


	CERTFOR CERTIFICATION SYSTEM		
	PROCEDURE FOR THE DEVELOPMENT AND REVISION OF CERTFOR STANDARDS		
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## PROCEDURE FOR THE DEVELOPMENT AND REVISION OF CERTFOR STANDARDS

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## 1. INTRODUCTION

CertforChile is a non-profit independent organization with legal standing in Chile. This entity owns and administers the Chilean Sustainable Forest Management Certification System (CERTFOR) and is also responsible for the development and revision of its standards.

CertforChile members represent a wide variety of stakeholders interested in forestry and forest certification in Chile, such as forestry companies, small forest owners, and industries dependent on forest activity, national public authorities, non-governmental organizations, research institutes and academics, among others. Stakeholders can apply for membership of CertforChile without discrimination.

CertforChile is governed by a Superior Council responsible for policy decisions. The Superior Council is supported by the National Secretariat that administers CertforChile operations. Both organisms are permanent.

For the development and/or revision of CERTFOR standards, a temporary technical committee has been established to advise the Superior Council regarding these matters.

## 2. OBJECTIVE

To provide guidelines for the development and/or revision of CERTFOR standards as defined by CertforChile based on the requirements established by the PEFC Council in its normative documents.

## 3. SCOPE

This document presents the requirements that CertforChile shall fulfil as the CERTFOR Standardizing Body regarding the development and/or revision of CERTFOR standards.

This document was issued on January 6, 2014 and is available to all interested parties. It will be updated by the National Secretariat of CertforChile when necessary.

## 4. NORMATIVE REFERENCES

The following reference documents are essential for the implementation of procedures described in this document. For all documents -with or without a date- the latest edition is applicable, including any amendment.

- CertforChile Statutes.
- PS-02-13: Procedure for Addressing Complaints.
- PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards.

- PS-02-20: Stakeholder Mapping Procedure.
- ISO/IEC Guide 2: 1996, Standardization and Related Activities - General Vocabulary.
- PEFC ST 1001:2010: Standard Setting - Requirements.
- PEFC GD 1007-2012: Endorsement and Mutual Recognition of National Systems and their Revision.

## **5. TERMS AND DEFINITIONS**

The terms and definitions used in this document have been adapted from PEFC ST 1001:2010: Standard Setting - Requirements, in which the requirements for a certification system are described, and from ISO/IEC Guide 2: 1996, Standardization and Related Activities- General Vocabulary.

### **5.1. Consensus**

General agreement characterised by the absence of sustained opposition to substantial issues by any important part of the concerned interest and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments.

Note: Consensus need not imply unanimity (ISO/IEC Guide 2).

### **5.2. Disadvantaged Stakeholder**

A stakeholder who might be financially or otherwise disadvantaged for participation in the standard-setting process.

### **5.3. Enquiry Draft**

Proposed document that is available for public consultation.

### **5.4. Final Draft**

A proposed document that is available for formal approval.

### **5.5. Key Stakeholder**

A stakeholder whose participation is critical to the results of the standard-setting process.

## **5.6. Initial Draft**

A document prepared by the National Secretariat of CertforChile to initiate the process of development and/or revision of CERTFOR standards by the Technical Committee.

## **5.7. Normative Document**

A document that provides rules, guidelines or characteristics for activities or their results.

Note 1: The term “normative document” is a generic term that covers such documents as standards, technical specifications, codes of practice and regulations.

Note 2: “A document” is to be understood as any medium with information recorded on or in it.

Note 3: The terms for different kinds of normative documents are defined considering the document and its content as a single entity (ISO/IEC Guide 2).

## **5.8. Revision**

Introduction of all necessary changes to the substance and presentation of a normative document.

Note: The results of the revision are presented by issuing a new edition of the normative document (ISO/IEC Guide 2).

## **5.9. Review**

Activity of checking a normative document to determine whether it is to be reaffirmed, changed or withdrawn.

## **5.10. Stakeholder**

A person, group or organisation with an interest in the subject of standardisation.

