary evaluation on site conducted for verifying the missing information.

7.2 APPLICATION FOR CERTIFICATION

- i. Any Small Producers' Organization interested in certification may contact SPP Global or request an information packet online or via email, to include the following:
 - a) *Small Producers' Symbol Handbook*
 - b) List of Requisites for Small Producers' Organizations
 - c) General Standard of the *Small Producers' Symbol*
 - d) Declaration of Principles and Values of the *Small Producers' Symbol*
 - e) Code of Conduct of the *Small Producers' Symbol*
 - f) Application Form for Certification and Use of the *Small Producers' Symbol*
- ii. *SPP Global* will clarify any doubts the applicant might have.
- iii. *SPP Global* informs the OPP that it must send its application using the D-SPP digital system and take the necessary actions.
- iv. An authorized representative of the applicant must send the application form for certification, filled out properly and signed, to the Certification Entity, making use of the SPP digital system² 'D-SPP'.
- v. Interested parties must attach Organic Certificates or similar to the applications for Certification of those products to be included in the SPP certification.
- vi. *SPP Global* will receive the Application for Certification, check if it is filled out correctly and signed; and will then approve or reject it.
- vii. If the application has not been filled out correctly, *SPP Global* will inform the applicant so that a corrected or completed version of the application may be submitted.

7.3 ELIGIBILITY PERIOD

Once the Certification Application is submitted and the Initial Application Fee, corresponding to \$150 U.S.D., has been verified, the eligibility period begins for which 21 days are established.

- i. The Evaluation Report (for the Eligibility Period) must be completed in all cases, as part of the Eligibility Period. This Evaluation Report evaluates critical criteria from the SPP General Standard, SPP Code of Conduct and SPP Principles and Values. This report will be shared only with the Certification Entity involved. Only the Resolution is shared with the Applicant, not this Evaluation Report.
- ii. In cases where Phase II of the Eligibility Period is carried out, the Resolution must bear signatures of the Head of the Certification Area and the Executive Director. In the cases where only Phase I applies, it must bear the signature of the Head of the Certification and Quality Area

The Eligibility Process is divided into three phases:

- i. Desk research and general objection consultation

² Beginning on September 1, 2016, all Small Producers' Organizations requesting SPP certification for the first time or those renewing their certification must send their application through the D-SPP digital system. In addition, they must carry out the actions indicated in the D-SPP Instructions for Small Producers' Organizations.

- ii. Request of documentation and complementary information to the evaluated one
- iii. Make an on-site visit

During the first 14 days of the 21-day period, the *SPP Global* Certification and Quality area conducts a background review of the applicant SPO, using the following methodology:

- i) Phase 1: Desk research and general objection consultation
 1. The applicant's intention to become certified is made public on the website and notification of this intention is given to all users who are certified, registered, authorized, and to related producers' networks. There is a period of 15 days for any objections to the Applicant's Certification. Objections presented to *SPP Global* must be supported by concrete and verifiable information, regarding non-compliance with the Standard and/or Code of Conduct of the *Small Producers' Symbol*.
 2. SPP actors and coordination structures in the country concerned are contacted directly.
 3. The origin and background of the applicant in question is reviewed, making use of public information and eventually through direct interviews.
 4. Objections submitted by third parties are reviewed for compliance.
 5. If elements of non-compliance with the Standard and/or the Code of Conduct of the Small Producers' Symbol are detected, *SPP Global's* Certification and Quality area prepares an "Objection Note" and sends it to the *SPP Global's* Dissents Committee.
 6. If there are no elements of non-compliance with the Standard and/or Code of Conduct of the *Small Producers' Symbol*, the Certification and Quality area notifies the OC, no later than the end of the 14-day period, to start the certification process.
 7. In the event of an objection, the *SPP Global* Dissents Committee must analyze the objection and respond within a period of no more than 5 days. The Dissents Committee's Resolution can be positive or negative, or it can request the *SPP Global* Certification and Quality area to proceed with a more in-depth investigation within a given time frame.
 8. If in the first 5 days, the Dissents Committee gives a positive or negative resolution, *SPP Global's* Certification and Quality area notifies the OC if it can continue with the certification process or not, within a maximum of two days after the CI's resolution. A negative resolution implies that the certification process will not proceed, which is informed to the OC in question.
 9. If the CI (Dissents Committee) considers that a more in-depth investigation by the *SPP Global* operational team is necessary, the OC is informed to wait for the investigation within a certain time frame.
 10. If the requesting organization and company do not agree with the Dissents Committee's resolution, they can request a case review, providing the necessary support.
- (ii) Phase 2: Request for additional documentation and information from the evaluated party.
 11. If controversial or insufficient information is generated in Phase 1, the Eligibility Process would enter a **Phase 2**, and *SPP Global* will request the following documents:
 - a. Constitutive Act and, if there have been modifications to the statutes, to present current Statutes.
 - b. Organization chart and Internal Regulations. Minutes of the last ordinary General Assembly and of any extraordinary General Assembly held after the last ordinary one.
 - c. Current certificates (Organic, fair trade, etc.)
 - d. List of producer partners with sizes of production areas of the different products to be included in the certificate

