ÍNDEX

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

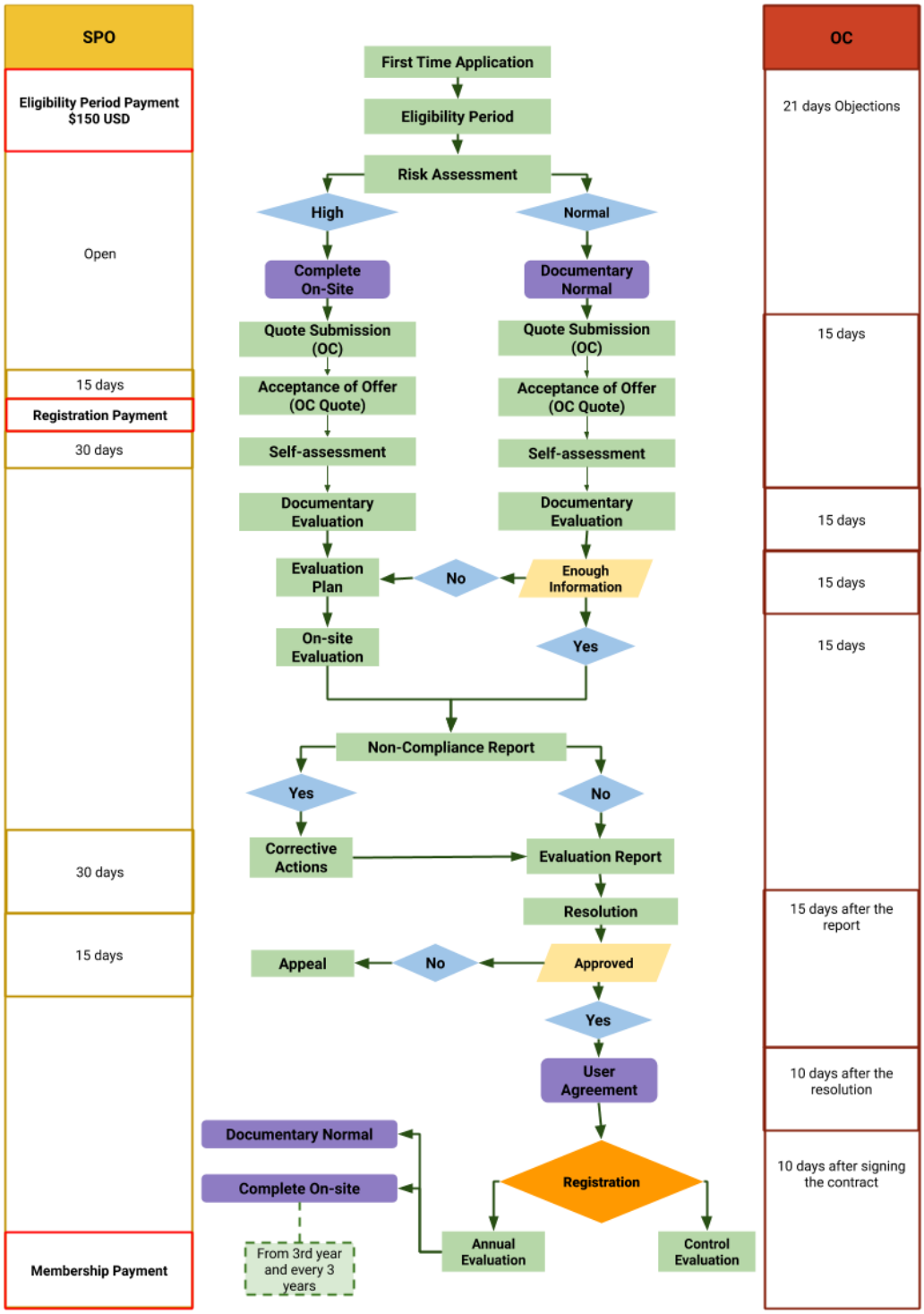
1.2 This document cancels and replaces:

