



Systain Consulting

Passion for Sustainability




Assessment

of the revised Slovak Forest Certification System
against the requirements of the PEFC Council

Report

1st April 2010

*Amended on May 5th 2010:
Inclusion of the comments of the Panel
of Experts and the related
adaptations.*

Client		<p>PEFC Council World Trade Center 1 10 Route de l'Aéroport 1215 Genève 15 Switzerland P +41 22 799 45 40 P +41 22 799 45 50 info@pefc.org www.pefc.org</p> <p>Secretary General: Mr. Ben Gunneberg</p>
Applicant Scheme		<p>Slovak Forest Certification Association T. G. Masaryka 24 SK - 960 53 Zvolen Slovak Republic</p> <p>Contact person: Mr. Hubert Palus</p>
Consultant		<p>Systain Consulting Schwäbisch Gmünd Honiggasse 35 73525 Schwäbisch Gmünd Germany</p> <p>P +49 7171 7774 78 F +49 7171 7774 51 berger@systain.com www.systain.com</p> <p>Assessment: Dr. Michael Berger Sophie Urmetzer</p>

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List of abbreviations¹

CoC	Chain of Custody
FMP	Forest management plan
GA	General Assembly
IIL	Indicator on individual level assessment
IRL	Indicators on Regional Level (NOT necessarily sufficient)
PEFC	Programme for the Endorsement of Forest Certification Schemes
PEFC C	PEFC Council
Req.	Requirement
SFCA	Slovak Forest Certification Association
SFCS	Slovak Forest Certification System
SR	Slovak Republic

¹ The abbreviations of the reference documents quoted in this report are listed together with the particular document in the tables of reference documents in chapter 1.4.

1 Introduction

1.1 Scope of the assessment

The assessment of the Slovak Forest Certification System aims to inspect whether the certification system meets the requirements of the PEFC Council and whether it fulfils the conditions for the endorsement by the PEFC Council. The requirements are documented in

- the PEFC Council Technical Document (chapter 4, 5, 6, 8)
- Annex 2 (Rules for Standard Setting)
- Annex 3 (Basis for Certification Schemes and their Endorsement)
- Annex 6 (Certification and Accreditation Procedures).
- PEFC ST 2001:2008 PEFC Logo Usage Rules - Requirements

The review was based on the documents provided by SFCS and on the results of a poll carried out among the identified stakeholders. It covers the following topics:

- A general analysis of the structure of the proposed Applicant Scheme (i.e. national PEFC forest certification scheme).
- An analysis of the content of forest certification standards as defined in the PEFC Council Technical Document, chapter 4 and Annex 3 (Basis for Certification Schemes and their Endorsement).
- An evaluation of the standard setting procedures as defined in the PEFC Council Technical Document, chapter 5 and Annex 2 (Rules for Standard Setting).
- An assessment of the scheme implementation procedures as defined in the PEFC Council Technical Document, chapter 6 and Annex 3 (Basis for Certification Schemes and their Implementation).
- An assessment of the certification and accreditation procedures as defined in the PEFC Council Technical Document, chapter 8 and Annex 6 (Certification and Accreditation Procedures).
- Any other aspects which can have an effect on the performance, the credibility and the efficiency of the proposed scheme.

The SFCS applies the International CoC Standard (cf. SFCS 1004). Hence no assessment of the CoC standard was done.

The PEFC Council Minimum Requirements Checklist provides a framework for the scope defined above. This checklist was amended by the PEFC Council Board of Directors on 4th February 2010. That means that the application of PEFC Slovakia² was submitted before these updates.

Systain Consulting was advised by the PEFC Council as follows:

- The assessment should consider the additional requirements of the checklist, approved on 4th February 2010.

² PEFC Slovakia is used by the consultants as synonym for "SFCA" in this report.

- The compliance conclusion should be done as for the other requirements.
- If this issue of the particular requirement is not covered by the scheme, then it shall be reported as non-conformity but additional information shall be included that this requirement was adopted after the national revision process was completed.
- The recommendation to the Board should then include a statement: “recommends the endorsement provided that the Board resolves the non-conformity a, b, ...”.

The additional requirements of the new checklist refer in case of the Applicant Scheme to the assessment of the scheme implementation. The three new requirements in the checklist are added as section “4.2.2.9 Additional requirements according to MRC/10”. The rest of the assessment report is orientated at the numbering of MRC/08. This ensures on the one hand the consideration of the new requirements and on the other hand the direct comparability of the predominant part of the assessment report with the Minimum requirement checklist of the applicant scheme.

1.2 Assessment process

The assessment was carried out in five main project steps:

- (1) Analysis of the certification system PEFC Slovakia (document analysis / desk research)
- (2) Clarification of open questions with PEFC Slovakia
- (3) Opinion poll among the identified stakeholders and evaluation of the replies
- (4) Draft of the interim report
- (5) Finalisation of the assessment report after receiving comments from PEFC Slovakia.

The schedule shown in Figure 1 illustrates the time frame for the assessment.

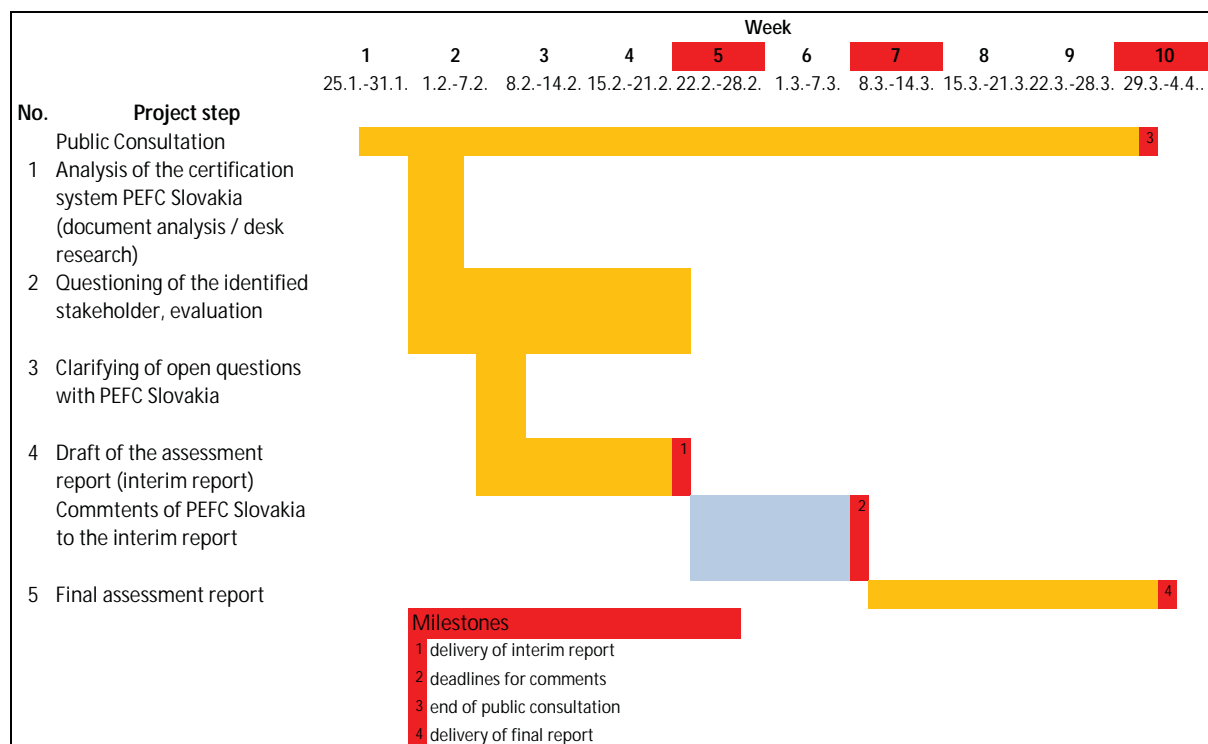


Figure 1: Schedule for the assessment

1.3 Methodology

The main instruments used for the assessment are

- 1) a document analysis including the desk research
- 2) an opinion poll and
- 3) an individual enquiry
- 4) Interim Report and comments

ad 1) Document analysis / desk research

The analysis of the PEFC Slovakia certification system formed the basis of the assessment. The different documents and the available information were analysed with regard to the compliance with the requirements of the PEFC Council. Particularly the assessment of the general structure of the system, the forest management standard, the standard setting process, the scheme implementation and the certification and accreditation process were components of the analysis.

ad 2) Opinion poll

The stakeholders identified and suggested by PEFC Slovakia were sent a questionnaire by email. In this questionnaire they had the possibility to comment on the revision process of the Slovak PEFC System in general and the standard development process in particular.

ad 3) Individual enquiry

The clarification of open questions provided a basis for an optimal understanding of the certification system and avoided excess work.

As a general note it has to be accentuated that these parts of the text which are adopted from the scheme documentation (e.g. quotations, tables or figures) **were basically not changed** by the consultants.

1.4 Reference documents

Document title	Version	Abb. used in this report
The PEFC Technical Document	5 October 2007	TD
Annex 1: Terms and Definitions	27 October 2006	
Annex 2: Rules for Standard Setting	27 October 2006	TD Annex 2
Annex 3: Basis for Certification Schemes and their Implementation	13 November 2009	TD Annex 3
Annex 4: Chain of Custody of Forest Based Products – Requirements	17 June 2005, last amendment 31 October 2008	TD Annex 4
Annex 6: Certification and Accreditation Procedures (5 October 2007)	5 October 2007	
Annex 7: Endorsement and Mutual Recognition of National Schemes and their Revisions	5 October 2007	
PEFC ST 2001:2008 PEFC Logo Usage Rules - Requirements	PEFC ST 2001:2008	PEFC ST 2001
PEFC Council Minimum Requirements Checklist	GL 2/2010	MRC/10
PEFC Council Minimum Requirements Checklist	GL 2/2008	MRC/08
Interpretation of the PEFC Council requirements for consensus in the standard setting process	GL 5/2006	GL 5/2006
Content of the Consultant's Assessment Report for Forest Certification Schemes	GLI 6/2005	GLI 6/2005

Table 1: Reference documents of the PEFC Council

Document title	Version	Abb. used in this report
Pan-European Operational Level Guidelines for Sustainable Forest Management (ANNEX 2 OF THE RESOLUTION L2)	April 1998	PEOLG

Table 2: Other reference documents

Document title	File Name	Abb. used in this report
SFCA application	SFCA_application.pdf	
PEFC Council Minimum Requirements Checklist	GL-2-2008 _ Check-list_SFCS_EN.pdf	MRC-SI
Report from the process of revision of the Slovak Forest Certification System – Development Report	Development_report.pdf	DR

Table 3: SFCS documents - general documents

Document title	File Name	Abb. used in this report
SFCS 1001:2009 Slovak Forest Certification System – description	TD_SFCS_1 001 _2009_EN.pdf	SFCS 1001
SFCS 1002:2009 Rules for certification of forest management	TD _SFCS _ 1002 _ 2009 _EN.pdf	SFCS 1002
SFCS 1003:2009 Criteria and indicators of sustainable forest management	TD_SFCS_1 003_2009_EN.pdf	SFCS 1003
SFCS 1004:2009 Chain of custody of forest based products – requirements (Annex 4 of the PEFC TD Chain of custody of forest based products – requirements)	TD _SFCS_1004_2009_EN.pdf	SFCS 1004
SFCS 1005:2009 Requirements for certification and accreditation of certification bodies operating certification of forest management	TD _SFCS _ 1005 _ 2009 _EN.pdf	SFCS 1005
SFCS 1006:2009 Requirements for certification and accreditation of certification bodies operating certification of chain of custody of forest based products	TD _SFCS _ 1006 _ 2009 _EN.pdf	SFCS 1006
SFCS 1007:2009 PEFC logo usage rules in the Slovak Republic (PEFC ST 2001:2008 PEFC Logo usage rules)	TD_SFCS_1 007_2009_EN.pdf	SFCS 1007

Table 4: SFCS documents - technical documents

Document title	File Name	Abb. used in this report
Minutes of public opening 13.11.2008	PO_minutes.pdf	
Minutes of 1. meeting of Technical Commission 13.11.2008	TC _ 1 _minutes.pdf	M1 TC
Minutes of 2. meeting of Technical Commission 13.5.2009	TC _ 2 _minutes.pdf	M2 TC
Minutes of 3. meeting of Technical Commission 27.8.2009	TC _ 3 _minutes.pdf	M3 TC
Minutes of SFCA General Assembly 1.10.2009	GA _ SFCA _minutes.pdf	M GA

Table 5: SFCS documents - minutes of meetings

Document title	File Name	Abb. used in this report
Press release – opening of the process (10.11.2008)	PR_open.pdf	
Press release – public consultation (1.6.2009)	PR_public.pdf	
Internet news (lesmedium.sk) - public consultation (15.6.2009)	Lesmedium_sk.html http://www.lesmedium.sk/clanok.php?id=1147	
Press release – end of the process consultation (15.10.2009)	PR_end.pdf	

Table 6: SFCS documents - public information

Document title	File Name
Invitation to public opening + list of invited stakeholders	Invitation_public_opening.pdf List_of_invited_public_opening.xls
Invitation to public consultation	Invitation_pc_e-mail.txt

Table 7: SFCS documents - invitations

Document title	Electronic file on CD-ROM	Abb. used in this report
SFCA Statute (Slovak version)	Stanovy_ZCLS.pdf	
ND-002 SFCS technical documents development and approval procedures	ND_002_EN.pdf	ND 002
ND-003 Guideline for PEFC notification of certification bodies operating forest management and chain of custody certification in the Slovak Republic	ND_003_EN.pdf	ND 003
ND-004 SFCA procedures for the investigation and resolution of complaints and appeals	ND_004_EN.pdf	ND 004
PEFC program objectives for sustainable forest management in the SR (Slovak version)	Programove_ciele_PEFC.pdf	

Table 8: SFCS documents – other documents

Document title	Description	Abb. used in this report
Statute	Statute of Slovak Forest Certification Association (SFCA) (English version). Source: Website of SFCS	Statute
Comments to the interim report on the assessment of the revised Slovak Forest Certification System against the requirements of the PEFC Council	Comments on the interim report and partial translation of documents in Table 5, Table 6 and Table 7	Comments ³

Table 9: Additional information⁴

³ The comments contain three categories of information: **1: Additional explanations and references** based on already available documents. These explanations are considered in the particular compliance conclusions. The conclusion is traceable without reference to the Comments. **2: Additional or new information.** This information is included in the available report as proof of evidence. **3: Translations or partial translations of documents provided in Slovak language.** These translations are not included in this report. The references point to the original document and are added with the hint “translation available to the consultant”.

