**Participatory Guarantee Systems (PGS) Self-Evaluation Form (SEF)**

This questionnaire is a free tool developed by IFOAM to assist and support PGS initiatives. IFOAM offers a free and voluntary assessment to PGS initiatives that apply for IFOAM PGS Recognition based on this Self-Evaluation Form. Successful applicants are granted the use of the IFOAM PGS Logo. More information on the IFOAM Recognition Program, as well as the Self Evaluation Form for download is available on the IFOAM website at: http://www.ifoam.bio/en/ifoam-pgs-recognition

**INTRODUCTION**

There are now many Participatory Guarantee Systems (PGS) serving thousands of small farmers around the world. While there is enormous diversity in how these initiatives have implemented the various functions of a PGS, the key characteristics have proven to be consistent around the world.

This is not an attempt (or even a proposal) to harmonize the way PGS are run internationally. The great strength of PGS is that the mechanisms are regionally appropriate and under the full control of the local stakeholders.

The purpose of this voluntary questionnaire is to provide PGS initiatives around the world with a “Self-Evaluation” tool to see how they are meeting the key PGS characteristics. It is also hoped that, very much in the spirit of PGS transparency, we share our answers with each other. In this way, we will achieve both a comprehensive global database of PGS as well as detailed information on operational procedures adopted around the world that we can use to strengthen the global PGS movement.

The order of the questions in this form generally tries to follow the logic of the PGS Concept Document “[Shared Vision, Shared Ideals](http://www.ifoam.bio/sites/default/files/page/files/ifoam_pgs_web.pdf)”, which formed the basis of these questions. This document can be found on the IFOAM PGS website. The IFOAM PGS Guidelines also provide a good framework for reference.

Though only one final submission should be made for each PGS initiative, your group may find it educational to have as many stakeholders as possible answer these questions including farmers, consumers, facilitating NGOs as well as national or regional level coordinating staff.

The results from the initiatives that wish to share their self-evaluations will be maintained and kept up-to-date online at the [IFOAM Online Global PGS Database](http://www.ifoam.bio/en/global-online-pgs-database). You may update your own SEF and send it to the IFOAM PGS Team at any time.

**HOW IT WORKS**

In this SEF, questions under each section are introduced by a short explanation of the context in which they should be understood. The possible answer for each question is either YES or NO, but to avoid a simplistic approach, all answers can be further elaborated and detailed information can be included. In many cases, it is clearly requested to provide an elaboration on a specific aspect of the answer.

Each question is phrased so that “YES” answers align with the desirable characteristics of PGS. That being said, not all questions require YES answers. Based on the PGS Concept Document “[Shared Vision, Shared Ideals](http://www.ifoam.bio/sites/default/files/page/files/ifoam_pgs_web.pdf)” and observations of PGS initiatives around the world, some of the questions are specially aligned with the **KEY CHARACTERISTICS** of a PGS. For those questions, it seems more important that all PGS are able to answer affirmatively. To make them easier to identify, those questions are marked as **IMPORTANT CHARACTERISTIC**. Please notice that all answers should be supported (e.g.: with reference to the Procedures Manual adopted by the PGS, by providing a scanned copy of a document, by an explanation of the related mechanisms in place, etc.).

The IFOAM PGS Committee and the IFOAM PGS Team hope that this document will inspire PGS initiatives to learn from and share with each other, as well as to educate other groups new to PGS about the many ways that PGS around the world have implemented core PGS values, in ways that are culturally appropriate to their region.

**The SEF and the IFOAM PGS Logo:**

The SEF is used as a basis for the assessment procedure that is carried out when a PGS initiative applies for official PGS recognition by IFOAM and use of the IFOAM PGS Logo. It is therefore very important that the PGS initiative applying to IFOAM in this context submits a complete version of the SEF, including as much detailed information as possible, together with all the available supporting documents.

For more information on the IFOAM PGS Recognition Program and the IFOAM PGS Logo, please visit <http://www.ifoam.bio/en/global-online-pgs-database>

For information on how to apply for the IFOAM PGS LOGO, please contact pgs@ifoam.bio.

**PGS NAME and CONTACT INFORMATION**

Name of the PGS:

Contact Person:       Year initiative launched:

Country(ies) Being Served:

Region(s) Being Served:

Address:

Phone:       Website:       Email:

Number of producers involved (not yet certified) in the PGS:

Number of producers currently certified by the PGS:

Area (in hectares) under organic management currently certified by the PGS, for:

Agriculture

Grazing

Wild collection

Other:

**Part A: SHARED VISION AND AGREED UPON NORMS**

Organic Agriculture is a holistic production management system, which enhances agro-ecosystem health, utilizing both traditional and scientific knowledge. Organic Agricultural systems rely on ecosystem management rather than external agricultural inputs. Any system of agriculture based on the Principles of Organic Agriculture can be regarded as “Organic Agriculture”. The principles guiding this vision can embrace goals relating not only to organic production goals but also to fair trade, the autonomy of local communities, cultural differences etc.