Note: The nine major groups that have been defined by Agenda 21 of the United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro in 1992 provides an example of stakeholders involved in/concerned by sustainable forest management: (i) business and industry, (ii) children and youth, (iii) forest owners, (iv) indigenous people, (v) local authorities, (vi) NGOs, (vii) scientific and technological community, (viii) women, and (ix) workers and trade unions.

## **5.11. Standard**

A document, established by consensus and approved by a recognised body that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree or order in a given context.

Note: Standards should be based on the consolidated results of science, technology and experience, and aimed at the promotion of optimum benefits (ISO/IEC Guide 2).

## 5.12. Standardising Body

Body that has recognised activities in standardisation (ISO Guide 2).

Note: A standardising body for a forest management scheme/standard is a body which is responsible for the development and maintenance of standards for the forest certification scheme. The standardising body can be a PEFC national governing body or the standardising body can be separate from the governance of the forest certification scheme.

## 5.13. Working Draft

Proposed document that is available generally for comments or voting within a working group/committee.

## 6. STANDARDIZATION BODY

CertforChile is the standardization body of the Chilean Sustainable Forest Management Certification System (CERTFOR) and is responsible for the development and revision of its standards (reference document: CertforChile Statutes), in addition to the building of consensus and the formal adoption of standards, in accordance with the following requirements:

**6.1.** CertforChile has written procedures for the development and/or revision of CERTFOR standards, which describe:

- a) Its statutes and organizational structure (reference document: CertforChile Statutes).
- b) The procedure for a balanced representation of stakeholders (reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).
- c) The process of development and/or revision of standards (Chapter 7).
- d) Mechanisms to build consensus (Section 7.10).
- e) Mechanisms for the formal adoption of standards (Section 7.11).
- f) Record keeping (Chapter 9).

**6.2.** CertforChile shall make its standard-setting procedures publicly available in its website ([www.certfor.org](http://www.certfor.org)) and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.

**6.3.** CertforChile shall keep all records related to the process of development and/or revision of standards, providing evidence of compliance with the requirements established by the PEFC Council and CertforChile.

**6.4.** CertforChile shall establish a temporary technical committee responsible for the development and/or revision of CERTFOR standards. The technical committee will be comprised of 10 members elected by the Superior Council through a public call for candidates (reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards). CertforChile's National Secretariat shall be responsible for providing the necessary documents to ensure proper functioning of the technical committee.

**6.5.** CertforChile shall establish a procedure to respond to any substantive or procedure-related complaint regarding the standardization process. This procedure shall be available to all stakeholders (reference document: PS-02-13: Procedure for Addressing Complaints). Once a complaint is filed, CertforChile shall:

- a) Notify whoever filed the complaint that it has been received.
- b) Collect and verify all the information necessary to validate the complaint, then assess the subject of the complaint objectively and impartially, and make a decision in this regard.
- c) Communicate the handling procedures and the decision made regarding the complaint to whoever filed it.

**6.6.** CertforChile's National Secretariat will be the contact for receiving comments, concerns and complaints related to the development and/or revision of the CERTFOR standards. The National Secretariat shall be easily accessible: (i) by phone (+56 2 23341092), (ii) via e-mail ([info@certforchile.org](mailto:info@certforchile.org)), and (iii) through CertforChile's website ([www.certfor.org](http://www.certfor.org)).

## **7. DEVELOPMENT AND/OR REVISION OF STANDARDS**

### **7.1. Stakeholder Identification**

CertforChile shall identify relevant stakeholders for the objective and scope of the development and/or revision of CERTFOR standards. This identification will be made using stakeholders mapping methodology. This procedure shall include definitions of relevant stakeholders, reasons for considering these groups and important issues for these groups; and it shall further identify key and disadvantaged stakeholders and define mechanisms to successfully communicate with these stakeholders (reference document: PS-02-20: Stakeholder Mapping Procedure).

### **7.2. Disadvantaged Stakeholders**

CertforChile shall identify disadvantaged stakeholders for participation in the development and/or revision of CERTFOR standards. In addition, CertforChile shall determine the restrictions on their participation and proactively ensure that these stakeholders participate and contribute to the standardisation process (reference document: PS-02-20: Stakeholder Mapping Procedure).