⁴ These documents are provided on request (Comments) or found by the consultant (Statute) whereas the documents in the previous tables, identified as “SFCS documents” are provided by the applicant as part of the application documentation.

Source	Description
http://www.pefc.sk/en/	Website of SFCS (in English language)
http://www.pefc.sk	Website of SFCS (in Slovak language)
www.ilo.org	Website of the International Labor Organization

Table 10: Further sources of information⁵

1.5 Personnel involved in the assessment process

1.5.1 Systain assessment team

The assessment was carried out by *Dr. Michael Berger*. He was assisted by *Mrs. Sophie Urmetzer*.

Dr. Berger has been a Partner of Systain since December 2008. In the past, he worked in several projects related to forestry and brought these experiences and know how to Systain. He started working in forestry after his Ph.D. at the School for Forest Science and Resource Management at the Technical University of Munich. Dr. Berger is currently developing several CSR related projects in Germany, China and Ethiopia. He has extensive experience in the development and revision of PEFC certification systems and excellent knowledge about requirements and procedures in certification and accreditation processes.

(More Information about Dr. Berger can be found on <http://de.linkedin.com/in/drmichaelberger>).

Sophie Urmetzer is an expert in forestry and resource management. She is working with Systain since December 2008 as Junior Consultant and is developing international CSR projects research together with Dr. Berger.

1.5.2 Personnel in charge of the Applicant Scheme

PEFC Slovakia nominated Mr. Hubert Palus, Slovak Forest Certification Association, as contact person for the consultant.

Mr. Palus was responsible for the support of the consultant in case of the need of clarifying questions.

⁵ These further sources of information were used by the consultants to verify various statements in the scheme documentation and comments.

2 Recommendation to the PEFC Council Board of Directors

Systain Consulting recommends that the PEFC Council Board of Directors re-endorse the Slovak Forest Certification System.

PEFC Slovakia provided a comprehensive documentation of the Slovak Forest Certification System. The documentation is structured in the categories general documents, technical documents, minutes of meetings, public information, invitations and other documents and describes the standard revision process as well as the general processes and functions of the certification scheme.

The described processes and regulations are suitable to fulfil the requirements of the PEFC Council and therewith to support the safekeeping of the environmental, social and economic benefits that forests offer in terms of the PEFC objectives.

Discrepancies against the requirement of the PEFC Council for the endorsement of forest certification systems that were found during the first part of the assessment could be clarified by additional information provided by PEFC Slovakia. Especially the translation of several minutes in extracts delivered conclusive confirmation for statements in the Development Report.

The new requirements resulting from the amendment of the Minimum Requirement Checklist on February 4, 2010, based on the amendment of TD Annex 3 in November 2009, are fulfilled by the SFCS.

Furthermore, the transparency and openness of the revision process has been confirmed by information of stakeholders through a questionnaire.

3 Summary of the findings

3.1 Standard setting process

The standard setting process was analysed according to TD Annex 2 (Rules for Standard Setting) and the requirements deduced from this in the MRC.

PEFC Slovakia conducted an open and transparent standard revision process. The documentation clearly describes the different procedures and stages in the process. The early launch of the revision process, as described in the assessment schedule, allows a well-arranged approach. PEFC Slovakia describes how they identified the relevant stakeholders, which interest groups were invited for participation and which groups were involved in the particular tasks in the Technical Commission (Forum).

The procedures described are substantiated by minutes and other material documenting the process. In addition to the original documents, the material was partly available to the consultant in English.

The standard setting process complies with the requirements of the PEFC Council.

3.2 Scheme implementation

The analysis of the scheme implementation was conducted according to TD Annex 3 (Basis for Certification Schemes and their Implementation) and the requirements deduced from this in the MRC.

The SFCA is a legal entity. As National Governing Body it is responsible for the implementation of the certification scheme according to the regulations of the PEFC Council. The association represents the major part of the Slovakian forest owners and facilitates the integration of different interest groups.

SFCS currently offers a certification scheme on a regional level as the most suitable alternative for the conditions in the Slovak Republic. The scheme is integrated in the current international and national legal and administrative framework that is relevant for forest management.

The roles and tasks of the different actors in the scheme are described in a clear way.

The scheme implementation complies with the requirements of the PEFC Council.

3.3 Forest management standard

The forest management standard of the SFCS is based on the current Pan European Criteria and Indicators for Sustainable Forest Management as a common framework. The Pan European Operational Level Guidelines (PEOLG) formed the reference basis for the elaboration of the national certification criteria (cf. TD Annex 3).

During the assessment of the forest management standard, the consultants contacted SFCA twice asking for detailed explanation and exact legislative references. The additional information provided by SFCA allowed eliminating initial doubts concerning various elements of the standard. The explanations of the SFCA were conclusive and authentic.

The forest management standard complies with the requirements of the PEFC Council.

3.4 Chain of custody standard

The SFCS document 1004 Chain of custody of forest based products – requirements represents a Slovak translation of Annex 4 of PEFC Technical Document Chain of custody of forest based products - requirements and is part of the Slovak Forest Certification System. It was approved by the SFCA General Assembly without modifications.

No assessment of a chain of custody standard has to be done.

3.5 Implementation of the PEFC Logo usage rights

The SFCA General Assembly also approved the International Standard of the PEFC Council, PEFC ST 2001:2008 - PEFC Logo Usage Rules – Requirements as a part of the SFCS documentation (cf. DR, p. 4).

3.6 Certification and accreditation arrangement

The certification and accreditation arrangements were assessed according to TD Annex 6.

SFCA closely follows the requirements regarding the formal aspects of certification and accreditation and the regulations documented in the relevant international standards and guides.

The certification and accreditation arrangements comply with the requirements of the PEFC Council.

4 Analysis of the scheme

4.1 Assessment of the standard setting process

4.1.1 General

The standard setting process of the SFCS is described in six stages (cf. ND 002, 4, p. 3ff.): Proposal stage, preparatory stage, development stage, enquiry stage, Approval stage and publication stage. Table 11 gives a detailed overview on the stages, responsibilities and relevant documents in the process.

Stage		Responsibility	Document name	Technical document	Internal document
Proposal stage	Proposal definition	Secretariat	Document proposal	X	
	Proposal approval	SFCA Council		X	
Preparatory stage	Public announcement	Secretariat	Preparatory draft	X	
	Invitation of interested stakeholders	Secretariat		X	
	Technical Commission establishment	Secretariat/SFCA Council		X	
	Development of preparatory draft	Secretariat/person authorised by the SFCA Council		X	X
Development stage	Consideration of comments	Technical Commission/person authorised by the SFCA Council	Working draft	X	
	Consensus building	Technical Commission/person authorised by the SFCA Council		X	
Enquiry stage	SFCA members consultations	Secretariat/Technical Commission/person authorised by the SFCA Council	Enquiry draft		X
	Public consultations			X	
Approval stage	Report development	Technical Commission/person authorised by the SFCA Council	Final draft	X	X
	Document approval	SFCA General Assembly		X	X
Publication stage	Document publication	Secretariat	Technical/ internal document	X	X

Table 11: Stages, responsibilities and documents in the process of documentation development and approval (source: ND 002, p. 3f.)

According to the general organisational arrangements of the Slovak Forest Certification Association, the standard setting process respectively the whole revision process was initiated by PEFC Slovakia. Table 12 gives an overview on the particular steps of this process.

Date	Event	Object
April 3, 2008	SFCA General Assembly	SFCA GA informed its members on the necessity of periodical revision of the SFCS documentation. SFCA GA appointed the SFCA Council to prepare the revision proposal and to start the revision process.
September 24, 2008	SFCA Council meeting	SFCA Council members initiated the revision process through the approval of the revision proposal, which defined revision objectives, actual PEFC Council requirements for standard setting, areas of the revision, system requirements for the revised documentation, qualification requirements for experts, requirements for ensuring transparency and publicity during the revision process, and the expected timetable.
November 13, 2008	Public meeting	The official opening of the process of revision of the SFCS technical documentation place at a public meeting in Zvolen.
November 13, 2008,	First Meeting of Technical Commission	During the first meeting the members approved the Technical Commission's procedures and appointed a Chairman responsible for the verification of the minutes of the meetings and decisions of the commission.
December 31, 2008	End of consultation process	Following the public opening meeting, the SFCA secretariat organised a public consultation through the SFCA website in order to collect any comments and views of the public and certificate holders to the actually valid technical documents.
May 13, 2009,	Second meeting of the Technical Commission	Consideration of all comments submitted to the working drafts of documents, and based on the discussion to each comment, the members reached the consensus and unanimously approved the enquiry draft of documents prepared for public consultation.
June 1, 2009 to August 2, 2009	Public consultation of the technical documents	
August 27, 2009	Third meeting of the Technical Commission	Consideration of all comments submitted to the enquiry drafts of documents, and based on the discussion to each comment, the members reached the consensus and unanimously approved the final draft of documents prepared the formal approval by the SFCA General Assembly.
October 1, 2009,	SFCA General Assembly	Approval of the technical documents of the Slovak Forest Certification System

Table 12: Overview on the revision process (source: DR and personal consultation of the SFCS contact person)

SFCA identified many stakeholders with special interest in forestry and related areas in the Slovak Republic. Table 13 shows the parties that were invited to participate in the process.

Organisation	
Centrum pre trvaloudržateľné alternatívy – CEPTA	ENGO
DAPHNE - Institute of Applied Ecology	ENGO
Centrum environmentálnej a etickej výchovy Ž.I.V.I.C.A	ENGO
A-projekt n. o.	ENGO
Dubnická Environmentálna Skupina	ENGO
Lesoochránárske zoskupenie VLK	ENGO
OZ TATRY	ENGO
Združenie Slatinka	ENGO
Priatelia Zeme-CEPA	ENGO
Občianske združenie Pre Prírodu	ENGO
Vydra - vidiecka rozvojová aktivita	ENGO
Klub lesníkov a priateľov lesa Liptova	Forestry NGO
Slovenská akadémia pôdohospodárskych vied	Slovak Academy of Agricultural Sciences
Biomasa - združenie právnických osôb	Biomass - Association of legal entities
Zväz slovenských spotrebiteľov	Association of Slovak Consumers
Slovenská obchodná a priemyselná komora	Slovak Chamber of Commerce and Industry
Slovenská poľnohospodárska a potravinárska komora	Slovak Agricultural Chamber
Greenpeace	ENGO
Slovenská agentúra životného prostredia	State Environmental Agency
Slovenský zväz ochrancov prírody a krajiny	Slovak Association of Nature and Land Protectors
KLUB SLOVENSKÝCH TURISTOV	Club of Slovak Tourists
Združenie miest a obcí Slovenska	Association of municipalities of Slovakia
Slovenský zväz vidieckej turistiky a agroturistiky	Slovak Association of Rural Tourism and Agrotourism
Strom života	NGO
Zväz celulózo-papierenského priemyslu	Pulp and Paper Producers Association
Zväz spracovateľov dreva SR	Association of Wood Processing Industries
NADÁCIA EKOPOLIS	NGO Ekopolis
Inštitút pre regionálny rozvoj	Institute for Regional Development
Štátna ochrana prírody SR	Slovak State Nature Protection Body
Slovenský porovnický zväz	Slovak Hunting Association
Sielotlačový zväz SR	Association of Serigraphers of SR
Združenie vydavateľov a kníhkupcov Slovenskej republiky	Association of Publishers and Booksellers of the SR
OZ Ľudia a voda	ENGO
VLM Pliešovce	State forest owner
LSR BB, š.p.	State forest owner
Pro Silva	ENGO
Ústredný kontrolný a skúšobný ústav poľnohospodársky	State agricultural administration
Mondi SCP, a.s.	industry - pulp and paper producer –CoC certificate holder
LSR BB, š.p.	State forest owner
Združenie obecných lesov SR	Association of municipal forests of SR
Ing. Július Burkovský	independent environmentalist
Krajský lesný úrad Banská Bystrica	Forestry state administration
Národné lesnícke centrum	National Forestry Centre

Združenie lesníkov a ochrancov prírody Tatier	ENGO
U RZVN LS	Association of forest owners
Slovenská lesnícka komora	Forestry Chamber
Odborový zväz Drevo, lesy, voda	Trade Union
Národný inšpektorát práce	National Labor Inspectorate
SLOVENSKÝ VODOHOSPODARSKÝ PODNIK, š.p.	Slovak water management enterprise
Ústav ekológie lesa SAV	Institute of ecology of forests
Drevoindustria Mihálik s.r.o.	industry - sawmill - CoC certificate holder
VIS Export Import s.r.o	merchant - CoC certificate holder
Iron Art s.r.o	industry - sawmill - CoC certificate holder
Mondi SCP, a.s.	industry - pulp and paper producer –CoC certificate holder
EURO-TIMBER, spol. s r.o.	merchant - CoC certificate holder
BUKÓZA Export - Import, a. s.	industry - pulp and paper producer –CoC certificate holder
Bratislavská papierenská spoločnosť, spol. s r.o.	merchant - CoC certificate holder
Rettenmeier Tatra Timber s.r.o.	industry - sawmill - CoC certificate holder
Smurfit Kappa Štúrovo, a.s.	industry - pulp and paper producer –CoC certificate holder
Lesy SR, š.p. OZ Šaštín	State forest owner
Lesy SR, š.p. OZ Smolenice	State forest owner
Lesy SR, š.p. OZ Palárikovo	State forest owner
Lesy SR, š.p. OZ Levice	State forest owner
Lesy SR, š.p. OZ Toporčianky	State forest owner
Lesy SR, š.p. OZ Prievidza	State forest owner
Lesy SR, š.p. OZ Trenčín	State forest owner
Lesy SR, š.p. OZ Považská Bystrica	State forest owner
Lesy SR š.p., OZ Žilina	State forest owner
Lesy SR š.p., OZ Ōadca	State forest owner
Lesy SR š.p., OZ Námestovo	State forest owner
Lesy SR š.p., OZ Liptovský Hrádok	State forest owner
Lesy SR, š.p., OZ Beriuš	State forest owner
Lesy SR, š.p., OZ Ōierny Balog	State forest owner
Lesy SR, š.p., OZ Slovenská Lupča	State forest owner
Lesy SR, š.p., OZ Žarnovica	State forest owner
Lesy SR, š.p., OZ Krupina	State forest owner
Lesy SR, š.p., OZ Kriváň	State forest owner
Lesy SR, š.p., OZ Rimavská Sobota	State forest owner
Lesy SR, š.p., OZ Revúca	State forest owner
Lesy SR, OZ Rožňava	State forest owner
Lesy SR, OZ Košice	State forest owner
Lesy SR, OZ Prešov	State forest owner
Lesy SR, OZ Bardejov	State forest owner
Lesy SR, OZ Vranov	State forest owner
Lesy SR, OZ Sobrance	State forest owner
Ministerstvo pôdohospodárstva SR, Sekcia lesnícka	Ministry of Agriculture, Forestry Section
Lesy Slovenskej republiky, š.p.	State forest owner
Lesy Slovenskej republiky, š.p.	State forest owner
Lesostav Nitra a.s.	Constructor of forest roads and buildings
Národné lesnícke centrum	National Forestry Centre
Národné lesnícke centrum	National Forestry Centre
Členovia ZCLS	SFCA members

Table 13: Relevant parties invited to participate in the revision process (source: Comments, p. 6ff.)