A shared vision means that all key stakeholders (producers, consumers, retailers and traders and others such as NGOs) collectively support the principles guiding the PGS initiative. Participation means that they are engaged since the initial design, contributing to choose and adopt the principles and standards that will be used by the group. This could be an international standard, a national standard, or an own private standard developed by the initiative, based on internationally recognized organic norms, including specific requirements that are suitable for local conditions.

**Question 1: Is our PGS based on generally recognized organic principles?**

 [ ]  Yes [ ]  No *(**Important Characteristic)*

**Question 2: Is our PGS based on an existing national, regional or international[[1]](#footnote-1) Organic standard or on our own private standard?**

 [ ]  Yes [ ]  No

*Please elaborate, specifying the standard on which the PGS is based. In case the standard goes beyond organic, please explain how (for example:* fair trade, respect for ecosystems, the autonomy of local communities, cultural differences etc.*):*

**Question 3: Is that standard approved in the** [**IFOAM Family of Standards**](http://www.ifoam.bio/en/ifoam-family-standards)**[[2]](#footnote-2)?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

**Question 4: Did all our stakeholders have an influence in the choice and adoption of our Organic Norms?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate on how the Organic Norms were selected (if existing beforehand) or developed and adopted by the stakeholders, describing the process leading to this. Please list key stakeholders who were involved in the process (only categories, not names of individuals):*

**Question 5: Are our norms easily available and accessible to all stakeholders or other interested parties?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate on how people can access the norms, including detailed information (These may be available for example through websites, public notices and stakeholder meetings):*

**Question 6: Do we have mechanisms in place to ensure farmers fully understand what they are agreeing to?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate, explaining such mechanisms and attaching documents in case they are available. Examples may include short summary of the standards, regular trainings, regular meetings or an office they can contact for more information about practices or allowable materials:*

**Question 7: Are Social Justice Principles embraced by our PGS?**

 [ ]  Yes [ ]  No

*Please elaborate, indicating for example how gender issues, food access and affordable food, fair wages or other equity issues are approached:*

**Part B: PROCEDURES TO VERIFY PRODUCERS’ COMPLIANCE AND UNDERSTANDING**

Mechanisms to verify producer’s compliance to the established norms should actively stimulate participation and encourage the stakeholders to embrace cooperation and provide learning opportunities.

The idea of ‘trust’ assumes that the every individual producer has a commitment to protecting nature and consumers’ health through organic production. Mechanisms for expressing trustworthiness can include a declaration (a producer pledge) via a private or witnessed signing of a pledge document. Whatever process is followed, it should be decided upon by and with the key stakeholders and can be revisited like any other formal record of an event and written arrangement.

In situations where producers may be unable to read and write, mechanisms will be set in place to engage these producers in ways that are appropriate to their culture and their situation. This might involve culturally specific ways of expressing group solidarity; it might be pictorial or some other hands on activity. In any case, the mechanisms should fit with the context.

**Question 8: Do our producers take a pledge, declaration, oath, or promise that they will follow the standards (written, verbally stated or documented in some culturally appropriate way)?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate on how this is done, providing a copy of the pledge, declaration, oath or promise and a document (please attach for example a scanned document or a video; documents can be provided in original language, with an English translation if available)*:

**Question 9: Is information (e.g. type of production, areas of compliance and non-compliance with the standard, brought-in inputs, etc.) created and maintained for each farm?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please include details on how information is created and maintained (for example, some groups use paper application, others use videos, etc.):*

**Question 10: Does this information include specific questions about farm operations to ensure procedures on the farm are in accordance with our accepted organic standards?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

**Question 11: Are annual on-site reviews carried out for every farm in our PGS?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate in case the answer is NO, explaining why not, how often the reviews are carried out for each farm, how are the reviewed farms selected, etc:*

**Question 12: Do member producers in general take part in the regular on-site review process not only as producers but also as reviewers?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate on how the on-site review is carried out, explaining who are the people involved (farmers, consumers, others, including non-members of the PGS):*

**Question 13: As a policy, can all stakeholders (producers, consumers, etc.), including those that are not directly part of the PGS group (e.g. other producers) visit the producers (Open Gate Policy)?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate:*

**Part C: DOCUMENTED MANAGEMENT SYSTEMS**

For an organic guarantee system to be transparent and to be able to deliver on a consistent and equitable basis, the PGS systems and procedures should be documented. The depth and complexity of this documentation will vary between PGS and can evolve over time. As with any quality assurance system, there is an expectation of ongoing improvement as lessons are learned and the organization gains experience.