- e. List of suppliers of companies contracted for processing and/or marketing
 - f. Recommendation Letters of the following types (optional)
 - A. National SPP Committee if any
 - B. Country SPO-SPP if any
 - g. SPP Final Buyers and eventually public or private instances (Obligatory to present two if options A and B do not exist. If you meet A and B, type C cards are optional).
12. The Operational Team must review the criteria 4.2.1, 4.2.2, 4.2.3 4.2.4 and 4.7.11 of the SPP's General Standard³ during Phase 2 of the Eligibility Period, in order to determine the appropriate Opinion (Positive or Negative).
 13. In Phase 2, based on the information obtained, if it is clear enough, the person responsible for the *SPP Global* Certification and Quality Area prepares the Eligibility Report
- ii) Phase 3: Make an on-site visit
14. If Phase 2 does not generate enough clarity regarding the organization's compliance, *SPP Global* will execute an Eligibility Visit, on site, if required human and economic resources are available.
 15. The Eligibility Visit consists of reviewing compliance with the applicable critical criteria, verifying the practical functioning of written documents, through an on-site visit to the main facilities and through personal interviews with both managers, executive and operational staff and members (producers in the case of Small Producers' Organizations) of the organization or company, using the Eligibility Report Format (SPO, FB) and the documentary information available prior to the visit as a reference.
 16. If there is no operational possibility of conducting an Eligibility Visit, despite the existence of controversial or insufficient information, the case is referred to the Dissents Committee for a Resolution.
 17. In Phase 3, based on the obtained information, if it is clear enough, the responsible for the *SPP Global* Certification and Quality Area prepares the Eligibility Report.

7.4 APPLICATION OF RISK ASSESSMENT PROCEDURE

- i. The procedure is applied in the following cases:
 - b) The first time when the applicant has a properly complemented Application for Certification
 - c) When the previous Certification procedure was complete
- ii. It is not necessary to apply the Risk Assessment Procedure when it is the first time and the applicant:
 - a) Has a Fair Trade certificate recognized by *SPP Global* for the purpose, in which case the Shortened Document Procedure is applied.
 - b) States its decision to have the Full Procedure applied In Situ from the first time.

The OC applies the Risk Assessment Procedure for the *Small Producers' Symbol* and based on the results notifies the Applicant what type of Certification Procedure will be applied.

7.5 PREPARATION OF OFFER

- i. Once *SPP Global* has issued a Positive Resolution regarding the Eligibility Period, the Certification Entity will prepare the Quotation for the Certification Process; considering Risk Determination described in previous paragraph.

³ Version 13.1 of the SPP's General Standard

- ii. The Certification Entity applies the “Guidelines for defining the work days for evaluating compliance” and the “Regulations on Costs” in order to thus determine the Offer for the Certification Process.
- iii. The Offer for the Certification Process is sent to the Small Producers' Organization for acceptance.

7.6 SPECIFIC PROCEDURES

i. “NORMAL” DOCUMENT-BASED PROCEDURE

- A. The Certification Entity will ask the Applicant to send in its Evaluation Form. The Evaluation Form is based on the General Standard of the *Small Producers' Symbol*, and its purpose is for the Applicant to conduct a self-assessment. The Applicant will be informed that it should use the spaces labeled with the heading: “To be completed by the applicant,” and that it must also attach:
 1. A list of members presented as follows:
 - a) Name(s) of producer(s)
 - b) Name of locality
 - c) Size of production unit, for each product to be certified
 - d) Annual production, for each product to be included in Certification
 - e) Must be validated internally or externally.
 2. Certificates (Organic, Fair Trade, Sustainable, etc.) that the Applicant has been awarded and that are currently in effect.
 3. Documents that support and confirm the data and responses indicated in the Evaluation Form, with regard to compliance with the Criteria in the General Standard, including:
 - a) Organization's Constitution
 - b) Minutes from the last two General Assemblies.
 - c) Appointments of directors and legal representatives
 - d) Internal regulations, when applicable
 - e) Forms or documents that demonstrate the system for traceability from the producer to the organization's clients
 - f) List of subcontracted entities that intervene in the processing and trading of products, when applicable.
 4. Receipt for payment of the Offer
- B. The applicant sends the Evaluation Form, correctly filled out and signed, with the requested attachments, as indicated in the instructions provided on the form
- C. The Certification Entity receives and reviews the Evaluation Form to verify that it has been correctly filled out and signed, in accordance with the instructions provided on the form, and that the required annexes have been included. It also verifies that confirmation of the corresponding payment is included.

If a document is missing or the form is not filled out correctly, the Certification Entity will notify the Applicant that the process will not move forward until all the documents requested have been received.
- D. After it is confirmed that all documents have been received, the Certification Entity will assign an evaluator, taking care to assure that there is no conflict of interest with the Applicant.
- E. The assigned evaluator will begin with the Document-based Evaluation of the information sent by the Applicant and any objections that may have been submitted.

- F. If the evaluator considers the information insufficient for establishing compliance with the Critical Criteria of the Standard, he/she may request complementary documentation (to be sent preferably by email) to support the Application and the Evaluation Form. Some examples of complementary documents that may be requested are listed below:
1. A list of organizations or national and/or international networks in which the Small Producers' Organization is a member.
 2. Corrective measures of certifications, for example:
 - i. Fair Trade
 - ii. Organic Production
 - iii. Sustainable Production
 3. Description of Internal Control System, if applicable:
 - i. Example of Technical Specifications
 4. Other documents that support compliance with the General Standard:
 - i. Most recent Annual Commercial Report
 - ii. Valid General Working Plan
 - iii. List of specific projects
 5. History of the Small Producers' Organization (the year it was founded, institutional objectives, primary achievements, products, and suppliers of maquila or trading services).
- G. At the moment in which complementary documentation is requested, the Applicant will be informed that it will have 30 days to send it in, and if it fails to do so, the Application for Certification will be canceled, and it will be necessary to start the process again.
- H. On the basis of the Evaluation Form and the complementary documentation provided by the Small Producers' Organization, the assigned evaluator will compile evidence of compliance through a desk review of these documents, recording it on the Evaluation Form, in the spaces labeled with the heading: "To be completed by the Certification Entity's evaluator."
- I. Development of Findings:
- a) The evaluator must review all findings to determine which should be reported as Non-compliance, and at the same time avoid overlooking those findings that do establish Compliance. The evaluator must assure that all findings are documented in a clear, concise manner, and supported by objective evidence.
 - b) All Compliance and Non-compliance must be referenced to the criteria, and the sources of information must be specified in the Evaluation Form.
- J. The Evaluator will prepare the Evaluation Report, completing the Evaluation Form, and proceeding with the following steps:
- a) If there is insufficient document-based support, the applicant should be notified of the need for a Field Evaluation for establishing compliance with the General Standard. In such case, the evaluator must present the reasons for this need and present a Field Evaluation Plan, with the corresponding estimated costs.
- In this case, the Certification Entity will make a proposal on costs based exclusively on the costs involved in the complementary field visit conducted in order to corroborate the missing information, and following the guidelines for defining the days in the field evaluation.