The public opening was announced to the public through a press release placed on the SFCA website and sent to the SITA press agency. Additionally, the representatives of the SFCA members and more than 90 other stakeholders (forestry organisations, wood processing companies, state administration, associations, trade unions, environmental non-government organisations, SFM and C-o-C certificates holders, etc.) were directly invited to the public opening by regular mail or e-mail.

A Technical Commission was set up for the development of the certification standards.

State forest owners	2
Wood processing industry	1
Professional associations	2
Environmental NGOs	3
Non-state forest owners	2
Forestry state administration	1
Trade unions	1

Table 14: Members and represented interests in the Technical Commission (source: DR, p. 2)

4.1.2 Assessment of the particular requirements according to Part I PEFC C Minimum Requirement Checklist

4.1.2.1 Standard setting for forest certification

1 Has the development of the certification standards been independent from the certification and accreditation process?

Documentation

The SFCA document ND 002 delivers the framework for standard development. In ND 002, 3, p. 2 ff. the actors and responsibilities in the standard development process are described. The actors are

- SFCA General Assembly
- SFCA Council
- SFCA Secretariat
- Technical Commission
- Person authorised by the SFCA Council.

The Statute of SFCA does not contain any relationship to certification and accreditation processes or task. The description of the tasks of the Technical Commission and “Person authorised by the SFCA Council” also clearly shows that there is no relation to certification and accreditation.

Compliance conclusion: Conforms

Process

The revision process itself is explicitly described in the DR. The description shows that there is no connection between the standard development process and the certification and accreditation process. The described decision making processes as well as the list of members of the Technical Commission are clear evidence.

Compliance conclusion: Conforms

2 Has the standard setting process been carried out at national and/or sub-national levels?

Documentation

ND 002 contains the procedures for standard development (cf. ND 002). This document reveals that the standard setting has to be carried out on a national level.

Compliance conclusion: Conforms

Process

In the DR the invited and finally participating parties are described as well as the organisation and coordination of the process (cf. DR).

Compliance conclusion: Conforms

3 Has the standard setting process been coordinated by the PEFC National Governing Body?

Documentation

ND 002 describes the responsibilities of PEFC Slovakia: The SFCA General Assembly is responsible for the formal approval of the documents. SFCA Councils responsibilities within the document setting process shall be the proposal approval and establishment of the Technical Commission. The SFCA Secretariat finally shall be responsible for the implementation of the document procedures and other rules relating to the document development. "For this purpose, the secretariat arranges all contacts between the Technical Commission, authorised person and the SFCA Council. In particular, the secretariat shall be responsible for:

- a) preparation of the document proposal,
- b) announcing the start of the document development process and invitation of stakeholders,
- c) record keeping of nominated members of the Technical Commission,
- d) administration of the Technical Commission activities unless the Technical Commission provides it itself,
- e) administration of members and public consultations,
- f) publication of the approved documentation" (cf. ND 002 3.3, p. 2).

Table 11 shows a general overview of the responsibilities of the National Governing Body in the standard setting process.

Compliance conclusion: Conforms

Process

The DR states that “The process of the development of the Slovak Forest Certification System (SFCS) has been coordinated by the Slovak Forest Certification Association (SFCA) that represents the PEFC national governing body in the Slovak Republic” (DR, p. 1).

Compliance conclusion: Conforms

4 Has the certification standard been drafted to be applied at individual and/or group and/or regional level?

SFCS 1001, 8, p. 15, states “ensuring the non-discrimination, voluntariness, credibility and cost-effectiveness of the process is the mandatory principle of forest certification. The following options or their combinations can be used for forest certification:

- a) regional certification,
- b) group certification,
- c) individual certification.”

Procedures for the group and individual forms of certification have not been developed so far. In case there are respective applications available the system will be extended.”

Compliance conclusion: Conforms

5 Has the development of certification criteria been initiated by national forest owners’ organisations or national forestry sector organisations having support of the major forest owners’ organisations in that country?

Table 11 shows that the standard development process has to be initiated by SFCA. The organisational arrangements and the membership structure of SFCA indicate clearly the support of the major forest owners’ organisations (cf. the detailed description in section 4.2.1 of this report, especially Table 15 and Table 16).

Compliance conclusion: Conforms

6 Have all relevant interested parties representing the different aspects of sustainable forest management been invited to participate in the standard setting process and a created Forum?

Documentation

The relevant institution for the standard setting process is the so called “Technical Commission”. “A temporary forum (Technical Commission) is established for the purposes of standard setting or revision. The Technical Commission composition shall provide for balanced representation of all stakeholders where no single interest shall

be allowed to dominate the process” (SFCS 1001, 7.1, p. 14).

In detail ND 002, 4.2, p. 4, requires that “the start of the process of documentation development and revision shall be announced by suitable media as appropriate to afford all interested stakeholders an opportunity to provide meaningful contributions to the documentation development. The announcement shall include the objective, content and expected timetable of the development work and provide information on the opportunities for the SFCA members and the interested stakeholders to participate in the process”.

The Technical Commission is constituted by persons nominated by the invited stakeholders (cf. ND 002, 3.4, p. 2) and the PEFC Secretariat is responsible for the invitation of interested stakeholders (cf. ND 002, 4, p. 3, and Table 11). “The invitation to interested stakeholders to participate in the Technical Commission may be done as part of the announcement of the start of the development work or separately. The nominations are collected by the secretariat” (ND 002, 4.2.2, p. 4).

Compliance conclusion: Conforms

Process

PEFC Slovakia provides a list of invited stakeholders (cf. Table 13). The list of invited stakeholders shows the consideration of relevant groups with regard to forestry in Slovakia.

For the identification of the stakeholders all available information sources were used. Forest owners and forestry organisations were identified on the basis of Green Report annually issued by the Ministry of Agriculture (www.land.gov.sk/en/download.php?fID=73), main ENGOs are organised in a common network EKOFORUM (www.ekoforum.sk), other relevant parties were identified on the basis of general knowledge about this sector with the aim to cover other NGOs working in the area of forestry and nature protection, unions, consumer and professional association, SFM and CoC certificate holders etc. (information on request).

The beginning of the revision process and the invitation for participation were also announced on the website of PEFC Slovakia. The English translation of the particular press release is available for the consultant.

The inclusion of all relevant parties is confirmed clearly by the returned questionnaires (cf. Annex 2.2).

Compliance conclusion: Conforms

7 Do consensus-building procedures of the Forum provide for balanced representation of interest categories?

Documentation

„During the first meeting on November 13, 2008, the members approved Technical Commission’s procedures” (DR, p. 2). The procedures for the development of the technical documents and a approval procedures “was amended by the SFCA General Assembly on March 26, 2009” (DR, p. 1).

On enquiry PEFC Slovakia confirmed the following: “Technical Commission’s procedures (**Slovak:** Postupy technickej komisie pre proces revízie technických dokumentov SFCS) as well as the amended ND 002 were developed on the basis of PEFC GL

5/2006. The main changes included in the amended ND 002 dealt with the consensus interpretation and the names of revision process phases. Revision of ND 002 did not deal with the issue of balanced representation, i.e. these requirements stayed unchanged. Technical Commission's procedures are part of TC_1_minutes" (Comments, p. 8). Due to this confirmation ND 002 can be considered as procedure description for the Technical Commission.

ND 002 states that "the decision of the Technical Commission circulate the working draft as an enquiry draft or to recommend a final draft for formal approval shall be taken on the basis of the consensus principle" (ND 002, 4.3.2, p. 5).

As a basis for the constitution of the Technical Commission, "the SFCA Council shall be responsible for accepting the nominations for membership of and participation in the work of the Technical Commission taking into consideration expected balanced representation of the interested stakeholders and limits of the available resources" (ND 002, 4.2.2, p. 4).

Furthermore, PEFC Slovakia describes different processes to reach consensus: "In order to reach consensus the Technical Commission can utilise the following alternative processes to establish whether there is opposition to the working draft or final draft:

- a) a face-to face or telephone conference meeting, or combinations thereof, where there is a verbal yes/no vote,
- b) a face-to face meeting where there is a show of hands for a yes/no vote,
- c) a face-to face meeting where there is a "secret ballot" of members on a yes/no vote,
- d) a statement on consensus from the chair at a face-to face meeting where there are no dissenting voices or votes,
- e) an e-mail meeting where a request for agreement is provided to members and the members providing a written response, or
- f) a formal balloting process where votes are collated for the collective consensus decision" (ND 002, 4.3.2, p. 5).

To resolve opposition the following procedures seem adequate:

- a) "discussion and negotiation on the disputed issue within the Technical Commission in order to find a compromise,
- b) direct negotiation between the stakeholders submitting the objection and stakeholders with different view on the disputed issue in order to find a compromise,
- c) dispute resolution process" (ND 002, 4.3.2, p. 6).

Compliance conclusion: Conforms

Process

The set up of the Technical Commission is described in DR. The effective composition of the Technical Commission is reflected in Table 14. The organisations that are members of the Technical Commission represent balanced interest categories.

Compliance conclusion: Conforms

8 Have the views of all relevant interested parties been documented and considered in an open and transparent way?

Documentation

“Comments and views submitted by any participation member of the Technical Commission as well as preliminary proposals for their resolutions shall be considered in an open and transparent way and proposed changes to the working draft shall be recorded” (ND 002, 4.3.1, p. 5).

Compliance conclusion: Conforms

Process

“The members of the Technical Commission submitted 172 comments to the working draft of the criteria and indicators of sustainable forest management, 31 comments to the requirements for certification bodies, 28 comments to the certification rules and 44 comments to the description of the SFCS system” (DR, p. 2).

PEFC Slovakia provided the minutes of the meetings of the Technical Commission. The minutes in Slovak Language (e.g. M2 TC) show the system of the documentation of the comments and the particular decision. The partial translation of the minutes (available to the consultant) confirms the discussion and decision process.

An open and transparent discussion is confirmed by the returned questionnaires (cf. Annex 2.2)

Compliance conclusion: Conforms

9 Has the formal approval of standards been based on evidence of consensus?

Documentation

The final draft has to be recommended by the Technical Commission for the formal approval on evidence of consensus (cf. req. 7) to the General Assembly. “The approval shall be governed by the SFCA statute” (ND 002, 4.5.2, p. 7).

Regarding the decision making of the GA it is stated that “where the final draft has not received a sufficient number of votes to be formally approved, the General Assembly shall decide to:

- a) return the document to the preparatory or development stage or
- b) cancel the procedure” (ND 002, 4.5.2, p. 7).⁶

Due to this it is obvious, that the GA itself can not conduct any changes in the standard and the formal approval has to be done on evidence of consensus.

Compliance conclusion: Conforms

Process

⁶ The SFCA statute with regard to decision making states “more than two-thirds majority vote is required for paragraphs 1.12.1., 1.12.2., 1.12.4., 1.12.5.,1.12.6.,1.12.7 and 1.12.8 of the same article” (SFCA statute, V, 1.6.2, p. 5). The decision making regarding the standards and procedures of the system are in 1.12.6 and 1.12.7 (cf. SFCA statute, V, 1.12).

Firstly, the final draft was approved by the Technical Commission: "The third meeting of the Technical Commission took place on August 27, 2009, where commission members considered all comments submitted to the enquiry drafts of documents, and based on the discussion to each comment, the members reached the consensus and unanimously approved the final draft of documents prepared the formal approval by the SFCA General Assembly" (DR, p. 3). Then the General Assembly unanimously approved the technical documents (DR, p. 3).

Both decision making processes are confirmed by the relevant minutes (cf. M3 TC and M GA - the English translation is available for the consultant).

The decision making based on evidence of consensus is confirmed by the returned questionnaires (cf. Annex 2.2).

Compliance conclusion: Conforms

10 Does the implementation of the consensus based approach comply with Guideline GL 5/2006

Documentation

The SFCS uses "...the definition of consensus given in ISO/IEC Guide 2:1996:

"consensus: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all stakeholders concerned and to reconcile any conflicting arguments.

Note:

Consensus need not imply unanimity." (ND 002, 4.3.2, p. 5). This definition complies with GL 5/2006.

The procedures for voting and resolving opposition amend this definition (cf. req. 7 for the detailed description).

Compliance conclusion: Conforms

Process

The decision making processes in the technical Commission and the GA were characterised by unanimity (cf. req. 9). Due to this no opposition resolving process was necessary.

Compliance conclusion: Conforms

11 Has the Forum defined its own written procedures which have been made available to interest parties upon request?

Documentation

ND 002 describes the procedures for the Forum (Technical Commission) (cf. ND 002, 4.2.2, p. 4). ND 002 is publicly available.

Compliance conclusion: Conforms

Process

As mentioned in req. 7 (process), ND 002 was approved on March 26, 2009 by the

SFCA General Assembly and published on the website of PEFC Slovakia (http://www.pefc.sk/en/index.php?option=com_content&task=view&id=6&Itemid=6).

Compliance conclusion: **Conforms**

12 Do the written procedures for standard setting contain an appeal mechanism for impartial handling of any substantive and procedural complaints?

Documentation

“Any substantive or procedural complaints or appeals shall be resolved using the SFCA complaints and appeals resolution procedures approved by the SFCA” (ND 002, 7, p. 7). The relevant procedures are described in the document ND 004 SFCA procedures for the investigation and resolution of complaints and appeals.

Compliance conclusion: **Conforms**

Process

According to the applicant “no substantial disputes have occurred during the revision process, therefore there was no application of this mechanism applied” (Comments, p. 14).