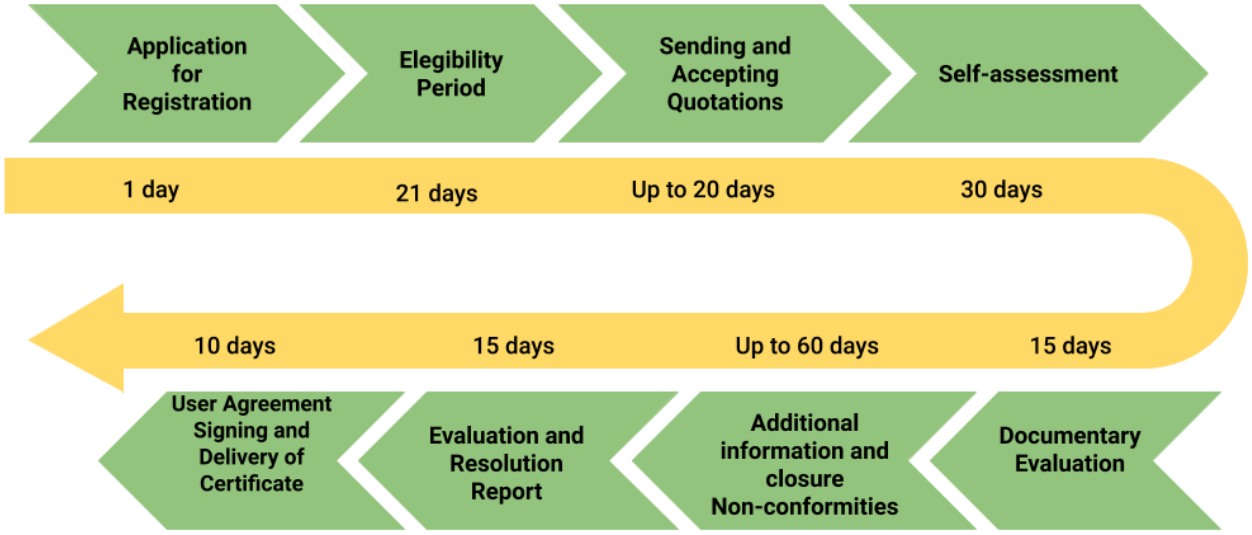
Registration Procedures for Buyers
Small Producers´ Symbol
Version 9.0 2020-11-19

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

1.4 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





Note:[1]

3. OBJECTIVE

To establish the procedures that must be carried out by the Certification Entity when registering Buyers, Collective Trading Companies owned by SPO´s, Intermediaries and Maquila Companies that comply with the General Standard of the *Small Producers´ Symbol.*

4. SCOPE

4.1 These procedures apply to all Final Buyers, Collective Trading Companies owned by SPO´s, Intermediaries and Maquila Companies that wish to apply for Registration based on the General Standard.

4.2 These procedures may be applied in combination with other registration procedures of other registration programs.

4.3 It is important to become familiar with all the procedures in order to understand the different parts of this registration process and the types of evaluations mentioned in this document, to then be able to apply each of the separate components correctly.

5. REFERENCES

To carry out 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*

[1] If there is an expeditious collaboration between all the actors, the minimum estimated time is 60 days. In case of complications in the Eligibility Process, the Certification Process can be extended up to 4 or 5 months.

c. Procedure for Defining the Work Plan for Evaluation
d. Dissents Procedures
e. Risk Determination Procedures
f. Examination Procedures
g. Regulation on Costs
h. Procedures for Issuance, Modification and Extension of Certificates and Registrations of Conformity
i. General Regulation for the SPP System Application
j. Collective Certification Procedure
k. List of Requirements for Final Buyers

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:** 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 Criteria**: 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:** The minimum criteria are mandatory, but will only be evaluated through evaluations that include an On-Site visit. Failure to comply 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 an On-Site 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 **Monitoring Evaluation:** A programmed evaluation that is conducted exclusively to evaluate the Corrective Actions requested in the resolution.

6.14 **Annual Evaluation:** An annual evaluation that is conducted to verify if the conditions under which registration was granted, have been maintained.