- b) Review and corroborate the findings and any other relevant information that will be reflected in the Evaluation Report.
 - c) Document cases of Compliance and Non-compliance and reference them in the Evaluation Form.
 - d) Skip to point 7.8 of these procedures.
- K. At the beginning of this document, there is a diagram of the process, with timelines for the various steps in the process that may be summarized as follows:
- 1. Self-evaluation completed: 30 calendar days
 - 2. Complementary information sent: 30 calendar days
 - 3. Non-conformities addressed: 30 calendar days
 - a) If a Small Producers' Organization that is applying for certification **for the first time** does not comply with the total of the maximum timelines for each step in the certification process, the process will be considered to be discontinued and the applicant will have to send a new application to the CE (Certification Entity). Each step has a timeline of 30 days (total = 90 days).
 - b) The time granted to the CE for conducting the evaluation for each step is a total of 15 calendar days, independent of the time that the evaluate has for each step in the process. The time periods granted to the CE will never be considered within the timelines for SPPs.

ii. COMPLETE PROCEDURE “ON SITE”

- A. The Certification Entity will ask the applicant to send in its Evaluation Form. The Evaluation Form is based on the General Standard of the *Small Producers' Symbol* and its purpose is for the Applicant to conduct a self-assessment. The Applicant will be informed that it must also use the spaces labeled with the heading “To be completed by the Applicant,” and must also attach:
- 1. A list of members presented as follows:
 - a) Name(s) of producer(s)
 - b) Name of locality
 - c) Size of production unit, for each product to be certified
 - d) Annual production, for each product to be included in Certification
 - e) Must be validated internally or externally.
 - 2. Certificates (Organic, Fair Trade, Sustainable, etc) that the applicant has been awarded and that are currently in effect.
 - 3. Documents that support and confirm the data and responses indicated in the Evaluation Form, with regard to compliance with the Criteria in the General Standard, including:
 - a) Organization's Constitution
 - b) Minutes from the last two General Assemblies.
 - c) Appointments of directors and legal representatives
 - d) Description of internal control system, when applicable
 - I Internal regulations
 - II Example of technical specifications
 - e) Forms or documents that demonstrate the system for traceability from the producers to the organization's clients

- f) List of subcontracted entities that intervene in the processing and trading of products, when applicable.
4. Receipt for payment of the Offer
- B. The applicant sends the Evaluation Form, correctly filled out and signed, with the requested attachments, as indicated in the instructions provided on the form.
- C. The Certification Entity receives and reviews the Evaluation Form to verify that it has been correctly filled out and signed, in accordance with the instructions provided on the form, and that the necessary annexes and confirmation of the corresponding payment have been included.

If a document is missing or the form is not filled out correctly, the Certification Entity will notify the Applicant that the process will not move forward until all the documents requested have been received.
- D. After it is confirmed that all documents have been received, the Certification Entity will assign an evaluator, taking care to assure that there is no conflict of interest with the Applicant.
- E. Development of Evaluation Plan:
 - a) The evaluator will review the information obtained from the Applicant and any objections from third parties received within the indicated time period, and will use the document entitled "Guidelines for defining the work days for evaluating compliance" together with Annexes 1 and 2 to develop an Evaluation Plan.
 - b) The Evaluation Plan will define: the work plan, timelines and levels of evaluation in which the field evaluation will be conducted. It will also specify the list of documents that the Applicant must have available during the field evaluation, and the responsibilities to be fulfilled by the Applicant in attending to and accompanying the evaluator.
 - c) The documents that the evaluator may ask the applicant to have available for the Field Evaluation may include:
 1. A list of organizations or national and/or international networks in which the Small Producers' Organization is a member.
 2. Corrective measures of certifications, for example:
 - i. Fair Trade
 - ii. Organic Production
 - iii. Sustainable Production
 3. Other documents that support compliance with the General Standard:
 - i. Most recent Annual Commercial Report
 - ii. Valid General Working Plan
 - iii. List of specific projects
 4. History of the Small Producers' Organization (the year it was founded, institutional objectives, primary achievements, products, and suppliers of maquila or trading services).
 - a) The Evaluation Plan will be sent to the Applicant.
 - b) The Proposed Budget for the Service will be attached, and before the process will continue, the Applicant must send its approval and confirmation of its payment.
 - c) An agreement will be reached regarding the days and times of the visit.
- F. Meeting for initiating On Site Evaluation:

At the beginning of the On Site Evaluation, the Evaluator will minimally carry out the following steps:

- a) Introduce him/herself to the applicant's staff and representatives and define the contact person who will accompany him/her during the evaluation.
 - b) Present the Evaluation Plan, clarify any doubts, make adjustments if necessary, and validate the Plan.
 - c) Present an overview of the methodology that will be used during the evaluation.
 - d) Confirm the day and time of the closing meeting.
 - e) Prepare a list of those in attendance.
- G. Compilation and evaluation of information:
- a) Evidence should be gathered through interviews, reviews of documents, and observations of activities and conditions in the areas involved. The entire process should be carried out in reference to the criteria to be evaluated, specifically the Critical Criteria, Minimum Criteria, and Continuous Improvement Criteria, as specified in the General Standard.
 - b) Information gathered through interviews must be confirmed by other independent sources of information, such as: physical observations, measurements, records, etc.
 - c) In the case of Monitoring Evaluations, it is necessary to review the implementation and effectiveness of improvement actions carried out by the Applicant in response to detected non-compliance.
- H. Development of Evaluation Findings:
- a) The evaluator must review all findings to determine which should be reported as Compliance and as Non-compliance. He/she must assure that all findings are documented in a clear, concise manner, and supported by objective evidence.
 - b) All Compliance and Non-compliance will be documented on the Evaluation Form, will be made known and will be commented to the contact person.
 - c) Cases of both Compliance and Non-compliance should be referenced to criteria, using the same Evaluation Form, in the spaces labeled with the heading: "To be completed by the Certification Entity's evaluator."
- I. Preparation of Evaluation Conclusions:
- Before the closing meeting, the evaluator must:
- a) Review the findings and any other relevant information that will be presented at the closing meeting.
 - b) Prepare the cases of Compliance and Non-compliance, to be presented at the closing meeting.
 - c) Prepare the Evaluation Report, to be presented at the closing meeting.
- J. Closing Meeting:
- a) The objective of the closing meeting is to present the evaluation findings and conclusions, in a manner in which they will be understood and acknowledged by the applicant.
 - b) The cases of Non-compliance identified should be presented.
 - c) During the meeting, the Applicant should be given the opportunity to make clarifications, and a debate should be avoided.

- d) At the end of the meeting, the conclusions obtained should be presented, and participants will be asked to sign the cases of Non-compliance presented to indicate their agreement.
 - e) A list of those in attendance should be prepared.
- K. At the beginning of this document, there is a diagram of the process, with timelines for the various steps in the process that may be summarized as follows:
- 1. Self-evaluation completed: 30 calendar days
 - 2. Complementary information sent: 30 calendar days
 - 3. Non-conformities addressed: 30 calendar days
- a) If a Small Producers' Organization that is applying for certification **for the first time** does not comply with the total of the maximum timelines for each step in the certification process, the process will be considered to be discontinued and the applicant will have to send a new application to the CE (Certification Entity). Each step has a timeline of 30 days (total = 90 days).
 - b) The time granted to the CE for conducting the evaluation for each step is a total of 15 calendar days, independent of the time that the evaluator has for each step in the process. The time periods granted to the CE will never be considered within the timelines for SPPs.
- L. Skip to point 7.8 0 in these procedures ("Final Evaluation Report").

7.7 FOLLOW-UP ON NON-COMPLIANCE

- a) If cases of Non-compliance are identified, the Applicant will have a maximum of 30 days from the date on which it was notified of these cases to present evidence that it has taken corrective actions to address them.
- b) The evaluator is responsible for reviewing the evidence sent by the Applicant to address cases of Non-compliance.

7.8 FINAL EVALUATION REPORT

Using the information presented on the Evaluation Form and any corrective actions presented by the Applicant, the evaluator will prepare an Evaluation Report, to be presented to the Certification Entity.

In the case of the Shortened Document-based Evaluation, a Shortened Evaluation Report will be prepared, considering only the information sent by the Applicant in response to the corresponding requirements.

7.9 CERTIFICATION DECISION

- a) After the evaluator has presented the Evaluation Report with its corresponding attachments to the Certification Entity, the latter will turn it over to the Examination Committee.
- b) The Examination Committee will analyze, evaluate and make a decision on the basis of the Evaluation Report and its corresponding attachments, adhering closely to Examination Procedures.
- c) The Examination Committee will prepare and present the Resolution signed by the participants to the Director's Office of the Certification Entity.

7.10 POSITIVE NOTIFICATION FOR THE RESOLUTION AND USER'S CONTRACT

- a) The Certification Entity (CE) should send an email to notify the OPP evaluated that its resolution is positive, and should send a copy of *SPP Global's* Contract for Use of the *Small Producers' Symbol*, together with the corresponding annexes, and a form to confirm that these documents have been received, so that the OPP evaluated may sign them.
- b) The OPP evaluated should sign the contract, and send it to the CE, which will send it on to *SPP Global*.

- c) The signing of the User's Contract and its attachments currently in effect permits an Organization to use the Symbol after its certification has been granted.
- d) The SPOs that acquire their *Small Producers' Symbol* certificate for the first time should sign the User's Contract and a Confirmation Receipt confirming that it has been received.
- e) The SPOs that renew their certificate should not sign the User's Contract. Rather, when they pay their membership fee to *SPP Global*, this will be considered as ratification of their contract.

7.11 PAYMENT OF ANNUAL MEMBERSHIP FEE TO SPP GLOBAL

- a) The maximum official time period for paying the membership fee to *SPP Global* is established in the Regulations on Costs.
- b) In exceptional cases *SPP Global* may authorize the presentation of the certificate before such payment is made, if there is an agreement regarding such payment between the SPO evaluated and *SPP Global*

(Valid until April 30, 2021, to consult new guidelines that will apply as of May 1, 2021, see [V11.0](#))

7.12 GRANTING CERTIFICATION

- a) After the OPP has signed and sent the User's Contract and the form confirming that the document has been received, the Certification Entity may present the SPO with its Certificate.⁴
- b) The CE's administrative office will use the Procedures for Issuance, Modification and Extension of Certificates and Registrations of Conformity, and will present the following documents to the SPO: The Applicant has made the necessary payment the Certification Entity must provide the client with the original copies of the following:
 - 1. Evaluation Report
 - 2. Resolution
 - 3. Certificate of the *Small Producers' Symbol* (on a form authorized by *SPP Global*)
 - 4. The User's Contract signed by *SPP Global*
- c) The Certification Entity must prepare a file on this service with a copy of all the documents mentioned above.