Compliance conclusion: **Conforms**

13 Has the start of the standard setting process been communicated to the public?

Documentation

“The start of the process of documentation development and revision shall be announced by suitable media as appropriate to afford all interested stakeholders an opportunity to provide meaningful contributions to the documentation development. The announcement shall include the objective, content and expected timetable of the development work and provide information on the opportunities for the SFCA members and the interested stakeholders to participate in the process” (ND 002, 4.2.1, p. 4).

Compliance conclusion: **Conforms**

Process

The beginning of the revision process was published on the website of the SFCS (http://www.pefc.sk/index.php?option=com_content&task=view&id=40&Itemid=23) and a relevant press article is available. The English translation is available to the consultant.

Compliance conclusion: **Conforms**

14 Has the information on the development process been distributed and discussed?

Documentation

Information on the start of the revision process was published (cf. req. 13).

Regarding the documentation in process ND 002, 4.3.2, p. 5, requires that “The working drafts shall be available to all members of the Technical Commission as well as to

other interested stakeholders“.

Compliance conclusion: Conforms

Process

“The invitation to the public opening included general information on the revision process and the invitation to participate in the process through the membership in Technical Commission that shall be responsible for the revision realization” (DR, p. 1, cf. also Invitation to public opening – translation is available to the consultant).

Compliance conclusion: Conforms

15 Has the final draft standard been available to all interested parties, e.g. by posting it on the Internet?

Documentation

PEFC Slovakia differentiates between “inquiry draft” and “final draft”. The final draft in the meaning of req. 15 corresponds to the inquiry draft according to SFCA (cf. this differentiation the explanations in DR, p. 3).

“The enquiry draft shall be made available through the SFCA website and upon request by other appropriate means to interested stakeholders and the public for a 60 day public consultation” (ND 002, 4.4.2, p. 6).

Compliance conclusion: Conforms

Process

“The final drafts of documents incorporating the public comments received from the public consultations were published on the SFCA website” (DR, p.3).

The content of the website of PEFC Slovakia confirms this (http://www.pefc.sk/index.php?option=com_content&task=view&id=41&Itemid=29).

Compliance conclusion: Conforms

16 Has the final draft standard been sent out for formal national consultation process?

Documentation

Cf. req. 15.

Compliance conclusion: Conforms

Process

A particular announcement was made on the website of SFCA (cf. req. 15). The Information was also sent to all identified stakeholders (cf. Table 13) (cf. Comments, p. 17).

Compliance conclusion: Conforms

17 Have views of interested parties been discussed?

Documentation

“The received comments and views as well as preliminary proposals for their resolu-

tions shall be considered in an open and transparent way and these comments as well as changes resulting from the public consultation or their summaries shall be made available through the PEFC Council website or upon request” (ND 002, 4.4.2, p. 6).

Compliance conclusion: Conforms

Process

In the Development Report it is stated that “the third meeting of the Technical Commission took place on August 27, 2009, where commission members considered all comments submitted to the enquiry drafts of documents, and based on the discussion to each comment, the members reached the consensus and unanimously approved the final draft of documents prepared the formal approval by the SFCA General Assembly” (DR, p. 3). The report also states that the views of the interested parties have been documented:

“The revision process has been documented. The records on the technical documents revision process content:

- written documentation for the establishment of Technical Commission
- minutes of the SFCA Council meetings and SFCA General Assembly
- minutes of the Technical Commission meetings
- comments, views and proposals of the members of Technical Commission and changes to the documentation
- public comments, views and proposals
- postal ballot and General Assembly voting results
- all documents and changes to the documents created in individual phases of the documents development and revision process” (DR, p. 4).

The minutes of the third meeting of the Technical Commission provides the relevant information regarding the discussion process (cf. M3 TC - partial translation is available to the consultant).

Compliance conclusion: Conforms

18 Has the Forum given general information on the changes made as a result of a consultation process?

Documentation

Cf. requirement 17

Compliance conclusion: Conforms

Process

The DR states that “the final drafts of documents incorporating the public comments received from the public consultations were published on the SFCA website” (DR, p. 3).

The final draft was published on the website on 27th August 2009 (http://www.pefc.sk/index.php?option=com_content&task=view&id=41&Itemid=29).

The changes made as a result of the public consultation can be retraced in the minutes

of the third meeting of the Technical Commission (cf. M3 TC).

Compliance conclusion: Conforms

19 Had the consultation been at least 60 days?

Documentation

SFCS 1001 requires that “the enquiry draft of the document is subject to a 60 day public consultations” (SFCS 1001, 7.1, p. 14).

Compliance conclusion: Conforms

Process

In the MRC-SL, Part I, req. 19, it is minuted that the consultation period has been lasting from June 1 to August 2, 2009.

Compliance conclusion: Conforms

4.1.2.2 Pilot testing

35 Have the first results on the testing of the final drafts for national/subnational forest certification standards and their implementation arrangements been available prior to submission of the scheme for the PEFC Council endorsement and mutual recognition?

Documentation

The SFCA Board proposed to use the experience gained from the application of the previous standard (cf. M1 TC respectively the partly English translation, available for the consultant). Due to this, no particular requirement was included in the documentation.

Compliance conclusion: Conforms

Process

In the MRC it is pointed out that “experience gained from the application of the current standards substitute pilot testing” (MRC, req. 35, p. 4).

Compliance conclusion: Conforms

4.1.2.3 Review of Standards

37 Have the standards on forest and chain of custody certifications been reviewed at least every 5 years or is it foreseen to review these standards at least every 5 years?

Documentation

Chapter 6 of ND 002 states that “the technical documentation shall be periodically revised at five years intervals. The procedures for the revision of the technical documentation shall follow the stages outlined in chapter 4” (ND 002, 6, p. 7). This statement is confirmed by particular requirement in SFCS 1001, 7.2, p. 14.

Compliance conclusion: Conforms

Process

The proposal of the revision of the technical documents of the SFCS describes the timeline for the actual revision process (cf. M1 TC - English translation is available for the consultant): “Annex 2 of the PEFC TD requires periodic revision of national schemes to be carried out at least once in 5 years. SFCS was endorsed by PEFC on 12.8.2005 for the period till 12.8.2010. Annex 7 of the PEFC TD states that on the basis of previous experiences it is necessary to submit the revised documentation to the PEFC for endorsement at least 8 months prior to voting on the scheme endorsement, i.e. before the end of its validity, which in case of SFCS, is December 2009. Based on the experiences from the first development of the SFCS scheme, 1 year period, including public consultation, can be estimated to be needed for the revision process. Therefore, the revision process itself has to be started at least in December 2008.”

Compliance conclusion: Conforms

38 Does the scheme documentation indicate which organisation is responsible to initiate the revision work?

„Standard setting and revision process is initiated by the SFCA Council” (SFCS 1001, 7.1, p. 14).

Compliance conclusion: Conforms

4.2 Assessment of the scheme implementation

4.2.1 General

“SFCA represents a legal entity established in accordance with the provisions of Civil Code §20f and the pursuant paragraphs as an interest group of legal entities registered in the Association Registry of Legal Entities at the Banska Bystrica Regional Office” (Statute, I 3). Figure 2 gives an overview on the basic organisational arrangements (the organisational arrangements are described in SFCS 1001 and the Statute).

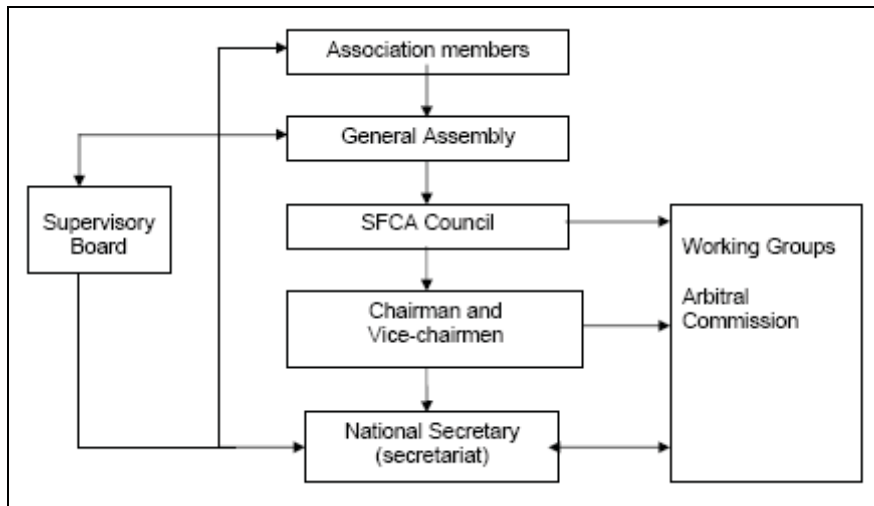


Figure 2: Organisational arrangements of SFCA (source: SFCS 1001, 3, p. 10)

The association members (actually 16) are assigned to the “chamber of forest owners”, “chamber of wood processing industry” or to the “chamber of other interested groups”. Each chamber of SFCA elects delegates to represent the particular chamber in the General Assembly (GA). The GA has to approve the members of the SFCA Council that are elected by the particular chamber. The members represent the chambers in equal number. The SFCA Council is the supreme managing body of the association. The Council elects its Chairman (representing the forest owners) and Vice-Chairmen (representing the other chambers). The National Secretary is appointed by the SFCA Council and carries out activities of the secretariat according to the resolutions of association bodies. The supervisory board controls the activities of the association’s bodies. Working Groups can be involved especially in the revision process of the system.

Table 15 shows forestry interest groups that are members in the SFCA.

Slovak name	English name	Ownership
LESY SR, š.p	State forest enterprise LESY SR	State
Štátne lesy TANAP	State forests of Tatra National Park	State
Vojenské lesy a majetky SR	Military forests and estates of SR	State
Lespoľnohospodársky majetok Ulič	Forestry and agricultural estates Ulic	State
TU – Vysokoškolský lesnícky podnik	University forest enterprise	State
Uniforst	Uniforst	Private
Združenie obecných lesov SR	Association of municipal forests of SR	Municipal
Únia regionálnych združení vlastníkov neštátnych lesov	Union of regional associations of non-state forest owners	Private, community
Združenie vlastníkov spoločenstevných a súkromných lesov Banskobystrického kraja	Association of owners of community and private owners of BB county	Private, community

Table 15: Forestry interest groups in the SFCA (source: Comments, p. 5)

The members of SFCA (cf. Table 15) represent the majority of forest owners in the Slovak Republic. This is confirmed by the description of the forest ownership structure in the Slovak Republic (cf. Table 16).

Category	Ownership category						
	State	Municipal	Private	Community	Church	Agri co-op	Unknown
Forest crop land (ha / %)							
Ownership	777 107	187 818	252 192	495 051	57 818	4 438	159 167
	40.2	9.7	13	25.7	3	0.2	8.2
Tenure	1 067 124	170 264	139 080	519 361	32 530	5 232	—
		8.8	7.2	26.9	1.7	0.3	—

Table 16: Ownership structure in the Slovak Republic (source: Comments, p. 5)

The diagram of competencies (cf. Figure 3) shows the distribution of power in the SFCS that should guarantee the credibility and the transparency of the certification scheme. Standard setting and maintenance of the system are the responsibility of SFCA, the auditing and certification process is conducted by independent certification bodies; these certification bodies in turn have to be accredited by a national accreditation body.

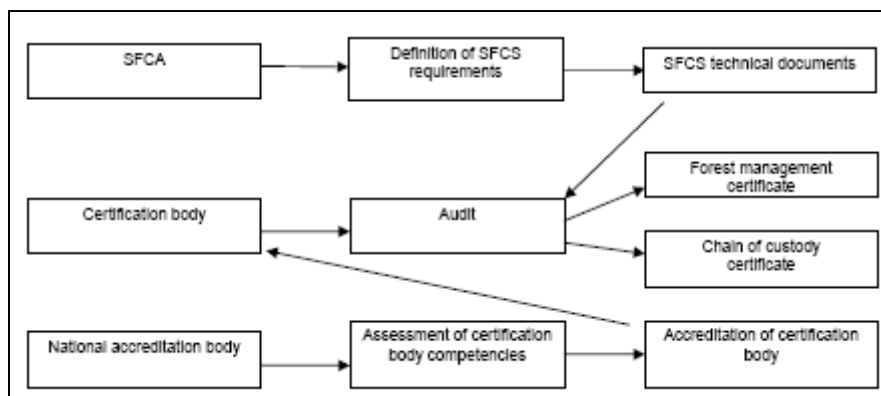


Figure 3: Diagram of competencies (source: SFCS 1001, 6, p. 14)

At present, the system is developed and organised to offer certification on a regional level. According to SFCA, “regional certification represents the most suitable form [for the Slovak Republic] that allows participation of all forest managers regardless of legal form and size of forest property” (SFCS 1001, 8.1, p. 15). But in case of the availability of individual or group applications the system will be expanded.

4.2.2 Assessment of the particular requirements according to Part II PEFC C Minimum Requirement Checklist

4.2.2.1 General requirements for certification criteria

1 Are the criteria relevant to all types of forests and management systems, which exist in the nation/region they have been elaborated for?

The SFCS shows at two points the covering of all types of forests:

- 1) “Slovak Forest Certification System is based on the state of forestry in the Slovak Republic, its historical development, structure of ownership, forest management planning and information system in the area of forestry” (SFCS 1001, 5.2, p. 12).
- 2) An objective of the forest management standard is to “specify the basic requirement for the forest management system in order to ensure fulfilment of all ecological, economic and social functions of forests, regardless of their category, form and method of management” (SFCS 1003, 1a, p. 5).

Compliance conclusion: Conforms

2 Do the criteria clearly express the objectives for forest management that can be unambiguously verified by different auditors?

The forest management standard is structured clearly with criteria and indicators that can be verified unambiguously (cf. req. 3 below, 4.3.1 in this report and SFCS 1003).

Compliance conclusion: Conforms

3 Are management and performance requirements applicable at the level of a forest management unit?

In chapter 7 of SFCS 1003 the general structure of the criteria used by SFCS is described:

“**Assessment indicators:** parameters, based on which, if periodically monitored and evaluated, it is possible to assess the character of passed changes or requirements fulfilment. They are divided into:

- a. **Indicators for regional level assessment** – referring to the entire certified area of the respective region.
- b. **Indicators for individual level assessment** – referring to any individual forest manager participating in the certification through regional certification” (SFCS 1003, 7e, p. 8).

Compliance conclusion: Conforms

- 4 Are management and performance requirements applicable optionally also at group and regional levels?

For regional application see requirement 3. Actually no criteria for group level are defined. "In case there are respective applications available the system will be extended" (SFCS 1001, 8, p. 15).