6.15 **Evaluate:** Applicant subject to an evaluation in order to obtain Certification or Registration.

6.16 **Evaluator:** A person assigned by *SPP Global* or the Certification Entity who is responsible for the process of evaluating the applicant.

6.17 **Objective Evidence:** Records, declarations of facts, or any other information that can be verified and reproduced.

6.18 ***SPP Global*:** Symbol of Organized Small Producers, a Civil Association (*Símbolo de Pequeños Productores Organizados, Asociación Civil*).

6.19 **Evaluation Findings:** Results of the evaluation of objective evidence, showing compliance or Non-Compliance with criteria.

6.20 **Intermediaries (INT)**: 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.

6.21 **Maquila Companies (MAQ):** Service providers that intervene in the trading or processing of products, but do not buy or sell these products.

6.22 **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.

6.23 **Offer:** Proposal for costs and characteristics of a service.

6.24 **Certification Entity (CE)**: CE authorized by *SPP Global* to operate the certification or registration program for the *Small Producers´ Symbol.*

6.25 **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.

6.26 **First-Level Small Producers' Organization:** SPO whose members are producers and individuals.

6.27 **Second-Level Small Producers' Organization:** SPO whose members are first-level SPOs (and occasionally members of a first level SPO and/or individuals).

6.28 **Third-Level Small Producers' Organization:** SPO whose members are second level SPOs (and occasionally members of a first level SPO and/or individuals).

6.29 **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).

6.30 **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*.

6.31 **Initial Procedure:** Evaluation of both the Eligibility Process criteria (by SPP Global) and the criteria for the Document-based Evaluation (by the Certification Entity).

6.32 **Documental based Evaluation:** It involves evaluating in a documentary way the fulfillment of all applicable Critical Criteria from the General Standard by the Small Producers' Organization to be Certified/ Companies to be Registered. This task is to be performed by the Certification Entity.

6.33 **Complete On-site Evaluation:** It consists of evaluating on site all the applicable criteria (critical, minimum and continuous improvement) from the General Standard by the Small Producers' Organizations/Companies to be certified/registered. This task is to be performed by the Certification Entity.

6.34 **Applicant:** Those applying for Certification or Registration with the *Small Producers´ Symbol*.

6.35 **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 REGISTRATION OPTIONS AND TYPES OF EVALUATION

i. Following are the current Registration Procedures and Evaluations to obtain or renew the SPP Registration:

1. **Initial Procedure:** Evaluation of both the Eligibility Process criteria (by SPP Global) and the criteria for the Document-based Evaluation (by the Certification Entity).
2. **Documental based Evaluation:** It involves evaluating in a documentary way the fulfillment of all applicable Critical Criteria from the General Standard by the Companies to be Registered. This task is to be performed by the Certification Entity.
3. **Complete On-site Evaluation:** It consists of evaluating on site all the applicable criteria (critical, minimum and continuous improvement) from the General Standard by the Small Producers' Organizations/Companies to be certified/registered. This task is to be performed by the Certification Entity.

ii. The certification cycle is shown below:

First Time	**Year 0**	**Initial Procedure**
	Year 1	Document-based Evaluation
	Year 2	Document-based Evaluation
Renewal	**Year 3**	**Complete On-Site Evaluation**
	Year 4	Document-based Evaluation
	Year 5	Document-based Evaluation
Renewal	**Year 6**	**Complete On-Site Evaluation**
	Year 7	Document-based Evaluation
	Year 8	Document-based Evaluation
Renewal	**Year 9**	**Complete On-Site Evaluation**

**Note: During the three years of validity of the certificate, annual evaluations must be carried out. For the renewal of the certificate, a complete evaluation must be carried out In Situ (See chapters 7.17 and 7.17.1)*

iii. If the applicant prefers, the Complete On-site Procedure may be applied in any case, instead of the Document-based Procedure.

iv. If there were no SPP transactions in the previous year, Document-based Procedure may be applied instead of Complete On-Site Procedure

v. If in the previous year there have been SPP transactions, Complete On-Site Procedure must be applied, even though the SPP number of transactions is low.

vi. Companies that handle SPP transactions with a value less than or equal to US $ 350,000 per year in the immediately preceding cycle, involving a maximum of three Small Producers' Organizations and less than 5 annual import transactions in the immediately preceding cycle, may opt for a complete remote evaluation rather than undergoing the usual on-site evaluation every third year. [2].

vii. In cases when SPP transactions are more than US $ 3,000,000.00, in all cases Complete On Site Procedure must be applied

viii. In any case, if the Document-based Procedure does not provide sufficient information to establish compliance with the Critical Criteria specified in the General Standard, it must be complemented with an on-site Evaluation.