### **7.3. Public Announcement of Initiation of the Standardization Process**

CertforChile shall make a public announcement that the process of development and/or revision of CERTFOR standards has started, and opportunistically invite stakeholders to participate through CertforChile's website ([www.certfor.org](http://www.certfor.org)) or through other appropriate means, such as national newspapers and magazines related to the forestry sector, to enable stakeholders to contribute to the process. The announcement and invitation shall include:

- a) Information about the objectives, scope and the steps of the standard-setting process and its timetable.
- b) Information about opportunities for stakeholders to participate in the process.

c) An invitation extended to stakeholders to nominate their representative(s) for the technical committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable (reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).

d) An invitation to comment on the scope and the standard-setting process. The CertforChile website ([www.certfor.org](http://www.certfor.org)) shall provide an accessible public space in order to facilitate comments regarding the process. A public record shall be kept of all comments.

e) References to public procedures in relation to the standardization process at CertforChile's website ([www.certfor.org](http://www.certfor.org)).

#### **7.4. Standardization Process Review**

CertforChile shall review the process of development and/or revision of CERTFOR standards based on the comments received with regard to the public announcement.

In addition, CertforChile shall establish a technical committee based on the nominations received according to Section 7.3. CertforChile's Superior Council shall be in charge of accepting or rejecting the nominations, and shall justify its decisions in relation to the requirements for a balanced representation on the technical committee and the resources available for the development and/or revision of standards (reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).

#### **7.5. Preparation of the Initial Draft**

CertforChile shall entrust the preparation of the initial draft to an external expert for each standard in the process of development and/or revision, based on an analysis of differences between current CERTFOR standards and the main ethical and international standards for forestry certification. The initial draft shall be approved by CertforChile's National Secretariat (reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).

#### **7.6. Technical Committee Organization**

The tasks of the technical committee shall be organized in an open and transparent manner, ensuring that:

a) Working drafts shall be available to all members of the technical committee, which shall initiate its task based on the initial draft prepared by CertforChile's National Secretariat, as the result of an analysis of relevant issues in other selected international standards.

b) All members of the technical committee shall have meaningful opportunities to contribute to the development and/or revision of the standards and to submit comments on the working drafts. For this purpose, the tasks of the technical committee shall be permanently coordinated by CertforChile's National Secretariat, which shall also manage logistics and planning of all meetings.

c) Comments and views submitted by any member of the technical committee shall be considered in an open and transparent manner, and their resolution and proposed changes shall

be recorded. CertforChile's National Secretariat shall keep minutes of all meetings and these shall be available to support the discussion and decision-making process.

d) The technical committee shall appoint a president for the period of time needed for the development and/or revision of standards. The president shall be the link between CertforChile's Superior Council and the technical committee.

(Reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).

## **7.7. Technical Committee Meetings**

For standardization purposes, the technical committee shall:

a) Hold meetings every two weeks to review and analyze the contents of the initial draft and make relevant comments.

b) Prepare an enquiry draft to be approved according to the rules of consensus defined by the technical committee (Section 7.10) after all necessary meetings have been held.

c) Present the enquiry draft to CertforChile's Superior Council for its approval.

d) Update the glossary according to the procedure established in "PEFC GD 1007 2012: Endorsement and Mutual Recognition of National Systems and their Revision".

## **7.8. Public Consultation**

CertforChile shall organize a public consultation on the enquiry draft for each standard under development and/or revision and shall ensure that:

a) The beginning and ending of public consultation is announced four weeks in advance and through the appropriate means.

b) The invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable.

c) The enquiry draft prepared by the technical committee through consensus for each standard in development and/or revision is publically available and accessible.

d) The public consultation has a duration of at least nine weeks.

e) Meetings are held to complement the public consultation process. Invitations to these meetings will be sent to all interested stakeholders at least four weeks in advance.

f) The CertforChile website ([www.certfor.org](http://www.certfor.org)) provides a public space that is accessible in order to facilitate the participation of stakeholders in the public consultation. A public record of the participation of stakeholders shall be kept in this space for consultation.

g) All the comments received during public consultation are recorded and considered objectively by the technical committee.



h) Once public consultation has come to an end, a summary containing the observations received and their corresponding analysis, organized by subject, shall be prepared, and be made available to the public at the CertforChile website ([www.certfor.org](http://www.certfor.org)). The information of changes made based on the public consultation shall be considered a result of the standardization process.