Compliance conclusion: Conforms

4.2.2.2 Laws and regulations

- 5 Are the national certification criteria in compliance with national laws programmes and policies?

The SFCS "respects the general legislative system of the Slovak Republic. It is based on the sector legislation and state policy in the area of:

- a) forestry,
- b) environment, protection of nature, landscape and water resources,
- c) protection of ownership rights, social affairs and employees" (SFCS 1001, 5.2, p. 12).

Compliance conclusion: Conforms

- 6 Are the references to national laws, programs and policies indicated in the scheme documentation when relevant, e.g., if the requirement of the PEOLG is not addressed in the certification criteria but is included in normative regulations?

In the description of the structure of the SFCS criteria the reference to the legislative framework is explained:

"Legislative framework: contains references to valid legislation norms incorporating or relating to the respective issue" (SFCS 1003, 7h, p. 8).

Additionally, the scope of the standard covers explicitly legislative aspects:

"The certification sub-criteria and assessment indicators incorporate:

- a) Resolutions of the UN Conference on the Environment and Development (Rio de Janeiro 1992),
- b) Resolutions of the Ministerial Conferences on the Protection of Forests in Europe (Helsinki 1993, Lisbon 1998, Vienna 2003, Warsaw 2007),
- c) Fundamental ILO Conventions: No.29: Forced Labour, 1930; No.87: Freedom of Associations and Protection of the Right to Organise, 1948; No.98: Right to Organise and Collective Bargaining, 1949; No.100: Equal Remuneration, 1951; No.105: Abolition of Forced Labour, 1957; No.111: Discrimination (Employment and Occupation), 1958; No.138: Minimum Age for Admission to Employment, 1973; No.182: Worst Forms of Child Labour, 1999,
- d) Other international conventions: The ILO Code of Practice on Safety and Health in Forestry Work Convention on Biological Diversity, Kyoto Protocol and Carbon Sinks, Convention on International Trade in Endangered Species of Wild Fauna and Flora and Biosafety Protocol, EU Water Framework Directive,

2000,

- e) National Forest Programme, 2007,
- f) National criteria and indicators for the assessment of sustainable forest management in the forests of Slovakia, 2004,
- g) Law No. 326/2005 Coll. on the forests as amended,
- h) Law No. 543/2002 Coll. on nature and landscape conservancy as amended,
- i) Labour Code – Act of NC SR No. 311/2001 of the Code as amended, respecting ILO Conventions ratified by the Slovak Republic” (SFCS 1003, 1, p. 5f.).

Compliance conclusion: Conforms

7 Does the scheme include the requirement that any apparent violation of the legislation shall be taken into consideration in internal and external audits?

Chapter 5.7.1 of the SFCS 1002, p. 13, describes the consideration of “third parties (fulfilment of the objectives of certification criteria, national legislation, international regulations, conventions and agreements related to forest management)” as a part of internal audits (cf. SFCS 1002, 5.7, p.12f.).

The analogous requirement regarding external audits can be found in SFCS 1005, 9.6.4, p.13:

“The following is evaluated by the team of auditors within on-site assessment:

- a) implementation and functionality of management system to ensure SFM,
- b) implementation and functionality of procedures to ensure participation of individual forest owners/managers in the system of regional certification,
- c) implementation and functionality of performance of internal audits and corresponding corrective and preventive measures,
- d) rate and impact of any apparent violation of the legislation on ensuring SFM.”

Compliance conclusion: Conforms

4.2.2.3 ILO Conventions

8 Are the Fundamental ILO Conventions ratified by the country and implemented through the legislative framework?

The Slovak Republic has ratified the ILO Core Conventions listed in Table 17.

No.	ILO conventions	Ratification	
		ČSFR	SR
29	Forced Labour	1957	1997
87	Freedom of Associations and Protection of the Right to Organise	1964	1997
98	Right to Organise and Collective Bargaining	1964	1997
100	Equal Remuneration	1957	1997
105	Abolition of Forced Labour		1997
111	Discrimination (Employment and Occupation)	1964	1997
138	Minimum Age for Admission to Employment,		1997
182	Worst Forms of Child Labour		1999

Table 17: The fundamental ILO conventions ratified by the Slovak Republic (source: SFCS 1001, 5.4, p. 12)

This statement is confirmed by the ILO Database (www.ilo.org).

Compliance conclusion: Conforms

9 Do the national certification criteria address the core elements of those Fundamental ILO Conventions, which have been not ratified by the country?

Not relevant

Compliance conclusion: -

10 Has the ILO Code of Practise on Safety and Health in Forestry Work been considered in development of national and regional certification criteria?

The documentation refers to equivalent requirements of the Ministry of Forestry, Water Management and Wood Processing Industry and the Ministry of Forestry and Water Management in the SR:

“Special Rules for Health and Safety in Forestry issued as the Technologic and organisational guidelines for harvesting operations (MLVH SR, 1981) and Rules for labour safety and health protection at work in timber felling, skidding, hauling and handling (MLVHaDP, 1989) correspondent in term of their content to the ILO Code of Practice on Safety and Health in Forestry Work” (SFCS 1001, 5.4, p. 13).

Compliance conclusion: Conforms

4.2.2.4 Other international conventions

11 Are the international conventions relevant to forest management and ratified by the country respected through the legislative framework?

The Slovak Republic has ratified the conventions mentioned by the PEFC Council in TD Annex 3, 3.4, p. 4f. (cf. Table 18).

International conventions	Ratification by the SR
Convention for the Protection of World Cultural and Natural Heritage	1990
The Convention on Wetlands of International Importance, especially as Waterfowl Habitat	1990
Convention on International Trade in Endangered Species of Fauna and Flora	1992
Convention on Biological Diversity	1994
Convention on the Conservation of Migratory Species of Wild Animals	1995
Convention on the Conservation of European Wildlife and Natural Habitats	1997
Kyoto Protocol	1999

Table 18: Other international conventions ratified by the SR (source: SFCS 1001, 5.5, p. 13)

Compliance conclusion: Conforms

12 Are the requirements agreed upon in the conventions, even if they are not ratified by the country, respected in the certification criteria to the degree that they are covered in PEOLG or other reference documents basis approved by the PEFC Council?

Cf. requirement 6

Compliance conclusion: Conforms

4.2.2.5 Level of application – general

13 Are the applicants, the certified areas and participating forest owners/managers/other actors clearly identified in the scheme documentation?

In SFCS 1001, 8, p. 15 a general statement regarding the identification of areas and actors is made: “The applicant, certified area and participating forest owners/managers and other actors shall be clearly indicated and defined for all alternatives of forest certification”.

The applicant is referred to in more detail in SFCS 1002, 5.2, p. 9: “The applicant for the regional certification shall be clearly identified legal entity representing forest owners/managers of the given region with the total forest area exceeding 50% of the total forest area of the given region.”

Finally the participants are specified by SFCS 1002, 5.5, p. 11: “Forest owners, governance bodies or physical and legal entities managing forests on a contractual basis

can be participants in the certification process.”

With regard to the certification status SFCS 1001, 8.1, p. 16, states that “Only the forests of forest owners/managers participating in the certification are considered as certified”.

Compliance conclusion: Conforms

14 Does the scheme documentation require that all actors involved in or operating on the certified area comply with the certification requirements?

SFCS 1001 requires that “all participants of certification shall comply with the certification requirements” (SFCS 1001, 8, p. 15).

Compliance conclusion: Conforms

15 Does the scheme documentation require that all actors individually certified or participating in regional/group certification are responsible for ensuring that contractors’ activities and operations meet the respective forest management criteria?

“All participants in certification are responsible for ensuring that contractor’s activities and operations meet the respective certification criteria” (SFCS 1001, 8, p. 15).

Still more clearly it is required in SFCS 1002, 6.3f, p. 16: Participants in certification have “to ensure fulfilment of certification criteria (SFCS 1003:2009 Criteria and indicators of sustainable forest management) by individual contractors - companies performing forest operations on the contractual basis with the forest owner/manager. This means that the forest manager is directly responsible for the compliance of performance of contracted service with the scheme requirements.”

Compliance conclusion: Conforms

4.2.2.6 Level of application – regional certification

16 Does the national definition of regional certification comply with the PEFC Council definition?

The definition of regional certification is identical with the definition of the PEFC Council: “Regional certification is the multi-site certification of forests within delimited geographic boundaries, being applied for by the authorised organisation (the applicant) for the specified region; and providing access for the voluntary participation of individual forest owners and other managers of forests” (SFCS 1001, 8.1, p. 15).

Compliance conclusion: Conforms

17 Does the forest certification standard include criteria for the regional and also for forest management unit level?

Cf. requirement 3.

Compliance conclusion: Conforms

- 18 Does the scheme documentation require that the assessment of the certification criteria defined for the regional level covers the whole region to be certified?

SFCS 1002, 5.3, p. 10, states that “the Report on the state of forestry in the region (hereinafter “Report”) is the basic document providing information on the processes and results of sustainable forest management in the region with respect to the criteria and indicators of sustainable forest management for the region (SFCS 1003:2009 Criteria and indicators of sustainable forest management).”

According to SFCA this means that the report is elaborated for the whole region and therefore the use of regional indicators shall be always used with the assessment of the whole region.

Compliance conclusion: Conforms

- 19 Does the scheme documentation require that sampling for the assessment of the certification criteria defined for the forest management unit level cover forest owners/managers/other actors participating in the regional certification?

“The applicant carries out on-site assessment within the internal audits and the certification body within the regular and recertification audits. In both cases the size of the sample is approximately 10% of the number of participants in certification” (SFCS 1002, 4.3.2, p. 8).

Compliance conclusion: Conforms

- 20 Does the scheme documentation require that the applicant organisation shall be a legal entity?

“The applicant for the regional certification shall be clearly identified legal entity representing forest owners/managers of the given region with the total forest area exceeding 50% of the total forest area of the given region” (SFCS 1002, 5.2, p. 9).

Compliance conclusion: Conforms

- 21 Does the scheme documentation require that the applicant organisation should represent more than 50 % of forest area of the region? (This does not need to be fulfilled by the time of the start of certification)

Cf. requirement 20

Compliance conclusion: Conforms

- 22 Does the scheme documentation describe the applicant’s responsibility to assure the compliance of all participants with the certification requirements?

Chapter 6.2c, p. 16, of SFCS 1002 describes the responsibilities and authorities of the applicant. The applicant has “to ensure that all participants in certification fulfil conditions arising from certification”.

Compliance conclusion: Conforms

23 Does the scheme documentation describe the applicant's responsibility to ensure that credible registers of participants to certification and certified forest area are kept?

SFCS 1002, 5.10, p. 15, requires that "the applicant shall keep and update a unified register of those forest owners/managers participating in the regional certification who were awarded the confirmation on participation in the regional certification. The register shall consist at least of the following information:

- a) identification data on forest owner/manager,
- b) identification data on forest property (including the area),
- c) type of ownership."

Compliance conclusion: Conforms

24 Does the scheme documentation describe the applicant's responsibility to implement rules for regional certification?

SFCS 1002, 6.2.2, p. 16 describes in detail the "responsibilities and authorities for ensuring the process of forest certification:

- a) to inform, in publicly available manner, all forest owners/managers about the beginning of the certification process,
- b) to identify and adopt necessary policies and procedures that are necessary for the fulfilment of the objectives of SFCS certification criteria,
- c) to ensure that all participants in certification fulfil conditions arising from certification,
- d) to ensure the existence of credible evidence on the participants in certification and certified forests,
- e) to use quality management system that allows adoption and maintenance of the requirements of regional certification in practice according to this document."

Compliance conclusion: Conforms

25 Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the inclusion of new participants and to inform the certification body thereof?

SFCS 1002 defines a procedure for the inclusion of new participants ("Each newly accessing forest owner/manager during the validity of the regional certificate is subject to initial audit. When conducting initial audit the applicant adequately uses the procedures given in chapter 5.7 Conformity assessment of management (internal audits)" SFCS 1002, 5.8, p. 14) as well as the duty to provide the relevant information for the certification body ("In regular time periods, the applicant informs the certification body about the changes in number of forest owners/managers participating in certification and the changes in the total certified area" (SFCS 1002, 5.10, p. 15).

Compliance conclusion: Conforms

- 26 Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the internal control of conformity and follow up corrective and preventive measures?

One part of the responsibilities of the participants in certification is “to implement control mechanism to monitor fulfilment of SFCS requirements, adopt preventive and corrective measures and to control their realisation” (SFCS 1002, 6.2.3h, p. 16).

Compliance conclusion: Conforms

- 27 Does the scheme documentation describe that forest management certificate is issued to the applicant (certificate holder)?

“Regional certificate is issued to the applicant by the certification body based on the positive result of audit” (SFCS 1002, 5.4, p. 11).

Compliance conclusion: Conforms

- 28 Does the scheme documentation describe that participants in regional certification shall receive either a copy of the regional certificate including the appendix (when applicable) listing all participating forest owners or an individual attestation issued by the certification body or the applicant which refers to the main certificate?

SFCS 1002, 5.4, p. 11, describes that “confirmation on participation in the regional certification is issued to forest owners/managers by the applicant. This confirmation contains information referring to the respective region, certificate number, validity and information on the certification body that issued the regional certificate (Annex A).”

Compliance conclusion: Conforms

- 29 Does the scheme documentation require that forest owners/managers/other actors can participate in the regional certification either by (i) entering into an individually signed commitment, or (ii) based on the majority decision of a forest owner’s organisation on behalf of forest owners they represent in the region?

In chapter 5.5 and chapter 5.6 SFCS 1002 describes the participation of forest owners and the application for participation in regional certification. Regarding the requirement 29 the content of these chapters is not clearly structured. In 5.5 it is stated “Associations of forest owners participate in the regional certification through their executive bodies. Decision on participation shall comply with the association’s statute. Small forest owners under the competency of a common forest administration body or a common professional forest manager can establish associations for the purposes of certification. They act as one individual participant in the certification. An authorised representative acts on behalf of the association” (SFCS 1002, 5.5, p. 11). 5.6 starts with a reference to forest owners/manager as applicants: “Forest owner/manager can enter the regional certification by submitting the application for the regional certification“. The formal procedure for associations is not explicitly specified.

Compliance conclusion: Conforms

- 30 Does the scheme documentation require that only participating forest owners / managers shall be considered as certified; their area counted as certified area and the forest raw material coming from thereof will be considered as certified raw material?

SFCS 1002, 5.4, p. 11 requires that “only forests of those forest owners/managers participating in the regional certification are covered by the certificate” and that „only forest raw material coming from the forests of forest owners/managers participating in the certification can be considered as raw material originating from certified forests and only such raw material can be labelled by PEFC logo.”