7.13 VALIDITY OF CERTIFICATION

- a) The Certificate is valid for one year plus a maximum of one month. (See Section 7.18 on the timeline for evaluations.
- b) A renewed certificate will be valid for one year beginning on the date of the previous renewal, independently of the date of the evaluation or the determination.

(Valid until April 30, 2021, to consult new guidelines that will apply as of May 1, 2021, see [V11.0](#))

7.14 PUBLICATION OF CERTIFICATION

- a) After the evaluate obtains the corresponding certification, the Certification Entity must maintain a directory with all organizations granted Certification. This directory must be available to anyone who requests it, through the means deemed necessary.
- b) The Certification Entity must immediately inform *SPP Global* when it has issued a Certification, sending the signed User's Contract and copies of the Resolution and Certificate. In a maximum period of 10 natural days.
- c) When *SPP Global* receives notification of new certifications, it will publish an updated list of certified organizations.

⁴ The Certificate can be granted even though the payment is not made immediately after the notification of the positive resolution.

- d) Each time that an SPO acquires its 'Certificate' status or has regularized its certificate, *SPP Global* will notify the entire data base of SPOs.

7.15 NOTIFICATION OF NEGATIVE DECISION

- 11.1. If the Resolution is negative, the Certification Entity must send a Letter of Notification to the evaluate, and must return all original documentation within a period of 14 calendar days or less after the Resolution is presented.
- 11.2. If the evaluate does not agree with the Resolution, it may initiate an Appeal Process with the Certification Entity, following Dissent Procedures.

7.16 COMPLAINTS REGARDING THE CERTIFICATION ENTITY

In the case of a complaint regarding the Certification Entity, the Dissents Procedures of the *Small Producers' Symbol* will apply.

7.17 MONITORING EVALUATION

If a need for corrective actions is addressed in the Resolution, the process will move to the Monitoring Evaluation.

- a) The monitoring evaluation must be carried out in a maximum period of 90 days
- b) If the applicant does not agree with the monitoring evaluation, it can follow the Dissent Procedures.
- c) If the monitoring evaluation is not carried out in the stipulated time frame and in a correct manner, this matter will be turned over to the Examination Committee.

7.18 ANNUAL EVALUATIONS

- a) To assure that the applicant maintains the conditions under which the Certification was granted, the Certification Entity conducts Annual Evaluations.
- b) These annual evaluations are conducted every 12 months, with a grace period of one month before or after.
- c) The month before or after are intended for conducting the evaluation. It is possible that the Certificate will be presented later, in line with the table of maximum time periods for the procedures
- d) A new completed application should be sent to the Certification Entity, using the current version of the application form. The Certification Entity will send the completed application to *SPP Global* when the evaluation is initiated.
- e) For the Organization to begin its certificate renewal process, any debts corresponding to *SPP Global* certification, membership and/or volume fees must be paid.

(Valid until April 30, 2021, to consult new guidelines that will apply as of May 1, 2021, see [V11.0](#))

- f) As part of the Annual Evaluations, the following should be reviewed:
 - I. That there is a User's Contract signed by *SPP Global*.
 - II. The use of the *Small Producers' Symbol*, specifically: in order to use the Symbol, an organization must have a Certificate through which it can demonstrate compliance with the Symbol's General Standard.
 - III. Compliance with the commercial criteria established in the General Standard, the list of specific Parameters, or the Specific Product Standards.
- g) In the case of complaints, it should be corroborated that timely attention has been given to them. When the previous procedure was a Document-based (Normal or Shortened) Procedure, the next one should be a Complete Procedure, including a Field Evaluation. If the previous procedure was a Complete Procedure, then a Document-based Procedure follows, but only if there are no specific reasons for

applying a Complete Procedure, as in the case of dissents or the application of Risk Determination Procedures. The Shortened Document-based Procedure may only be applied in the case of an initial certification.

7.19 MAXIMUM TIMELINES FOR ANNUAL EVALUATIONS

- a) The SPO should have initiated—through the formal approval of a certification offer—the annual certification evaluation during the period between the month prior to and the month following the date that its certificate expires (see Section 7.19).
- b) If the SPO has not initiated the evaluation by one month following the expiration of its certificate, the CE should issue the certificate's suspension immediately after the month have ended (see Section 9.1).

(Valid until April 30, 2021, to consult new guidelines that will apply as of May 1, 2021, see [V11.0](#))

- c) As soon as the evaluation has begun, the SPO must adhere to the maximum timelines indicated in the Diagram for the Certification Process (see Section II) which are as follows:
 1. Self-evaluation completed: 30 calendar days
 2. Complementary information sent: 30 calendar days
 3. Non-conformities addressed (when such exist): 30 calendar days
- d) If the evaluate does not send the information corresponding to the first and second steps in a timely manner, it may send this information by the timeline established for the last step (compliance with any required Corrective Actions). In this case the evaluate will have only 30 days to complete the three steps.
- e) If the evaluate fails to send the necessary documentation, the CE should send reminders every 30 calendar days, requesting the information.
- f) The maximum amount of time for the CE to complete its evaluation for each step is 15 days, independent of the time granted to the evaluate for each step of the process. The CE's timelines will not, in any case, be included within the time periods allowed for SPOs.
- g) If the evaluate sends the information only one or two weeks before the end of the final 30-day period, the CE will not accept the information, since it will not be able to complete all the steps in the process in the remaining time. Thus, the certificate renewal process will be terminated, and the certificate or registration will be cancelled. If the SPO insists that it wishes to regularize its situation, it will have to send a substantiated request to *SPP Global* for an extension of the time period allowed for certification or registration.
- h) Based on the total number of days granted to the SPO to send information for all the steps in the process, plus the total number of days granted to the CE, the resolution on certification should be obtained within a maximum time period of 135 calendar days after the date on which the certificate expires. If notification of the resolution has not been made by the end of this time period, *SPP Global* will issue the immediate cancellation of the certificate. Any justification for any delay beyond the time period allowed must have been received by *SPP Global* within the established time period
- i) If the CE issues the suspension of the SPO's certificate, the time periods established in this section will once again begin. However, in the case of non-compliance with the maximum time period established, the certificate's cancellation will be issued in accordance with that established in section 9.2 of these Procedures.