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.

x. Non-conformity notes, changes in legal status and other drastic changes in a company´s 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*.[3]

7.2 *APPLICATION FOR REGISTRATION*

i. Final Buyers, Small Producers' Organizations Marketers, Intermediaries and Maquiladoras interested in the Registration can contact *SPP Global*, or request, through the website or by email, a package including the following information:

a) *Small Producers´ Symbol* Handbook

b) General Standard of the *Small Producers´ Symbol*

c) Declaration of Principles and Values of the *Small Producers´ Symbol*

d) Code of Conduct of the *Small Producers´ Symbol*

e) Application Form for Registration and Use of the *Small Producers´ Symbol*

ii. *SPP Global* clarifies any doubts expressed by the applicant;

iii. *SPP Global* informs the companies that they must send their application through the D-SPP digital system and take the necessary actions;

iv. The applicant's authorized representative must send the Application for Registration duly completed, using the SPP digital system[4];

v. Interested parties must attach Organic Certificates or similar to the applications for Registration of those products to be included in the SPP certification.

vi. *SPP Global* will review the Registration Application for correct completion; and approve or reject it;

[2] The third-year distance evaluation shall be complete (Complete Distance Evaluation), evaluating Critical, Minimum and Continuous Improvement Criteria of the SPP general standard

[3] After the application of the Complete Procedure On Site, the Document-based Procedure is applied two continuous years, as established in 7.1.2

[4] As of September 1, 2016, all Final Buyers applying for D-SPP registration for the first time or renewing their registration must submit their application through the digital D-SPP system. In addition, they must carry out the actions indicated in the D-SPP instructions for Final Buyers...

vii. If the application is not properly completed, *SPP Global* informs the Applicant to submit a corrected or supplemented version;

viii. At the time *SPP Global* receives the application, an SPP Identification Code (#SPP) is assigned.

Note: Companies should, as far as possible, indicate the SPP Identification Code (#SPP) on all documentation generated for commercial transactions of products certified under the Small Producers' Symbol.

7.3 *ELIGIBILITY PROCESS*

Once the Registration Application is submitted and the Initial Application Fee has been verified, corresponding to $150 U.S.D, the Eligibility Process begins for which 21 days are established.

i. The Evaluation Report (for the Eligibility Process) must be completed in all cases, as part of the Eligibility Process. 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 Process 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;

ii. Request for additional documentation and information from the evaluated party;

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 Buyer, 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 for the *Small Producers' Symbol,* the Certification and Quality area of *SPP Global* notifies the CB, no later than the end of the 14-day period, to start the registration 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 registration process or not, within a maximum of two days after the CI's resolution. A negative resolution implies that the registration 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:
    - Constitutive Act and, if there have been modifications to the statutes, to present current Statutes;
    - Current certificates (Organic, fair trade, etc.);
    - List of suppliers of companies contracted for processing and/or marketing;
    - Recommendation Letters of the following types (optional);
        A. National SPP Committee if any
        B. Companies-SPP in the country if any
    - 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. 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.

iii) Phase 3: Make an on-site visit

13. 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.
14. 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.
15. 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.
16. 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:

a) The first time when the applicant has a properly complemented Application for Certification

b) 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 states its decision to have the Full Procedure applied In Situ from the first time.

iii. 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 Process, the Certification Entity will prepare the Offer for the Registration Process; considering Risk Determination described in previous paragraph.

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 Registration Process.

iii. The Offer for the Registration Process is sent to the Company for acceptance.