Compliance conclusion: **Conforms**

- 31 Does the scheme documentation describe that forest owners should submit all the forest area under his management in the region for certification? (not obligatory to be met but should be aimed at)

In case of forest owners who do not participate with all their forest areas, the SFCS requires: “Forest owner/manager usually enters the regional certification with all his forest property located in the respective region. If the forest owner/manager enters the certification process only with a part of his forest property he shall have a system in place for registration (separation) and sales of raw material and for ensured flow of raw material in order to avoid mixing of non-certified raw material with the certified raw material. This process shall be controlled” (SFCS 1002, 5.5, p. 11).

Compliance conclusion: **Conforms**

4.2.2.7 Implementation of changes to the scheme

- 44 Does the scheme documentation define transition period(s) for implementation of changes to the endorsed scheme in compliance with chapter 5 of Annex 3. (This is not applicable to the initial endorsement of a scheme)

Regarding the transition period SFCS defines: “Transition period for the introducing, information dissemination and training about the changes resulting from the periodical revision of SFCS documentation is 12 months from the application date at maximum. For all certificates issued before the end of the transition period all changes have to be implemented by the time of their next surveillance audit” (SFCS 1001, 7.4, p. 15).

Compliance conclusion: **Conforms**

4.2.2.8 Appeals, complaints and dispute procedures

- 45 Has the PEFC National Governing Body set up or appointed an impartial and independent dispute settlement body on a permanent basis or does it have written procedures for the establishment of a dispute settlement body on an ad hoc basis?

SFCS 1002, 8, p. 19, states that “for the purposes of complaint and dispute settlement the national governing body shall have established, on a permanent basis, an impartial and independent dispute settlement and interpretation body. Procedures for this body are given in the guideline ND-004 SFCA procedures for the investigation and resolution of complaints and appeals.” ND 004 contains “SFCA procedures for the investiga-

tion and resolution of complaints and appeals”.

Compliance conclusion: Conforms

46 Has the PEFC National Governing Body established and have documented procedures for an independent dispute settlement body, either permanent or ad hoc, that takes care of those complaints arising from forest management or chain of custody scheme implementation that cannot be addressed in the dispute settlement procedures of the relevant certification or accreditation body?

SFCA 1002, 8, p. 19 states: “In case of forest certification, this body will deal with the complaints regarding the implementation of certification scheme into practice, interpretation of certification requirements (i.e. complaints and disputes regarding the interpretation of SFCS documentation) provided the interested parties do not come to dispute settlement or if the complaints are outside the scope of competence of certification or accreditation bodies.”

Note: The scope of ND 004 (ND 004 is given as reference in the MRC, Part II, req. 46, p. 8) is incomprehensible.

Compliance conclusion: Conforms

47 Can the dispute settlement body also resolve possible grievances in chain of custody certification that do not exclusively concern an applicant and a certification body?

The general requirement in ND 004, 2, p. 1, that „this guideline details procedures for complaints and appeals to the SFCA which concern decisions and/or activities of the SFCA”, means that SFCA's dispute settlement body resolves all grievances except of those defined in specific procedures.

Compliance conclusion: Conforms

48 Does the scheme documentation require that the accredited certification body has procedures for dispute settlement for all grievances between the applicant and the certification body?

SFCS 1005, 9.13, p. 15f., describes the procedures for dispute settlement of the certification bodies.

Compliance conclusion: Conforms

49 Does the scheme documentation require that the relevant accreditation body, whose accreditation covers the certification, deals with disputes and complaints concerning observance of the accreditation requirements?

In ND 004, 4.4, p. 2, it is required that “complaints submitted regarding a specific accredited certification body shall be referred to the relevant accreditation body's own complaints resolution procedure”.

Compliance conclusion: Conforms

4.2.2.9 Additional requirement according to MRC/10⁷

5/10 Does the scheme require that property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area?

“Respecting ownership rights and rights related to management of forest lands is important social indicator, especially for sustainable rural development. It is guaranteed by the Constitution of the Slovak Republic. All forest owners are obliged in accordance with valid law to manage and protect forests on sustainable basis, in planned way and on professional level, according to sustainable forest management and principles of care about landscape. Mainly forest management planning is a mean for fulfilling this objective“ (SFCS 1003, 6.1, p. 32f).

The further objectives, indicators and legislative references ensure the fulfillment of the requirement.

Compliance conclusion: **Conforms**

6/10 Does the scheme require the clarification, recognition and respect of legal, customary and traditional rights related to the forest land in compliance with chapter 3.5 of Annex?

Cf. req. 5/10.

Additionally indicator 6.7.4 of the forest management standard ensures the necessary communication between the relevant actors: “Communication with self-governments, local communities and NGOs on the impacts of sustainable forest management on the quality of life of inhabitants – competent proposals are incorporated into executive plans.

Verification method: mass media, information boards, information materials, actions for public, web pages, out-of-school education of public, documentation of forest manager, records from communication with public, NGO and self-governments in planning and performing management measures, documentation and solving stimuli and complaints, information of self-government, NGO, SAF and SAE” (SFCS 1003, 6.7.4, p. 37).

Compliance conclusion: **Conforms**

7/10 Does the scheme require that a summary of the forest management plan or its equivalent, which contains information about the forest management measures to be applied, is publicly available, except for confidential business and personal information?

In indicator 6.7.3 of the forest management standard it is required that “forest management plans, respective maps, basic frameworks of management and information on the results of management in forests are available for public, except strictly secret information which subject to trade secrecy” (SFCS 1003, 6.7.3, p. 37).

Compliance conclusion: **Conforms**

⁷ Cf. the annotation in 1.1 Scope of the assessment.

4.3 Assessment of the forest management standard

4.3.1 General

Annex 2 of the Resolution L2 „Pan-European Operational Level Guidelines for Sustainable Forest Management” describes potential uses for this framework. In the PEOLG, 2, p. 4, it is to read that “these guidelines can serve as a tool to improve communication and awareness building related to sustainable forest management. In addition, although certification and other quality assurance systems or programmes as such would remain independent from the Pan-European Process and are voluntary to the interested parties, the Guidelines could provide an indicative reference for the establishment of standards for those systems.”

The PEFC Council requires the use of these guidelines as a basis for the development of standards for sustainable forest management in Europe (cf. TD Annex 3, 3.3.1, p. 2).

The forest management standard of SFCA is based on the PEOLG guidelines. They comply with (SFCS 1003, p. 5f.):

- a) Resolutions of the UN Conference on the Environment and Development,
- b) Resolutions of the Ministerial Conferences on the Protection of Forests in Europe,
- c) Fundamental ILO Conventions,
- d) Other international conventions,
- e) National Forest Programme, 2007,
- f) National criteria and indicators for the assessment of sustainable forest management in the forests of Slovakia, 2004,
- g) Law No. 326/2005 Coll. on the forests as amended,
- h) Law No. 543/2002 Coll. on nature and landscape conservancy as amended,
- i) Labour Code – Act of NC SR No. 311/2001 of the Code as amended, respecting ILO Conventions ratified by the Slovak Republic.

The standard contains six criteria of Sustainable Forest Management, 66 sub-criteria, 50 regional indicators and 78 individual indicators. It is structured as follows (SFCS 1003, p. 7f.):

“a) **Criterion:** 6 basic Pan European criteria adopted by the Third Conference on the Protection of Forests in Europe in Lisbon 1998.

b) **Sub-criterion:** set of indicators that are used for the assessment of the level of sustainable forest management. They represent numerically quantified parameters or describe regulation mechanisms, institutional frameworks, economic tools and information basis needed for the fulfilment of the criterion as well as other tools, measures, agreements, etc. that have an influence on the conditions affecting the level of sustainable forest management and at same time it not possible or purposeful to assess or express them by any other units of measurement.

c) **Sub-criterion description:** defines a policy on the basis of which the objectives, requirements or processes for the applicant’s conformity assessment are determined.

d) **Sub-criterion objective:** defines an expected result or development trend when the indicator is met. It always complies with the basic PEFC documentation (PEOLG etc.) and with the objectives of sustainable forest management.

e) **Assessment indicators:** parameters, based on which, if periodically monitored and evaluated, it is possible to assess the character of passed changes or requirements fulfilment. They are divided into:

- a. **Indicators for regional level assessment** – referring to the entire certified area of the respective region.

b. **Indicators for individual level assessment** – referring to any individual forest manager participating in the certification through regional certification.

f) **Verification method:** specifies a source of information for the assessment of sub-criterion and criterion for audited entity or region.

g) **Note:** explains in details the meaning of a sub-criterion or points out particular issues regarding its evaluation.

h) **Legislative framework:** contains references to valid legislation norms incorporating or relating to the respective issue.”

Indicators for the assessment of compliance with the standard criteria on individual level (forest management unit) have been defined as well as indicators for the assessment of compliance on regional level (see above, section e)).

Compliance on individual level is necessary for the overall scheme compliance (cf. TD Annex 3). Indicators for regional level assessment could only be regarded in the compliance assessment, if they had an impact on forest management unit level (e.g. requirements of planning and monitoring).

4.3.2 Assessment of the particular requirements according to Part III PEFC C Minimum Requirement Checklist

Abbreviations:

IRL Indicators on Regional Level (NOT necessarily sufficient)

Are certification criteria used in the national or sub-national scheme based on Pan European Criteria and Indicators for SFM as a common framework?

The SFCS certification criteria are based on the Pan-European Criteria and Indicators for Sustainable Forest Management.	SFCS 1001, 5.3 SFCS 1002, 4.1 SFCS 2003
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Compliance conclusion: Conforms

Have the Pan-European Operational Level Guidelines (PEOLG) formed the reference base when the national and regional criteria were elaborated, amended or revised?

The PEOLG formed the reference basis of the development and the revision of certification criteria.	SFCS 1001, 5.3 SFCS 1002, 4.1 SFCS 2003
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Compliance conclusion: Conforms

4.3.2.1 CRITERION 1: Maintenance and appropriate enhancement of forest resources and their contribution to global carbon cycles

1.1 Guidelines for Forest Management Planning

PEOLG 1.1.a

The SFCS requires management plans that aim to maintain or increase the existing area of forest, increase their economic, ecological, cultural and social value, including soil and water resources; FMPs take into account nature conservation	SFCS 1003, 1.2; 1.1; 4.3; 5.2; 5.3
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and serve for landscape planning.

Compliance conclusion: Conforms

PEOLG 1.1.b

The SFCS prescribes management plans that are based on inventory and mapping of forest resources; these shall secure professional forest management in accordance with the prescriptions of sustainable forest management and accept and optimise all existing ways of forest utilisation.

SFCS 1003, 1.2

Compliance conclusion: Conforms

PEOLG 1.1.c

The SFCS requires the elaboration of management plans that they shall be harmonised with legislation and landscape planning; these management models shall be up-dated regularly.

SFCS 1003, 1.2; 3.4
IRL: 3.4.1

Compliance conclusion: Conforms

PEOLG 1.1.d

The SFCS requires the monitoring of forest management on a periodic basis.

SFCS 1003, 1.2; 3.4

Compliance conclusion: Conforms

1.2 Guidelines for Forest Management Practices

PEOLG 1.2.a

The SFCS stipulates forest management practices that secure the quality and quantity of the forest in the medium and long term; the sustainability of yield is to be secured and environmental damage minimised.

SFCS 1003, 1.3; 3.1

Compliance conclusion: Conforms

PEOLG 1.2.b

The SFCS requires silvicultural measures that preserve or increase the existing standing value of forests at all levels of sustainability.

SFCS 1003, 1.3;
1.4; 3.4

Compliance conclusion: Conforms

PEOLG 1.2.c

The SFCS requires converting treeless land to forest land

SFCS 1003, 1.5

where appropriate.

Compliance conclusion: Conforms

4.3.2.2 CRITERION 2: Maintenance of forest ecosystem health and vitality

2.1 Guidelines for Forest Management Planning

PEOLG 2.1.a

The SFCS requires measures to increase the vitality and stability of disturbed forest ecosystems; according to Slovak law, forest state and development are assessed regularly with the results forming the basis for the forest management planning.

SFCS 1003, 1.2; 2.1;
Act on Forests 326/2005, § 55
Decree on forest management and forest protection 453/2006, § 31

Compliance conclusion: Conforms

PEOLG 2.1.b

The SFCS prescribes periodic monitoring of major injurious agents.

SFCS 1003, 2.2;
IRL: 1.2.2; 3.4; IIL: 3.4.2

Compliance conclusion: Conforms

PEOLG 2.1.c

The SFCS requires integrated forest protection by effective prevention and ecologically acceptable suppression in accordance with national and international legislation and agreements.

SFCS 1003, 2.1

Compliance conclusion: Conforms

2.2 Guidelines for Forest Management Practices

PEOLG 2.2.a

The SFCS aims to maintain and enhance the stability of forests by strengthening the natural regulation mechanisms, e.g. by encouraging biodiversity.

SFCS 1003, 2.1; 4.1

Compliance conclusion: Conforms

PEOLG 2.2.b

The SFCS requires appropriate forest management practices, namely the usage of tree species suited to the sites for afforestation and reforestation, the minimisation of damage

SFCS 1003, 2.3; 1,4; 1.5; AND 4.1 (4.1 is not men-

by tending and harvest operations and the avoidance of oil spillage or waste disposal in forests.

tioned in the minimum requirements checklist)

Compliance conclusion: Conforms

PEOLG 2.2.c

The SFCS prescribes the minimisation of the usage of pesticides and their substitution by silvicultural and biological measures.

SFCS 1003, 2.4

Compliance conclusion: Conforms

PEOLG 2.2.d

SFCS prescribes the minimisation of the usage of fertilisers and their substitution by silvicultural and biological measures.

SFCS 1003, 2.5

Compliance conclusion: Conforms

4.3.2.3 CRITERION 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)

3.1 Guidelines for Forest Management Planning

PEOLG 3.1.a

The SFCS stipulates a forest management that guarantees the maintenance of the capability of the forest to produce wood, non-wood products and services.

SFCS 1003, 1.2; 3.1; 3.3

Compliance conclusion: Conforms

PEOLG 3.1.b

The SFCS requires the achievement of sound economic performance of forest management and encourages the diversification of revenues from the forest.

SFCS 1003, 3.2; 3.3

Compliance conclusion: Conforms

PEOLG 3.1.c

The SFCS calls for FMP's that determine long-term objectives, outlooks and planned tasks of forest management; FMP's shall be harmonised with development strategies, territorial planning and nature conservation.