7.20 CONTROL EVALUATIONS

- a) To assure the reliability of the *Small Producers' Symbol* system, Control Evaluations are conducted. The Certification Entity conducts random Control Evaluations based on the Risk Determination Procedures, with a proportional number of all certified Small Producers' Organizations. These

evaluations are carried out through field visits to the organizations, which are not charged for the visits, since a portion of payments for the certification process is used to contribute to a fund for conducting these Control Evaluations.

- b) Control Evaluations should be conducted with about 10% of organizations certified through a Document-based Procedure and about 5% of organizations certified through a Complete Procedure.
- c) The Control Evaluations should be carried out less than one month after the selected Small Producers' Organizations are notified regarding the upcoming visit. The Certification Entity must inform the Small Producers' Organization of the date selected.
- d) The Control Evaluation should be aimed at corroborating the information from the last report prior to Certification, especially focusing on any corresponding corrective actions.

(Valid until April 30, 2021, to consult new guidelines that will apply as of May 1, 2021, see [V11.0](#))

8 LIMITATIONS OF CERTIFICATION

8.1 TRANSFER OF CERTIFICATES FROM A 2ND LEVEL SPO TO A 1ST LEVEL SPO

In case of a 1st level SPO had separated itself from an 2nd level SPO, the CE must determine the applicable procedure, using the following criteria:

- a) The periods of the cycle of certification procedures must not exceed the maximum periods, including the time the 1st level SPP was part of the 2nd level SPO.
- b) The fact that the 1st level SPO was involved directly in SPP transactions of the previous SPO of 2nd level certified SPP, during the last year, previous to the application for the independent certification. Must be taken into account to establish the procedure to be applied.

8.2 IT IS NOT ALLOWED TO CERTIFIED 2ND LEVEL SPO WITHOUT INCLUDING ALL OF THE SPO OF FIRST LEVEL

In all cases, the criterion 1.16 of the General Standard, in which it is specified that the Standard must be applied for the entire organization whom desires the certification under its name, must be respected, as well as criterion 4.1.3 of the General Standard which states:

In the case of a second or third-level Small Producers' Organization seeking certification under this Standard, all of its members must be Small Producers' Organizations, as defined in this document, and for the purposes of this Standard, will be considered as part of the same organization.⁵

8.3 MENTION OF A 2ND LEVEL SPO IN THE CERTIFICATE

It is allowed that the CE issues the certificate of a 1st level SPO, mentioning the name (between parenthesis) of the 2nd level SPO to which the 1st level SPO belongs, as long as it does not create the impression that the 2nd level SPO is certified when it is not

8.4 DOUBLE SPP CERTIFICATION OF A 1ST LEVEL SPO

- a) A 1st level SPO cannot be certified independently if at the same time it is certified through a 2nd level SPO
- b) When a 2nd level SPO becomes certified, after one of its 1st level SPO becomes certified, the direct certification of the 1st level SPO will be suspended (because it is covered through the 2nd level SPO).

8.5 DOUBLE CERTIFICATION BY DIFFERENT CE PARALLEL

⁵ A Collective Certification Procedure to facilitate the certification for several 1st level SPO that are part of a 2nd level SPO, is being developed.

It is not allowed that a SPO is certified under the SPP program through more than one authorized Certification Entity

9. PROCEDURES FOR NON-COMPLIANCE WITH REGULATORY FRAMEWORK

In this section in particular we understand the Regulatory Framework to be the set of regulatory documents in the SPP system, with the exception of the Code of Conduct.

When cases of a failure to comply with the Regulatory Framework (as specified here) are detected, the main entity responsible for the process in all cases is the authorized Certification Entity. The first step is Suspension, as established in Section 9.1, and if a Suspension is not lifted, the next step will be Cancellation, as established in Section 9.2

9.1 SUSPENSION

9.1.1 Cause:

- i. Failure to renew the certificate opportunely
- ii. Failure to compliance with the Regulatory Framework⁶

9.1.2 Consequences for suspended SPOs:

- i. Not allowed to enter into new SPP commercial contracts with certified or registered operators.
- ii. Required to comply with current SPP contracts already in force.
- iii. Will remain in *SPP Global's* public lists of SPP small producers' organizations with the status of 'Under Review.' (It will be specified in a note that the 'Under Review' status signifies that it may be in any of the following sub-categories of status: Suspended, Expired Certificate, In Renewal Process, No Information Available).
- iv. The detailed status will be registered in the D-SPP (Digital information system) so that any SPO may verify the precise status, which may be the 'Suspended' status.
- v. In the case of a Small Producers' Organization, it will maintain the status of an organization signed up with *SPP Global*.⁷
- vi. Timelines for certification cycles in effect will not be interrupted. In other words, the timelines established in the most recent certificate for renewing such will remain in effect.

9.1.3 Lifting of Suspension:

- i. For the Organization to begin its certificate renewal process, any debts corresponding to *SPP Global* certification, membership and/or volume fees must be paid.
- ii. A Suspension will be lifted when the reasons for which this status was determined are declared to be resolved.
- iii. In addition, if there are pending debts for unpaid certification, they must be paid.

9.1.4 Responsible Entity:

The Certification Entity (CE) is the entity responsible for carrying out the suspension of a certificate.