7.6 SPECIFIC EVALUATIONS

i. DOCUMENT-BASED EVALUATION

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 complete 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 the Small Producers' Organizations with which it has a commercial relationship, including minimally the following information:

    a) Names of the Small Producers' Organizations
    b) Addresses
    c) Estimated volumes purchased from each Small Producers' Organization
    d) Data Contact

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 Critical Criteria in the General Standard including:

    a) Constitution
    b) Description of company's structure and the group to which it belongs, including a description of its infrastructure.
    c) Description of Control System for Product Flow
    d) List of the subcontracted entities that intervene in the processing and trading of products, when applicable
    e) Documents that support its administrative and accounting system
    4. Company's history (Year of Foundation, Institutional objectives, primary achievements, products and suppliers)

5. Receipt for payment of the Document-based Evaluation Fee.

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. Legal authorizations
    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 Commercial Working Plan

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 Registration 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 company 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 an On-Site Evaluation for establishing compliance with the General Standard. In such case, the evaluator must present the reasons for this need and present an On-Site 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 On-Site visit conducted in order to corroborate the missing information, and following the guidelines for defining the days in the On-Site 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 "Final Evaluation Report" 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 stop 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.

COMPLETE ON-SITE EVALUATION

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 complete 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 the Small Producers' Organizations with which applicant has a commercial relationship, including minimally the following information:

a) Names of the Small Producers' Organizations
b) Addresses
c) Estimated volumes purchased from each Small Producers' Organization
d) Data Contact

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 Critical Criteria in the General Standard, including:

a) Constitution
b) Description of company's structure and the group to which it belongs, including a description of its infrastructure
c) Description of Control System for Product Flow
d) List of the subcontracted entities that intervene in the processing and trading of products when applicable
e) Documents that support its administrative and accounting system

f) Most recent Annual Commercial Report
g) Valid Commercial Working Plan

4. Company´s history (Year of Foundation, Institutional objectives, primary achievements, products and suppliers)

5. Receipt for Payment of the Document-based Evaluation Fee.

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 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 reviews 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 On-Site evaluation will be conducted. It will also specify the list of documents that the Applicant must have available during the on-site evaluation, and the responsibilities to be fulfilled by the Applicant in attending to and accompanying the evaluator.

c) The Evaluator or the Certification Entity will send the applicant the Evaluation Plan.

d) The proposed estimated costs for this service, and its scope is attached. The applicant must then send its approval and a receipt for payment for this service.

e) The Evaluator or the Certification Entity will establish the date and time, and other information regarding the visit, in agreement with the applicant.

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 failures to comply.

H. Development of Evaluation Findings:

a) The evaluator must review all findings to determine if any of them should be reported as failures to comply. 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 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:

- Self-evaluation completed: 30 calendar days
- Complementary information sent: 30 calendar days
- 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.

L. Go to point "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

c) The evaluator, using the information from the Evaluation Form and the eventual corrective actions presented by the Applicant, will write the Evaluation Report, and will present it to the certification entity.

7.8 REGISTRATION DECISION

a) After the evaluator has presented the Evaluation Report with its corresponding attachments to the Certification Entity, the report will be evaluated by 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.

7.9 POSITIVE NOTIFICATION FOR THE RESOLUTION AND USER´S CONTRACT

i. The Certification Entity (CE) should send an email to notify the evaluated entity 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 evaluated entity may sign them.
ii. The evaluated entity should sign the contract, and send it to the CE, which will send it on to SPP Global.
iii. The signing of the User's Contract and its attachments currently in effect permits a buyer or stakeholder to use the Symbol after its certification has been granted.
iv. The enterprises that acquire their Small Producers´ Symbol registry for the first time should sign the User's Contract and a Confirmation Receipt confirming that it has been received.
v. The enterprises that renew their registry 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.