SFCS 1003, 1.2; 3.1; 3.3

Compliance conclusion: Conforms

3.2 Guidelines for Forest Management Practices

PEOLG 3.2.a

The SFCS stipulates the quality of forest management practices to preserve the production capability and the health of the forest, the diversification of revenues from forest products and services is supported.

SFCS 1003, 3.4; 3.3

Compliance conclusion: **Conforms**

PEOLG 3.2.b

The SFCS prescribes forest management operations of a kind that secure the preservation of the existing quality and quantity of the forest resource and that minimise negative impact on the remaining stand, soil and water resources.

SFCS 1003, 3.4; 1.3

Compliance conclusion: **Conforms**

PEOLG 3.2.c

The SFCS secures the sustainability of timber harvest and of the collection of non-wood forest products; it requires an optimal usage of forest goods by taking into account the nutrient depletion.

SFCS 1003, 3.1; 3.3

Compliance conclusion: **Conforms**

PEOLG 3.2.d

The SFCS requires the planning of infrastructure to secure effective transportation and at the same time minimise the impact on the environment.

SFCS 1003, 3.5

Compliance conclusion: **Conforms**

4.3.2.4 CRITERION 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems

4.1 Guidelines for Forest Management Planning

PEOLG 4.1.a

The SFCS requires the preservation of biodiversity on different levels: genetic, species and ecosystem level; preservation of biodiversity on landscape level is required by law.

SFCS 1003, 4.1; 4.2; 4.4; AND 4.3 (4.3 is not mentioned in the minimum requirements checklist);
Act on nature and landscape protection 543/2002, part 3

Compliance conclusion: Conforms

PEOLG 4.1.b

The SFCS prescribes an inventory and mapping of ecologically important (i.e. rare, sensitive or representative) forest ecosystems; records must be kept on endangered or protected species.

SFCS 1003, 4.3; 4.7

Compliance conclusion: Conforms

4.2 Guidelines for Forest Management Practices

PEOLG 4.2.a

The SFCS stipulates the preference of natural regeneration where possible.

SFCS 1003, 4.1

Compliance conclusion: Conforms

PEOLG 4.2.b

The SFCS requires native tree species and local provenances for afforestation and reforestation; introduced species can only be accepted where their effect on the ecosystem and the local provenances have been assessed and found to be not dangerous.

SFCS 1003, 4.1; 4.4; 4.5

Compliance conclusion: Conforms

PEOLG 4.2.c

The SFCS prescribes to apply measures to create horizontal, vertical and species diversity in forest stands; practices to maintain and restore diversity on landscape level are required by law to be specified within the forest management plans.

SFCS 1003, 4.2; 1.4; Act on nature and landscape protection 543/2002, part 3

Compliance conclusion: Conforms

PEOLG 4.2.d

The SFCS calls for management activities to protect very valuable biotopes.

SFCS 1003, 4.7
SFCS 1003, IRL: 4.7.2.

Compliance conclusion: Conforms

PEOLG 4.2.e

The SFCS requires the application of suitable silvicultural practices to maintain and enhance biodiversity.

SFCS 1003, 4.3
(4.3 is not mentioned in the minimum requirements checklist)

Compliance conclusion: Conforms

PEOLG 4.2.f

The SFCS stipulates to minimise the impacts on the environment when planning and developing infrastructure; valuable ecosystems and migration routes of endangered or other animal species shall not be disturbed by it.

SFCS 1003, 3.5; 4.3; 4.7

Compliance conclusion: Conforms

PEOLG 4.2.g

The SFCS requires measures of forest protection against grazing of animals that threatens the health and vitality of the forest.

SFCS 1003, 2.2; 3.3

Compliance conclusion: Conforms

PEOLG 4.2.h

The SFCS prescribes to leave dead wood and trees for biodiversity enhancement in the stands with consideration of their possible negative effect on surrounding ecosystems.

SFCS 1003, 4.6

Compliance conclusion: Conforms

PEOLG 4.2.i

The SFCS requires the protection or revitalisation of special biotopes in forests.

SFCS 1003, 4.7

Compliance conclusion: Conforms

4.3.2.5 CRITERION 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)

5.1 Guidelines for Forest Management Planning

PEOLG 5.1.a

The SFCS requires FMP's to take into account the requirements for nature conservation and to optimise the utilisation of forest and their specific functions; management shall support the protective functions of forests.

SFCS 1003, 1.2; 5.1

Compliance conclusion: Conforms

PEOLG 5.1.b

The SFCS requires the inventory and mapping of forest resources including records on areas fulfilling special and protective functions; FMP's are based on these records.

SFCS 1003, 1.2
(1.2 is not mentioned in the minimum requirements checklist)

Compliance conclusion: Conforms

5.2 Guidelines for Forest Management Practices

PEOLG 5.2.a

The SFCS prescribes careful silvicultural measures and the avoidance of unsuitable management practices on vulnerable soils and areas inclined to erosion or excessive washing-off of soil into water courses; special measures against grazing are also required.

SFCS 1003, 5.2; 2.3; 2.2; IIL: 2.2.4; IIL: 2.2.5

Compliance conclusion: Conforms

PEOLG 5.2.b

The SFCS prescribes careful silvicultural measures on forests with prevailing function of water protection; unsuitable application of chemicals as well as unsuitable silvicultural measures shall be avoided.

SFCS 1003, 5.3; 5.4; 2.4; 2.5

Compliance conclusion: **Conforms**

PEOLG 5.2.c

The SFCS requires longitudinal and crosswise drainage on forest roads and slope roads; the maintenance of the ecological stability of the forest is required by law and by the Slovak standard STN.

SFCS 1003, 2.3; 3.5; Act on territorial planning and building order 50/1976 as amended (Building act), § 2; STN 736108 – Forests roads

Compliance conclusion: **Conforms**

4.3.2.6 CRITERION 6: Maintenance of other socio-economic functions and conditions
6.1 Guidelines for Forest Management Planning
PEOLG 6.1.a

The SFCS requires FMP's to regard and optimise the different ways of forest utilisation and to secure the role of forestry in rural development; the employment rate in the forest sector shall be enforced.

SFCS 1003, 1.2; 6.2

Compliance conclusion: **Conforms**

PEOLG 6.1.b

SFCS requires the recording of forest land ownership, administration and management rights.

SFCS 1003, 6.1

Compliance conclusion: **Conforms**

PEOLG 6.1.c

The SFCS requires the accessibility of forest land to the public for recreation as long as special forest functions are not compromised.

SFCS 1003, 6.5

Compliance conclusion: **Conforms**

PEOLG 6.1.d

The SFCS prescribes the protection and special management of forest sites of important cultural or spiritual value.

SFCS 1003, 6.6

Compliance conclusion: **Conforms**

PEOLG 6.1.e

The SFCS stipulates that the education of forest managers, contractors and employees related to sustainable forest management shall be secured, their skills and knowledge possibly improved.

SFCS 1003, 6.4

Compliance conclusion: **Conforms**

6.2 Guidelines for Forest Management Practices
PEOLG 6.2.a

The SFCS requires the right of the public to participate in decision making in regards of the forest; competent proposals of self-governments, local communities and NGO's are incorporated in executive plans; and according to the Slovak legislation, the proposed management activities have to be discussed with the forest owner during the process of approval of FMP.

SFCS 1003, 6.7; IIL: 6.7.4

Decree on forest management and forest protection 453/2006, § 35

Compliance conclusion: **Conforms**

PEOLG 6.2.b

The SFCS requires safe working conditions and training of employees in safe working practice.

SFCS 1003, 6.3

Compliance conclusion: **Conforms**

PEOLG 6.2.c

The SFCS requires forest management to take into account and support the recreational and aesthetic function of forests without negative effect on the other functions of the forest.

SFCS 1003, 6.6; 6.7; 6.5

Compliance conclusion: **Conforms**

4.4 Assessment of the chain of custody

By definition of PEFC, chain of custody stands for “all the changes of custodianship of forest based products, and products thereof, during the harvesting, transportation, processing and distribution chain from the forest to the end-use”, (Annex 4 Chain of Custody of Forest Based Products – Requirements, p. 4). The PEFC Council offers two alternatives to safeguard a reliable chain of custody of forest based products:

- (1) The adoption of Annex 4 of the Technical Document (Chain of Custody of Forest Based Products – Requirements) or
- (2) The development of a country specific standard that meets at least the requirements of TD Annex 4.

The SFCS document 1004 Chain of custody of forest based products – requirements represents a Slovak translation of Annex 4 of PEFC Technical Document Chain of custody of forest based products - requirements and is part of the Slovak Forest Certification System.

It was approved by the SFCA General Assembly on October 1, 2009 (cf. DR, p. 4).

4.5 Assessment of the logo usage rules

The SFCA General Assembly also approved the International Standard of the PEFC Council, PEFC ST 2001:2008 - PEFC Logo Usage Rules – Requirements as part of the SFCS documentation (cf. DR, p. 4).

4.6 Assessment of the certification and accreditation requirements

4.6.1 General

The general framework for certification and accreditation is already demonstrated in the general system description SFCS 1001. Chapter 10 comprises general requirements on certification bodies and a description of the certification process, chapter 11 covers accreditation and notification.

Specific requirements for certification bodies for forest management are described in SFCS 1005. The specific regulations for certification bodies for chain of custody are documented in TD SFCS 1006. The requirements in both documents are closely related to the wording of the PEFC Council documents.

4.6.2 Assessment of the particular requirements according to Part VII PEFC C Minimum Requirement Checklist

4.6.2.1 Certification bodies

- 1 Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?

In both documents with requirements on certification bodies it is stated in the same wording that “PEFC certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making bodies, or in the forest management and are independent of the certified entity” (SFCS 1005, 5, p. 6 and SFCS 1006, 4, p. 5).

Compliance conclusion: **Conforms**

- 2 Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?

“Certification bodies considered competent by the PEFC Council to carry out forest verification, shall fulfill all requirements defined in STN EN ISO/IEC 17021...” (SFCS 1005, 5, p. 6).

Compliance conclusion: **Conforms**

- 3 Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?

“The certification bodies considered competent by the PEFC Council to carry out chain of custody verification shall fulfil all the requirements defined in STN EN 45011” (SFCS 1006, 4, p. 5).

STN EN 45011 conforms to ISO Guide 65.

Compliance conclusion: **Conforms**

- 4 Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?

SFCS 1005, 5a, p. 6, requires that “the certification body carrying out forest certification shall have technical competence in forest management, on its economic, social and environmental impacts, and on the forest certification criteria.”

Compliance conclusion: Conforms

- 5 Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?

Analogous to SFCS 1005 SFCS 1006, 4a, p. 5, requires that “the certification body carrying out certification of chain of custody shall have technical competence in the area of forest products procurement and processing, material flows in different stages of processing and trading.”

Compliance conclusion: Conforms

- 6 Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management or C-o-C certifications?

“The certification body shall have a good understanding of the national PEFC system against which it carries out forest management certification” (SFCS 1005, 5, p. 6) and “the certification body shall have a good understanding of the international PEFC chain of custody standard” (SFCS 1006, 4, p. 6) are general SFCS requirements on certification bodies

Compliance conclusion: Conforms

- 7 Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification?

Both documents with requirements on certification bodies define the needed competencies for auditors:

“The certification bodies are responsible for the selection of qualified auditors that possess adequate technical knowledge of the certification process and issues related to forest certification. The certification body shall have documented procedures that assure that auditors fulfil personal competencies, knowledge and experience in compliance with the requirements given in clauses 7.1, 7.2, 7.3.1 and 7.3.2 of ISO 19011” (SFCS 1005, 7.2, p. 7).

“The certification bodies are responsible for the selection of qualified auditors that possess adequate technical knowledge of the certification process and issues related to chain of custody. The certification body shall have documented procedures that assure that auditors fulfil personal competencies, knowledge and experience in compliance

with the requirements given in clauses 7.1, 7.2, 7.3.1 and 7.3.2 of ISO 19011” (SFCS 1006, 5.2, p. 6).

Furthermore both documents define specific requirements on the qualification of auditors.

Compliance conclusion: Conforms

8 Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?

Cf. requirement 7

Compliance conclusion: Conforms

9 Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits?

“For auditors carrying out forest management audits the scheme requires that the auditors shall:

- a) meet general criteria for consultants/auditors of quality systems as defined in STN EN ISO 19011:2003,
- b) possess relevant qualification and practical experience in the area of forest management,
- c) prove relevant knowledge of the Slovak Forest Certification System“ (SFCS 1005, 7.2, p. 7).

For chain of custody auditors apply besides the analogous requirements the following: “A relevant qualification and practical experience listed in the bullet point (b) is a university education in the appropriate area related to wood processing. Professional competencies in the area of wood processing industry can be ensured by involving a technical expert who meets the criteria defined in the bullet point (b) into the team of auditors. As a proof of the relevant knowledge of the international PEFC chain of custody standard specified in the bullet point (c) a completion of an appropriate training course aimed at the issues of chain of custody is required” (SFCS 1006, 5.3, p. 6f.).

Compliance conclusion: Conforms

4.6.2.2 Certification procedures

10 Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?

SFCS 1005, 5d, p. 6, and SFCS 1006, 4d, p. 6, require using the same wording that “the certification body shall have elaborated a certification scheme for [forest management] [chain of custody] certification, which includes all procedures and requirements of this certification.”

Compliance conclusion: Conforms

- 11 Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?

“For the purposes of this document, all general requirements for application for certification and its review, initial audit and certification, surveillance activities, recertification, special audits, suspending, withdrawing or reducing the scope of certification, appeals, complaints and records of applicants given in clause 9.1 to 9.9 of STN EN ISO/IEC 17021 apply. The applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011” (SFCS 1005, 9, p. 9).

Clauses 9.1 to 9.9 of STN EN ISO/IEC 17021 cover the relevant aspects regarding certification procedures.

Compliance conclusion: Conforms

- 12 Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?

“All the requirements regarding the information on the procedure, application for certification, preparation for evaluation, evaluation, evaluation report, decision on certification and surveillance given in clause 8 to 13 of STN EN 45011 apply. The applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011” (SFCS 1006, 8, p. 7).

Clauses 8 to 13 of STN EN 45011 cover the relevant aspects regarding certification procedures.

Compliance conclusion: Conforms

- 13 Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?

Cf. requirements 11 and 12

Compliance conclusion: Conforms

- 14 Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates?

Concerning forest management certification SFCS 1005, 5c, p. 6, requires that “the certification body shall inform the PEFC national governing body about all issued forest management certificates and changes concerning validity and scope of these certificates.”