**Question 14: Is the following information maintained by our PGS:**

 a) General Information about each farm / operation

 [ ]  Yes [ ]  No *(Important Characteristic)*

 b) Producer’s Pledge (or record if Verbal Pledge)

 [ ]  Yes [ ]  No *(Important Characteristic)*

 c) Record of onsite reviews, including findings summary

 [ ]  Yes [ ]  No *(Important Characteristic)*

 d) Record of attendance at local meetings

 [ ]  Yes [ ]  No

 e) Record of certification for each farm / operation

 [ ]  Yes [ ]  No *(Important Characteristic)*

 f) Is this information accessible to members of the public?

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate on how the members of the public can access this information, providing examples and (if available) indicating online resources, such as websites, or dedicated offices, etc. :*

**Question 15: Have efforts been made to minimize paperwork necessary to certification?**

 [ ]  Yes [ ]  No

*Please elaborate explaining how this has been done or, in case the answer is NO, please explain if there is a strategy in place in order to minimize paperwork:*

**Question 16: Does the PGS management system have additional mechanisms to mitigate risks of producer non-compliance going un-detected?**

[ ]  Yes [ ]  No

*Please elaborate:*

**Question 17: Is traceability ensured from the farm gate to the point of sale?**

[ ]  Yes [ ]  No

*Please elaborate:*

**Question 18: Are the steps to certification process, including the chain of responsibilities and decision making available to to the public?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate explaining how is it possible for stakeholders to understand the steps to certification:*

**Question 19: Can stakeholders find out which producers and which products are certified by the PGS?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate on what tools and strategies are adopted by the PGS group in order to communicate about the producers/products that are certified:*

**Question 20: Do participants involved in peer-review visits receive training before or during the peer-review?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate how this training is organized:*

**Question 21: Do experienced participants accompany new participants during peer-reviews in order to support them and promote experience exchange?**

 [ ]  Yes [ ]  No

*Please elaborate:*

**Question 22: Is there an internal mechanism in place to evaluate that the farm reviews were completed and that the decisions are consistent?**

 [ ]  Yes [ ]  No (Important Characteristic)

*Please elaborate:*

**Part D: HORIZONTALITY**

PGSs are intended to be non-hierarchical. This is reflected in the overall democratic structure and through the collective responsibility of the PGS. Responsibility should be shared and participants take turns in filling roles according to a rotation scheme, producers are directly engaged in the peer review of each other’s farms and the decision making process is transparent.

**Question 23: Is decision and policy making about PGS procedures made by either producers, consumers or regularly elected producer and consumer representatives?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate on the procedure adopted for electing producer and consumer representatives:*

**Question 24: Are there mechanisms in place to regularly review and improve PGS procedures and policies?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate, explaining in detail the mechanisms or in case the answer is NO, if there is any strategy in place in order to adopt such mechanisms:*

**Question 25: Are our PGS Procedures appropriate to the cultural context in which they are used (for example verbal pledges and video documentation in areas of low literacy)?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

**Question 26: Are producers and/or consumers or their representatives the primary decision makers about which producers are to be certified? (as opposed to a third party or separate organizational group)?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate, explaining in detail how is the primary decision about which producers are to be certified taken:*

**Question 27: If the PGS is a national initiative, is there room for local and regional variations to the rules and operational procedures as long as the main functional points are maintained? (For example, maybe the on-site review can be changed or added to as long as they stick to agreed basic standards)**

 [ ]  Yes [ ]  No [ ]  Not applicable

*Please elaborate, giving examples:*

**Part E: CONSUMER AND OTHER STAKEHOLDER INVOLVEMENT IN THE PGS**

Consumers and producers have complementary interests. One party produces organic products and the other party buys and consumes them. Thus, the idea behind engaging consumers in a PGS initiative has many benefits and is a feature of many established PGS groups. These benefits include strengthening the credibility of the PGS, by opening up to a “third eye” a certification process which is otherwise mostly based on second party, and broadening the market opportunities for the certified products. Also, consumers can share the workload of managing a PGS, provide valuable expertise in management and may also take a supporting role in the peer review process. Through involvement in the PGS, consumers acknowledge the value of organic food and happily pay fair prices for the products.

In case where consumers are not directly involved, it is important that the system be open to the participation of other stakeholders, such as supporting NGOs, university or government staff, national organic movement, etc. This involvement can take place at various levels, such as in the farm reviews, in the certification decisions, or in the strategic decisions on procedures and standards.