7.10 SPP Global ANNUAL MEMBERSHIP PAYMENT

a) When the OC submits the registration quotation, the OC must report in the same quotation the annual membership amount to be paid to *SPP Global* at the end of the evaluation process.

b) Payment of both Membership and Volume Fee or User Fee is to be made annually, taking into account the month in which your original certificate was issued.

c) The official deadline for making *SPP Global* membership payments directly to *SPP Global* is set out in the Regulations on Cost. The annual membership payment will be made:

- At the time the Registry is issued, for first-time application
- Before carrying out the evaluation (Document-based or On-site), from the second year of having obtained the registration.

d) In order for the Organization / Company to start with its evaluation, whether it is Document-based or Complete On-site, it must have paid the eventual debts concerning its SPP Global certification / registration, membership fee and / or volume fee / user fee.

e) Membership payment, when applying for registration renewal, will not be refunded if the registration process is not positively concluded.

f) In exceptional cases, *SPP Global* may authorize the registration renewal if there is a payment agreement between the evaluated entity and *SPP Global*

7.11 *GRANTING REGISTRATION*

a) By sending the signed User Agreement and Acknowledgement of Receipt from the FB, the Certification Entity can deliver the Registration.

1. Evaluation Report
2. Resolution
3. Registration, on form authorized by *SPP Global*.
4. User´s Contract signed by *SPP Global*

b) The Certification Entity must prepare a file on this service with a copy of all the documents mentioned above.

c) After of have been received the Registration of Conformity, Buyers will pay to *SPP Global* for the use of the SYMBOL when the first Report of use is delivered. This information is explained in the SPS Handbook and the Regulations on Costs

7.12 VALIDITY OF REGISTRATION

a) Registrations will be valid for 3 years, involving an obligation to carry out intermediate annual document-based evaluations. (See Section **¡Error! No se encuentra el origen de la referencia.** on the timeline for evaluations)

b) To renew an SPP Registration, a complete On-Site evaluation must be carried out every three years after having obtained a certificate for the first time.

c) The date of entry into force of the renewed registration is the same initial date (dd/mm) as the previous certification.

7.13 PUBLICATION OF REGISTRATION

a) After the evaluate obtains the corresponding registration, the Certification Entity must maintain a directory with all organizations granted Registration. 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 Registration, sending the signed User's Contract and copies of the Resolution and Registration. In a maximum period of 10 natural days.

c) When *SPP Global* receives notification of new registration, it will publish an updated list of registered companies.

d) Whenever a company has acquired 'Registered' status or has regularized its Registration, SPP GLOBAL will notify the entire SPP actors database.

7.14 NOTIFICATION OF NEGATIVE DECISION

1. If the Decision 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.
2. If the evaluate does not agree with the Decision, it may initiate an Appeal Process with the Certification Entity, following Dissent Procedures.

7.15 *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.

7.16 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.

7.17 ANNUAL EVALUATIONS

a) To assure that the applicant maintains the conditions under which the Registration was granted, the Certification Entity conducts Annual Evaluations, Document-based or On.Site.

b) Before starting any evaluation, the information that you have provided in your first request must be confirmed or updated through the D-SPP platform.

c) 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, a Company must have a Registration 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.

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 Evaluation, the next one should be a Complete On-Site Evaluation, including a Field Evaluation. If the previous procedure was a Complete On-Site Evaluation,

then a Document-based Evaluation follows, but only if there are no specific reasons for applying a Complete On-Site Evaluation, as in the case of dissents or the application of Risk Determination Procedures.

7.17.1 *MAXIMUM TIMELINES FOR ANNUAL EVALUATIONS*

a) Document-based Evaluations will be carried out annually and must be concluded no later than the same date (month and day) on which your SPP Certificate / Registration (Document-based Evaluation Deadline) was issued.

b) For the document-based evaluation process to be completed in a timely manner, it is recommended to start the evaluation 3 months before the deadline of your SPP Registration. The D-SPP platform will send reminders for the member to start their process on the recommended evaluation date.

c) The complete On-Site Evaluation must be concluded no later than on the certificate expiration date, so it is recommended to start with said evaluation 4 months in advance.

d) No process may be advanced more than five months before its evaluation deadline (Document-based or Complete On-site)

e) If deadlines established for the annual evaluations are not met, regardless of whether an evaluation is in process or has not yet started, the Registration will be suspended (see below).

f) As soon as the evaluation has begun, the company must adhere to the maximum timelines indicated in the Diagram for the Registration 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

g) 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.

h) If the evaluate fails to send the necessary documentation, the CE should send reminders every 30 calendar days, requesting the information.

i) 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.

j) 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 registration renewal process will be terminated, and the registration will be cancelled. If the company 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 registration.

k) Based on the total number of days granted to the company 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 company´s registration, 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 registration's cancellation will be issued in accordance with that established in section 9.2 of these Procedures.