The Procedure for the Suspension of a Small Producers Organization is as follows:

A) Steps to follow for Suspension

⁶ See clarification at the beginning of chapter

⁷ Possible details of consequences regarding rights and obligations Will be defined eventually in the Internal Regulations of SPP Global

1. Prior to suspension, the CE will send notifications in a timely manner and on various occasions, regarding the reason(s) for which suspension will proceed, potentially including the following:
 - i. The need to renew the certificate in accordance with the period for which it is in effect.
 - ii. Non-compliance with any aspect of the Regulatory Framework.
2. In the event that a Small Producers Organization does not start the process of renewal of its certificate after maximum two months of its expiration and once the corresponding notices have been sent, then the Certification Entity must notify SPP Global and suspend it immediately.
3. The CE will notify the SPO that has been suspended, by way of an official communication and with a copy sent to *SPP Global*, specifying the reasons for which this decision was made. The SPO or company will be asked to confirm that it received such communication.

B) Suspension Period

4. *SPP Global* will publish the new status acquired by the stakeholder on its Digital System for members of the SPP within 24 work hours.
5. Following the notification sent by the CE, the SPO should resolve the reason(s) for the suspension and give basic information on the corresponding actions implemented to the CE.
6. The CE should apply the corresponding procedures for processing cases of non-compliance.
7. The CE should notify *SPP Global* when the suspension has been lifted.
8. The notification will include information regarding the consequences of the suspension, in the interest of transparency and discouraging negative practices.

9.2 CANCELLATION

9.2.1 Cause:

Not resolving the reasons for which a Small Producers' Organization or Company was suspended.

9.2.2 Consequences

- i. Not allowed to conduct new transactions in SPP conditions.
- ii. Required to comply with SPP contracts, as long as the following is respected: Products subject to contracts signed when the entity was still certified or registered may be sold in the market as SPP products for up to a year in the case of products on an annual cycle, up to six months in the case of biannual production, and up to three months in the case of products in ongoing production.
- iii. In the case of a Small Producers' Organization, it will maintain the status of an organization signed up with *SPP Global* during the period covered by payment of the previous enrollment fee.

9.2.3 Lifting of Cancellation:

- i. The process should be reinitiated as an application for signing up as a new member. The Shortened Procedure will not apply.
- ii. The SPO or company must demonstrate that it resolved the causes for which its certificate was cancelled.
- iii. The minimum amount of time before applying for a new certificate is two years following the date of the notification of cancellation.
- iv. Any debt from unpaid fees corresponding to a previous certification must be paid

9.2.4 Responsible Entities:

- i. The CE is the entity responsible for carrying out the cancellation of a certificate.
- ii. *SPP Global* is responsible for cancelling the corresponding User's Contract.

9.2.5 Cancellation Procedures:

1. Both the CE and SPP Global should contact the Small Producers Organization in a personalized way to clarify the steps to follow to lift this suspension and the consequences of not carrying them out.
2. During the last 15 days of the period in which the SPO is suspended, SPP Global will send 3 notices of forthcoming cancellation if the suspension is not lifted.
3. if the corresponding situation is not resolved in each case once the deadline to lift the suspension has been met, the CE issues a Cancellation Opinion.
4. At the expiration of the term, the CE must request authorization from SPP Global to cancel the SPO in question. Once SPP Global approves this action, the CE will notify the SPO that its certification has been cancelled by way of an official communication (eventually by system) with a copy sent to *SPP Global*, explaining the reasons for which this decision was reached. When the notification is sent, it should ask the SPO to confirm that it was received.
5. *SPP Global* will eliminate the SPO from the official lists of SPP stakeholders.
6. *SPP Global* will send a notification to the entire database of SPP Stakeholders (SPOs and Final Buyers) to inform them that the SPO's certificate was Cancelled, with a copy sent to the Cancelled SPO and updating the status in the SPP's internal digital system. The organization is removed from the public list of certified OPPs.
7. The notification will include information regarding the consequences of the cancellation, in the interest of transparency and discouraging negative practices. Example:

“SPOs and companies that have had their certification cancelled may not enter into new SPP contracts nor may they become certified during a two-year period.”
8. Those Organizations that have abandoned certification due to lack of market or resources for certification and want to return, will not have to comply with the two-year period without certification to reapply; as long as they comply with the respective sanctions.

9.3 SANCTIONS

- i. In the event that the Organization of Small Producers does not comply with the established times to renew its SPP Certificate and wants to retake the SPP certification without having to wait the mandatory two years to request the certification again (point 9.b.5.7), you must pay a penalty fee.
- ii. The sanctions table according to the size of the SPP business of the small producer organization or company in question.

Sanctions	
Ranges by value of SPP Purchases in the previous cycle (USD)	Penalty to Pay
≤ \$10,000 to \$100,000	\$500
Over \$100,000 up to \$500,000	\$700
Over \$500,000 up to \$1,000,000	\$900
Over \$1,000,000 up to \$1,500,000	\$1,000
More than \$1,500,000	\$1,500

10. PROCEDURES FOR NON COMPLIANCE WITH CODE OF CONDUCT

- 10.1.** *SPP Global's* Procedures for Non-conformities will enter into operation if a failure to comply with the Code of Conduct is detected, or in the case of any non-compliance with the contract between the stakeholder and *SPP Global*, especially in the following cases:
- a. Use of the SPP logo in final products without having paid the corresponding user's fee to *SPP Global*.
 - b. Use of the SPP logo by an SPO or company without having a current certification or registration in effect.
 - c. Use of the SPP logo on products from small producers' organizations without a current certificate in effect
 - d. Sell products under the SPP without a valid certificate.

10.1.1. CAUSE:

Failure to comply with the SPP's Code of Conduct or failure to comply with the SPP User's Contract.