### **7.9. Pilot Testing**

When applicable, CertforChile shall organize pilot testing of the new standards and the results of those tests shall be considered by the technical committee.

The preliminary enquiry draft shall be applied on-site before the public consultation process. As a result of this pilot testing, appropriate actions shall be taken in order to incorporate recommendations and improvements leading to the enquiry draft, which shall be submitted for public consultation. The pilot testing results and the changes implemented shall be available for public consultation.

Note: Pilot testing is not required when past experience can substitute for pilot testing during the revision of a standard.

### **7.10. Building a Consensus on the Final Draft**

At the end of the period of public consultation and, if applicable, pilot testing, the technical committee shall meet to incorporate comments and prepare the final draft to be approved by CertforChile's Superior Council.

The decision of the technical committee to recommend the final draft of a standard to be approved by CertforChile's Superior Council shall be made by a minimum majority of 70% given a minimum quorum of four-fifths. In order to reach a consensus, the technical committee can use the following alternatives to establish whether there is opposition or not:

- a) A face-to-face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the president of the committee where there are no dissenting voices or hands (votes); a formal balloting process, etc.
- b) A telephone conference meeting where there is a verbal yes/no vote.
- c) An e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote).
- d) Combinations thereof.

In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s):

- e) Discussion and negotiation on the disputed issue within the Technical Committee in order to reach a compromise.
- f) Direct negotiation between the stakeholder(s) submitting the objection and the stakeholder(s) with different views on the disputed issue in order to reach a compromise.

g) Dispute resolution procedures: when the Technical Committee cannot reach an agreement in some issues, the creation of a specific working group will be done to collect more information in order to make a good decision.

(Reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).

#### **7.11. Formal Approval of CERTFOR Standards**

CertforChile's Superior Council shall formally approve each standard included in the process of development and/or revision of standards based on the consensus reached by the technical committee. The decision of the Superior Council shall be made by a minimum majority of 70% given a minimum quorum of two-thirds

#### **7.12. Documentation of Standardization Process**

All the information related to the standardization process shall be published at the CertforChile website ([www.certfor.org](http://www.certfor.org)).

CertforChile shall keep all records related to process of development and/or revision of CERTFOR standards. The records shall be kept for a minimum of 5 years and shall be available for an audit of CERTFOR's endorsement process and for stakeholders that request them.

#### **7.13. Publication of CERTFOR Standards**

CERTFOR standards, formally approved by CertforChile's Superior Council, shall be published opportunely and made accessible at the CertforChile website ([www.certfor.org](http://www.certfor.org)).

### **8. REVISION OF CERTFOR STANDARDS**

8.1. CERTFOR standards shall be revised at time intervals not exceeding 5 years in order to be adapted to changes in the economic, social and environmental context of forest certification in Chile and in the rest of the world, and to requirements established by the PEFC Council. The revision of standards shall follow the guidelines presented in Chapter 7 of this document.

8.2. The revision shall define the application date and transition date of the revised standards.

8.3. The application date shall not exceed a period of one year from the publication of the standard. This is needed for endorsement of the revised standards, introducing changes, information dissemination and training.

8.4. The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards requires a longer period.

### **9. AVAILABLE DOCUMENTATION**

#### **9.1. Documentation Management**

CertforChile shall keep all records related to the development and/or revision of CERTFOR standards, including meeting minutes and comments received, among others. These records

shall provide evidence of compliance with the requirements established by the PEFC Council and CertforChile. These records shall be kept for a minimum of 5 years and shall be made available to stakeholders requesting them.

## **9.2. Transparency and Public Availability**

The results of the development and/or revision of CERTFOR standards, in addition to draft documents, shall be publically available.