7.18 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 companies. These evaluations are carried out through On-Site visits to the companies, 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 those registered through a Document based Procedure and about 5% of those registered through a Complete Procedure.

c) The Control Evaluations should be carried out less than one month after the selected Buyers, C-SPO, Intermediaries, and Maquila Companies are notified regarding the upcoming visit. The Certification Entity must inform them of the date selected.

d) The Control Evaluation should be aimed at corroborating the information from the last report prior to Registration, especially focusing on any corresponding corrective actions.

7. LIMITATIONS OF REGISTRATION

8.1 DOUBLE REGISTRATION FOR DIFFERENT CERTIFICATION ENTITY IN PARALLEL

It is not allowed that a Company is registered under the SPS across any 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 SPS 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:

- Failure to initiate the annual evaluation (Document-based or On-site)
- Failure to compliance with the Regulatory Framework[2]

9.1.2 Consequences

- Not allowed to enter into new SPS commercial contracts with registered operators.
- Required to comply with current SPS contracts already in force.
- Will remain in *SPP Global*'s official lists of companies with the status of 'Suspended.'
- The status specified in the D-SPP (digital info system) (Define) will be recorded so that any SPP actor can consult that status, which may include the status 'Suspended.'
- Timelines for registration cycles in effect will not be interrupted. In other words, the timelines established in the most recent registration for renewing such will remain in effect.

9.1.3 Lifting:

- The Suspension is lifted when reasons for the determination of such status are resolved.
- In addition, any pending registration debts, membership or any other concept must be paid.
- *SPP Global* must verify the last OC suspension and/or cancellation report to confirm that there is no breach of the Regulatory Framework by the enterprise before it can begin its SPP Certificate renewal process.

9.1.4 Responsible Entity: The OC is the entity in charge of carrying out the registration suspension.

The Procedure for the Suspension for Buyers and other stakeholders is as follows:

a) Steps to follow for Suspension

1. Prior to suspension, the CE will send notifications in a timely manner and on various occasions, to emphasize the reasons for proceeding with the suspension, which may be:
    i. Failure to comply with the established times to carry out the annual evaluations (Document-based or On-Site).
    ii. Non-compliance with any aspect of the Regulatory Framework
2. In the event that a Company does not start the annual evaluation and once the corresponding has been sent, then the Certification Entity must notify SPP Global and suspend it immediately.
3. In the event that an Organization is suspended and then resumes its evaluation process (Document-based or On-site), the suspended status will be maintained until a Resolution or a new valid Certificate is issued, without modifying the renewal date (dd / mm) of the initial certificate.
4. If the Organization is suspended and does not start its evaluation (Document-based or On-site) within a maximum period of 1 month, the Certification Body proceeds to cancel it.
5. The CE will notify at the company 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 company will be asked to confirm that it received such communication.

B) Suspension Period

6. *SPP Global* will publish the new status acquired by the stakeholder on its Digital System for members of the SPP within 24 work hours.
7. Following the notification sent by the CE, the Company should resolve the reason(s) for the suspension and give basic information on the corresponding actions implemented to the CE.
8. The CE should apply the corresponding procedures for processing cases of non-compliance.

9. The CE should notify *SPP Global* when the suspension has been lifted.

10. 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 Company was suspended

9.2.2 Consequences

- Not allowed to conduct new transactions in SPS conditions.
- Required to comply with SPS contracts, as long as the following is respected: Products subject to contracts signed when the entity was still 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.