10.1.2. PROCEDURES:

1. *SPP Global* is notified of a case of failure to comply with the Code of Conduct or User's Contract by a Certification Entity or from any other source.
2. *SPP Global* activates the Procedures for Non-Conformities.
3. In line with the Procedures for Non-Conformities, the Non-Conformities Committee will make a decision regarding each case, according to the information available and with support from *SPP Global's* operations team.
4. The resolutions reached by the Non-Conformities Committee may be, while not exclusively, the following:
 - a) Request complementary information from the SPO or company in question and/or *SPP Global's* internal bodies or third parties.
 - b) Determine a Suspension, in the terms of Section 9.1 of this procedure⁸ indicating the conditions necessary for lifting the Suspension.
 - c) Determine a Cancellation, in the terms of Section 9.2 of this procedure⁸. A cancellation may be determined as a consequence of the failure to comply with the non-conformities indicated in the Suspension determination, or directly, in the case of infringements considered to be serious by the Non-Conformities Committee.
 - d) Make retroactive payment for use of the SPP and/or administrative expenses. (El pago retroactivo del uso del SPP y/o gastos administrativos.)
 - e) Formulate a legal claim for damages, demanding an award for damages. (Formular una demanda por daños y perjuicios, exigiendo reparación de daños.)
 - f) Remove products and materials from public places and distribution channels. (Retiro de productos y materiales de los espacios públicos y en canales de distribución.)
 - g) Notify that a legal claim will proceed. (Notificar que se procederá con una demanda legal.)
5. *SPP Global* will notify the SPO or company through a formal communication, with a copy sent to the corresponding CE, explaining the reasons for which the decision was reached, and requesting that the CE confirms it received the communication.
6. In line with that established in Section 9 of this procedure, when a Suspension has been determined, *SPP Global* will publish the new status acquired by the SPO or company, and in the case of a Cancellation, *SPP Global* will remove the SPO or company from its official lists.
7. In line with the Procedures for Non-Conformities, a decision by the Non-Conformities Committee may be appealed.

11. PROCEDURES FOR DESACTIVATION

When a voluntary deactivation has been requested, the main entity responsible for the processes to follow is *SPP Global*.

11.1. Cause: Lack of market and/or resources.

11.2. Conditions:

- i. The SPO or company must contact *SPP Global* to request that its certificate be deactivated at least 10 work days prior to the date when it expires.
- ii. It must be consistently current on payments for its annual enrollment with *SPP Global*, even when it does not conduct the certification process

11.3. Consequences:

- i. Not allowed to celebrate new SPP contracts.
- ii. Will remain on the SPP lists of SPOs and companies with an 'inactive' status for a maximum period of 5 years.
- i. The way in which the inactive status affects or not the participation like Member of *SPP Global*, will be defined by the *SPP Global's* Internal Regulation.
- ii. Timelines in the certification cycles will be interrupted, or in other words, when the process is reinitiated, it will follow the procedures corresponding to the moment in the cycle when deactivation took place

11.4. Reactivation:

When the renewal of a certification or is requested

11.5. Cancellation:

If the conditions specified above are not met, *SPP Global* will proceed with the cancellation of the certificate in the terms specified in Section 9.2 of this procedure⁸.

11.6. Deactivation Procedures:

- i. At least 10 work days prior to the expiration of a certificate, *SPP Global* will receive a request for deactivation from a small producers' organization, with an explanation of the causes.
- ii. If all the required conditions are met, *SPP Global* will approve the request from the organization, advising the latter of the amount to be paid to *SPP Global* corresponding to any unpaid fee, with a copy sent to the CE that carried out the last certification process.
- iii. The OPP must make a payment to *SPP Global* to cover the full amount of membership fee. *SPP Global* will inform the CE when such payment has been made, confirming the status of 'inactive'. In the event that a Small Producers Organization that is in the "Inactive" status does not pay 2 SPP Memberships fees in a timely manner, it will be suspended. After suspended, the SPO or Company will have two months to make the pending membership payments, otherwise it will be canceled.
- iv. *SPP global* will publish the new status of the organization in its official lists. If such status is cancelled due to failure to comply with the required conditions, *SPP Global* will remove the organization its lists.
- v. The CE will notify *SPP Global*, in line with the normal procedures, when the inactive organization has reinitiated its certification process.

⁸ With the difference that in this case *SPP Global* will be responsible for the process, instead of the OC.

12. ANACHRONISTIC PROCESS

- 12.1.** On an exceptional basis, “anachronistic” registration, certification or use of the *Small Producers' Symbol* is permitted, or in other words, in those cases in which the Certification and Registration processes do not follow the conventional chronological order, for example:
- a) One or several of the actors involved had not been granted Certification or Registration with the *Small Producers' Symbol* at the time of a commercial transaction of the product that is being placed on the final consumer market with the *Small Producers' Symbol*.
 - b) The original contract for a commercial transaction of a product for which there is the intention to sell in conditions corresponding to the *Small Producers' Symbol* did not comply with all of the Symbol's criteria since it was not originally destined for the Symbol's market.
- 12.2.** The conditions under which products may be sold on the market with the *Small Producers' Symbol* are the following:
- i. The actors involved in the production-commercialization chain are certified, registered or controlled in line with certification and registration procedures.
 - ii. An addendum to the contract is specified and/or implemented, and complementary payments are made to comply with the prices and other criteria in the standards for the *Small Producers' Symbol*.
 - iii. In all the cases of anachronistic certification, registration or use, the primary actors, specifically the Small Producers' Organizations and the Final Buyers involved must be informed and in agreement.
 - iv. The Final Buyer and the Small Producers' Organization must declare a justification for the use of this option. The actors must have approval from SPP Global for this justification and addendum to the contract.
 - v. The Small Producers' Organizations and Final Buyers involved must punctually register the transactions that fall within the category of anachronistic processes and must report these cases to the corresponding Certification Entity during the evaluation processes.