**Question 28: Do consumers and other stakeholders (non-producers) have the option of being active members of the PGS (e.g. participate in overall strategic decisions, in farm reviews, in the certification process and decisions, etc.)?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate, explaining in detail in which ways and at which levels consumers can actively participate in the PGS. In case the answer is NO, please explain why:*

**Question 29: Is our PGS initiative endorsed by any consumer group? This could include environmental organizations, health advocacy organizations, etc.**

 [ ]  Yes [ ]  No

*Please elaborate, explaining in detail how are consumers included in the Certification Process. In case the answer is NO, please explain why:*

**Part F: SYSTEMS FOR MANAGING NON-COMPLIANCE**

There will always be circumstances where producers are unable or fail to comply with the standards and norms of their PGS. In most cases it seems these non-compliances are minor in that they are mostly centered on the perennial challenge of record keeping, however, in some cases the non-compliance might be more serious, such as the deliberate use of a prohibited input or the mislabeling of product. It is logical then that the consequences for non-compliance should be graded to fit with the seriousness of the non-compliance.

Whatever the consequences might be, they should be agreed upon by the producers in advance, documented and presented to the producers as part of the agreement they make to follow the standards and norms. Where consequences for non-compliance are applied, these consequences should be handed out consistently and without favor, the process of applying them should be transparent and the outcomes should be publicly available through an appropriate pathway, such as a website or public notice.

**Question 30: Are there prescribed consequences for non-compliance?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate, explaining the categorization of non-compliances and the specific consequences. In case written documents where this is described are available, please provide a reference and a copy (e.g. operations manual):*

**Question 31: Is there a system for managing non-compliance, that at the very minimum de-certifies producers that have serious non-compliances with the standard?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

**Question 32: Are non-compliances and their consequences publicly available?**

 [ ]  Yes [ ]  No

**Question 33: Are producers in the PGS involved in the system for managing non-compliance?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate, explaining how does the system for managing non-compliance works or if written documents where this process is described are available, please provide a reference and a copy:*

**Question 34: Does the PGS initiative have mechanisms in place to avoid conflict of interest?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please explain:*

**Part G: MECHANISMS FOR SUPPORTING PRODUCERS**

There are several ways through which a PGS can provide support for farmers. Regular meetings and workshops to discuss technical and marketing issues is a useful mechanism for building the knowledge base and general collective capacity of a group. Also, experienced producers can share information and their experience with less experienced producers. Producers can also be supported through input from technical advisors, newsletters, farm visits, websites. The ability of producers to take advantage of these will depend on their levels of literacy and access to the media as a whole. For producers who have low levels of literacy it seems that regular interactions with technical advisors are important.

**Question 35: Is there a system for producers and other stakeholders (non-producer members) to participate in trainings or sharing meetings with other local member-producers of the PGS?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*Please elaborate, explaining how the system works. Include information on training for new comers (producers and non-producer members):*

**Question 36: Does our organization offer agricultural technical advisory services to producers?**

 [ ]  Yes [ ]  No

**Part H: SEALS AND LABELS**

A seal (official stamp) is used by a PGS to provide an official endorsement of key documents such as producer’s certificates. Certificates are usually renewed each year and thus the length of time the seal is valid for is usually noted on the same document. The use of the seal is controlled and managed by nominated persons (such as the PGS management committee).

Labels have a different purpose. They are attached to products by the producer and are intended to provide the consumer with evidence that their product is covered by an organic guarantee. The label usually carries the PGS logo and sometimes the producer’s number or code to enable consumers to trace the origin of a product if they choose to do so. Labels are of particular relevance when producers and consumers are isolated by distance.

**Question 37: Is there a seal or logo available for our farmers to use?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

*If yes, please paste or attach a copy of the logo and explain who owns or controls this logo?*

**Question 38: Does each producer receive an individual certificate or some proof of their certification status?**

 [ ]  Yes [ ]  No *(Important Characteristic)*

**Optional: Additional Questions on Sustainability of the Initiative**

**39: How is our PGS initiative funded now? Can the initiative be entirely self-funded in the future?**

**40: If producers pay a fee to be certified, do they feel it is a fair fee? What fee is charged?**

**41: Do producers and other stakeholders participate in the operation of the PGS to keep costs and overhead down? In which ways do they participate?**

**42: Do producers certified by our PGS get a price premium for their products on the market, or do they have better market access?**

[ ]  Yes [ ]  No

Please specify:

1. International examples include the IFOAM Standard and the Codex. Regional standards include the EU regulation, the East Africa Organic Product Standard, the Pacific Organic Standard. National standards include USDA Organic, JAS, Indian NPOP. [↑](#footnote-ref-1)
2. The IFOAM Family of Standards contains all standards officially endorsed as organic by the Organic Movement. IFOAM recommends to any initiative that relies on organic products or ingredients to consider referencing the IFOAM Family of Standards as a criterion for what constitute a trustworthy organic standard. [↑](#footnote-ref-2)