9.2.3 **Lifting of Cancellation**

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

9.2.4 **Responsible Entities**

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

9.2.5 **Cancellation Procedures**

1. Both the OC and SPP Global should contact the suspended Company 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 Company is suspended for not starting or following up with the annual evaluation, 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 company in question. Once SPP Global approves this action, the CE will notify to the company that its Regsitration 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 company to confirm that it was received.
5. *SPP Global* will eliminate the Company from the official lists of SPS stakeholders.

6. *SPP Global* will send a notification to the entire database of SPP Stakeholders (SPOs and Final Buyers) to inform them that the company's Registration was Cancelled, with a copy sent to the Cancelled company and updating the status in the SPP's internal digital system. The organization is removed from the public list of certified Company.

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 companies that have abandoned registration due to lack of market or resources for it and want to return, will not have to comply with the two-year period without registration to reapply; as long as they comply with the respective sanctions.

9.3 SANCTIONS

1. In the event that the Company does not comply with the established times to carry out the annual evaluations and wants to retake the SPP registry without having to wait the mandatory two years to request the registration again (point 9.b.5.7), you must pay a penalty fee.
2. The sanctions table according to the size of the SPP business of the company in question.

Sanctions	
Ranges by value of SPP Sales 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 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 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 procedure[5] indicating the conditions necessary for lifting the Suspension.
   c. Determine a Cancellation, in the terms of Section 9.2 of this procedure[5]. 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. Retroactive payment for use of the SPS and/or administrative expenses.
   e. File a lawsuit for damages and injuries, seeking compensation for damages.
   f. Removal of products and materials from public spaces and distribution channels.
   g. Notify intention to pursue legal action.
5. *SPP Global* L will notify at the 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 7.1 of this procedure, when a Suspension has been determined, *SPP Global* will publish the new status acquired by the Company, and in the case of a Cancellation, *SPP Global* will remove the Company from its official lists.
7. In line with the Procedures for Non-Conformities, a decision by the Non-Conformities Committee may be appealed.
8. In the event that SPP Global detects that an Intermediary or Maquilas registered under SPP is selling finished products under its brand and using the SPP Logo, without being registered as a SPP Final Buyer, it must pay 150% of the unpaid usage fee. , regardless of eventual actions related to the Registration process, such as suspension or decertification.

11. PROCEDURES FOR DEACTIVATION

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 Company must contact *SPP Global* to request that its registration be deactivated at least 10 work days prior to the date of the annual evaluation.

ii. It must be consistently current on payments for its annual enrollment with *SPP Global*, even when it does not conduct the registration process.

11.3 Consequences

i. Not allowed to enter into new SPS contracts.

ii. Will remain on the SPS lists of Companies with an 'inactive' status for a maximum time period of 5 years.

iii. The way in which the inactive status affects or not the participation like Member will be defined by the *SPP Global*'s Internal Regulation.

iv. Timelines in the registration 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 Lifting of the Deactivation: When the renewal of a registration is requested.

11.5 Cancellation: If the conditions specified above are not met, *SPP Global* will proceed with the cancellation of the registration in the terms specified in Section 9.2 of this procedure[5].

11.6 Deactivation Procedures

1. At least 10 work days prior to the annual evaluation date, *SPP Global* will receive a request for deactivation from company, with an explanation of the causes.

2. If all the required conditions are met, *SPP Global* will approve the request from the company, advising the latter of the amount to be paid to *SPP Global* corresponding to any unpaid fee for registration, with a copy sent to the CE that carried out the last registration process.

3. The Company must make a payment to *SPP Global* to cover the full amount of enrollment fee. *SPP Global* will inform the CE when such payment has been made, confirming the status of 'inactive.'

4. *SPP Global* will publish the new status of the company in its official lists. If such status is cancelled due to failure to comply with the required conditions, *SPP Global* will remove the company its lists.

5. The CE will notify *SPP Global,* in line with the normal procedures, when the inactive company has reinitiated its registration process.

6. In the event that a Company that is in the "Inactive" status does not pay 2 SPP Memberships fees in a timely manner, it will be suspended. After suspended, the Company will have two months to make the pending membership payments, otherwise it will be canceled.

[5] 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.