Regarding chain of custody certification the requirement is met by the statement that “the certification body shall inform the PEFC national governing body about all issued

chain of custody certificates and changes concerning validity and scope of these certificates” (SFCS 1006, 4c, p. 6).

Compliance conclusion: Conforms

15 Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?

Concerning CoC certification SFCS 1006, 9, p. 7, requires that “if the certified entity is a PEFC logo user the certification body carries out control of PEFC logo usage against the Rules for PEFC logo usage.”

In forest management certification there can be found a constricted requirement, only covering surveillance activities: “Surveillance covers a control of PEFC logo usage in case the certified entity uses the PEFC logo” (SFCS 1005, 9.9, p. 14).

PEFC Slovakia argues that “SFCA signs contracts for PEFC logo usage only for the period of certificate validity. New application for PEFC logo usage must be send by the applicant after a new certificate has been issued. So that any re-certification audit can be also considered to be surveillance for logo usage for the last year of certificate validity” (Comments, p.).

In the judgement of the consultant the meaning of the Slovakian rules and standards are clear enough to ensure the control of the logo usage.

Compliance conclusion: Conforms

16 Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?

“Surveillance audits are conducted annually during the certificate validity” is the relevant standard requirement in the forest management certification procedures (SFCS 1005, 9.9, p. 14).

In the CoC document it is formulated even more detailed: “The maximum period for surveillance audits is one year and maximum period for re-assessment audit is five years” (SFCS 1006, 8, p. 7).

Compliance conclusion: Conforms

17 Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?

“The certification body shall conduct recertification audit no later than 3 years from the initial certification” is required in SFCS 1005, 9.10, p. 14.

In CoC certification the maximum period is five years (cf. requirement 16).

Compliance conclusion: Conforms

18 Does the scheme documentation include requirements for public availability of certification report summaries?

“A summary of the certification report, including a summary of findings on the conformity with the forest management standards, written by the certification body shall be made available to the public through:

- a) certification body,
- b) applicant, and
- c) national governing body” (SFCS 1005, 8.1, p. 9).

Compliance conclusion: Conforms

19 Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?

“Annually, the applicant carries out for each participant the analysis of information of third parties aimed at the respecting of objectives of certification criteria, national legislation and international regulations, conventions and agreements related to sustainable forest management (SFM) for each participant. The analysis is the basis for certification, surveillance and recertification audits carried out by the certification body” (SFCS 1002, 4.3.2, p. 8).

Compliance conclusion: Conforms

20 Does the scheme documentation include additional requirements for certification procedures?

SFCS configures numerous detailed requirements on the audit and certification procedures in forest management certification (cf. SFCS 1005, 9).

Compliance conclusion: Conforms

4.6.2.3 Accreditation procedures

21 Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?

“Certification bodies shall be accredited by a national accreditation body as to ensure the credibility of certification and to facilitate mutual recognition” is required for CoC and forest management certification” (SFCS 1005, 11, p. 16, and SFCS 1006, 11, p. 7).

Compliance conclusion: Conforms

22 Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?

“An accredited certificate shall bear an accreditation symbol of the relevant accreditation body” (SFCS 1005, 11, p. 16, and SFCS 1006, 11, p. 7f).

Compliance conclusion: Conforms

23 Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF’s special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?

“Such national accreditation body shall be a member of International Accreditation Forum (IAF) or a member of IAF’s special recognition regional groups and implement procedures described in ISO/IEC 17011:2004 and other documents recognised by the above organisations” (SFCS 1005, 11, p. 16, and SFCS 1006, 11, p. 7).

Compliance conclusion: Conforms

24 Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as “accredited certification” based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?

SFCS 1001, 11, p. 18, requires that “accreditation of certification bodies operating forest management certification shall be based on STN EN ISO/IEC 17021 within the scope defined by the national standards for forest management.

Accreditation of certification bodies operating chain of custody certification shall be based on STN EN 45011 within the scope defined by the technical document SFCS 1006:2009 Requirements for certification and accreditation of certification bodies operating certification of chain of custody of forest based products”.

Compliance conclusion: Conforms

25 Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as “accredited certification” based on ISO Guide 65?

“The certification body carrying out chain of custody certification against the international PEFC chain of custody standard shall be accredited based on STN EN 45 011” (SFCS 1006, 11, p. 8).

STN EN 45 011 conforms to ISO Guide 65.

Compliance conclusion: Conforms

26 Does the scheme documentation include a mechanism for PEFC notification of certification bodies?

Chapter 12 in both documents (SFCS 1005, p. 16, for forest management, SFCS 1006, p. 8, for CoC) covers notification of certification bodies:

“Certification bodies operating chain of custody certification in the Slovak Republic shall be notified by the national governing body. In order to ensure the independence of certification bodies the PEFC notification conditions decided by the national governing body shall only cover:

- a) administrative conditions (e.g. communication of the certification body with the national governing body, transfer of information, etc.),
- b) financial conditions (fees imposed on certified entities),
- c) compliance with requirements for certification bodies verified through accreditation as described in chapter 11.

The PEFC notification conditions shall not discriminate against certification bodies or create trade obstacles.”

Details are regulated in the SFCS document ND 003 “Guideline for PEFC notification of certification bodies operating forest management and chain of custody certification in the Slovak Republic”.

Compliance conclusion: Conforms

27 Are the procedures for PEFC notification of certification bodies non-discriminatory?

ND 003 covers details regarding notification procedures. The document contains conditions for notification. The certification bodies “...shall:

- be a legal entity;
- agree to be listed on the publicly available PEFC Council Internet database including
- the certification body’s identification data;
- have valid accreditation issued, by a national accreditation body which is a member or a part of IAF (International Accreditation Forum). The accreditation for certification bodies operating forest management certification shall be issued against ISO Guide 62 (*General requirements for bodies operating assessment and certification / registration of quality systems*) and the scope of the accreditation shall explicitly include SFCS 1001:2004, SFCS 1002:2004, SFCS 1003:2004 and 1006:2004. The accreditation for certification bodies operating chain of custody certification shall be issued against ISO Guide 65 (*General requirements for certification / registration bodies operating product certification*) and the scope of the accreditation shall explicitly include SFCS 1004:2005 (Annex 4 of PEFC Technical Document);
- sign a PEFC notification contract with the PEFC National Governing Body (*Appendix I*)” (ND 003, 3, p. 2).

Furthermore the notification procedures are describes as it shown by

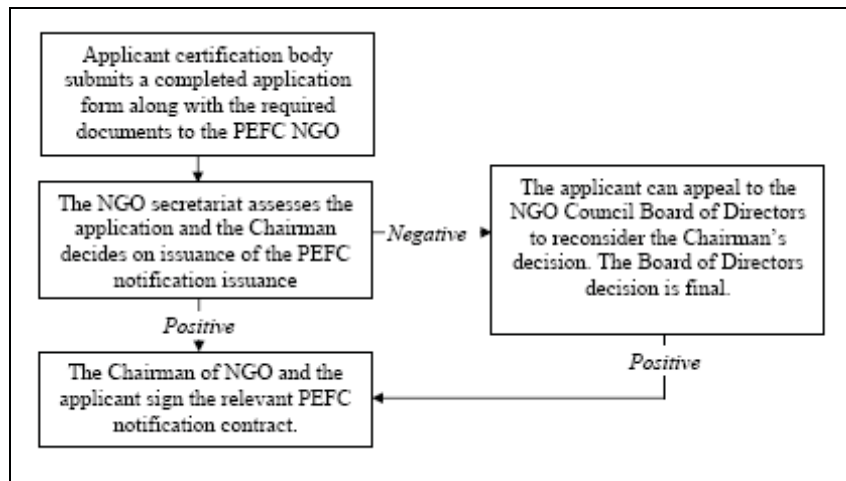


Figure 4: PEFC notification issuance procedures (source: ND 003, 4, p. 3)

The documented obligations of PEFC notified bodies as well as the notification contract give no evidence of discrimination (cf. ND 003, 5, p. 3 and appendix 1).

Compliance conclusion: Conforms

Annexes

A 1 PEFC Council Minimum Requirements Checklist

Guidelines PEFC Council Minimum Re- quirements Checklist		
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Part I: Minimum requirements checklist for standard setting process (Annex 2)

Part II: Minimum requirements checklist for certification schemes and their implementation (Annex 3)

Part III: Minimum requirements checklist for scheme compliance with PEOLG (Annex 3, chapter 4.2)

Part VII: Minimum requirements checklist for certification and accreditation procedures (Annex 6)

Part I: Minimum requirements checklist for standard setting process (Annex 2)

Scope

Part I covers the requirements for the standard setting process defined in Annex 2 of the PEFC Council Technical Document (*Rules for Standard Setting*).

CHECKLIST

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
Standard setting for forest certification					
1	Has the development of the certification standards been independent from the certification and accreditation process? [¹]	Annex 2, 3.2	Doc.	Yes	ND 002, 3, p. 2 ff Statute
			Process	Yes	DR
2	Has the standard setting process been carried out at national and/or sub-national levels?	Annex 2, 3.3	Doc.	Yes	ND 002
			Process	Yes	DR
3.	Has the standard setting process been co-ordinated by the PEFC National Governing Body? [¹]	Annex 2, 3.3	Doc.	Yes	ND 002 3.3, p. 2
			Process	Yes	DR, p. 1
4.	Has the certification standard been drafted to be applied at individual and/or group and/or regional level?	Annex 2, 3.3		Yes	SFCS 1001, 8, p. 15
5.	Has the development of certification criteria been initiated by national forest owners' organisations or national forestry sector organisations having support of the major forest owners' organisations in that country? [¹]	Annex 2, 3.4.1		Yes	Comments p. 5 (Table 11, Table 15, Table 16) ⁸

⁸ According to the note in Footnote 3 the information in braces refers to the element of this report containing the original information from Comments.

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
6.	Have all relevant interested parties representing the different aspects of sustainable forest management been invited to participate in the standard setting process and a created Forum? [¹]	Annex 2, 3.4.1	Doc.	Yes	SFCS 1001, 7.1, p. 14 ND 002, 3.4, p. 2 ND 002, 4.2, p. 4
			Process	Yes	Invitation to public opening + list of invited stakeholders Comments, p. 5 (Table 13)
7.	Do consensus-building procedures of the Forum provide for balanced representation of interest categories? [²]	Annex 2, 3.4.1	Doc.	Yes	ND 002, 4.2.2, p. 4 ND 002, 4.3.2, p. 5 ND 002, 4.3.2, p. 6
			Process	Yes	DR
8.	Have the views of all relevant interested parties been documented and considered in an open and transparent way? [³]	Annex 2, 3.4.1	Doc.	Yes	ND 002, 4.3.1, p. 5
			Process	Yes	DR, p. 2 M2 TC
9.	Has the formal approval of standards been based on evidence of consensus? [³]	Annex 2, 3.4.1	Doc.	Yes	ND 002, 4.3.2, p. 5 ND 002, 4.5.2, p. 7 SFCA Statute, V, 1.12
			Process	Yes	DR, p. 3 M3 TC M GA
10.	Does the implementation of the consensus based approach comply with Guideline GL 5/2006	GL 5/2006	Doc.	Yes	ND 002, 4.3.2, p. 5
			Process	Yes	M3 TC M GA
11.	Has the Forum defined its own written procedures which have been made available to interest parties upon request? [²]	Annex 2, 3.4.1	Doc.	Yes	ND 002, 4.2.2, p. 4
			Process	Yes	ND 002 http://www.pefc.sk/en/index.php?option=com_cont

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
					ent&task=view&id=6&Itemid=6
12.	Do the written procedures for standard setting contain an appeal mechanism for impartial handling of any substantive and procedural complaints? [*2]	Annex 2, 3.4.1	Doc.	Yes	ND 002, 7, p. 7
			Process	Yes	"No substantial disputes have occurred during the revision process, therefore there was no application of this mechanism applied" (Comments, p. 14).
13.	Has the start of the standard setting process been communicated to the public? [*3]	Annex 2, 3.4.2	Doc.	Yes	ND 002, 4.2.1, p. 4
			Process	Yes	DR http://www.pefc.sk/index.php?option=com_content&task=view&id=40&Itemid=23
14.	Has the information on the development process been distributed and discussed? [*3]	Annex 2, 3.4.2	Doc.	Yes	ND 002, 4.3.2, p. 5
			Process	Yes	DR, p. 1 Invitation to public opening
15.	Has the final draft standard been available to all interested parties, e.g. by posting it on the Internet? [*3]	Annex 2, 3.4.2	Doc.	Yes	ND 002, 4.4.2, p. 6
			Process	Yes	DR, p.3 http://www.pefc.sk/index.php?option=com_content&task=view&id=41&Itemid=29
16.	Has the final draft standard been sent out for formal national consultation process? [*3]	Annex 2, 3.4.3	Doc.	Yes	ND 002, 4.4.2, p. 6
			Process	Yes	http://www.pefc.sk/index.php?option=com_content&task=view&id=41&Itemid=29
17.	Have views of interested parties been discussed? [*3]	Annex 2, 3.4.3	Doc.	Yes	ND 002, 4.4.2, p. 6
			Process	Yes	M3 TC

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
					DR, p. 4
18.	Has the Forum given general information on the changes made as a result of a consultation process? [³]	Annex 2, 3.4.3	Doc.	Yes	ND 002, 4.4.2, p. 6
			Process	Yes	DR, p. 3 M3 TC http://www.pefc.sk/index.php?option=com_content&task=view&id=41&Itemid=29
19.	Had the consultation been at least 60 days? [³]	Annex 2, 3.4.3	Doc.	Yes	SFCS 1001, 7.1, p. 14
			Process	Yes	In the MRC-SL, Part I, req. 19, it is minuted that the consultation period has been lasting from June 1 to August 2, 2009.
Pilot testing					
35.	Have the first results on the testing of the final drafts for national/sub-national forest certification standards and their implementation arrangements been available prior to submission of the scheme for the PEFC Council endorsement and mutual recognition? [⁷]	Annex 2, 5	Doc.	Yes	The SFCA Board proposed to use the experience gained from the application of the previous standard (cf. M1 TC)
			Process	Yes	In the MRC it is pointed out that "experience gained from the application of the current standards substitute pilot testing" (MRC, req. 35, p. 4).
Review of standards					
37.	Have the standards on forest and chain of custody certifications been reviewed at least every 5 years or is it foreseen to review these standards at least every 5 years?	Annex 2, 6.1	Doc.	Yes	ND 002, 6, p. 7 SFCS 1001, 7.2, p. 14
			Process	Yes	M1 TC
38.	Does the scheme documentation indicate which organisation is responsible to initiate the re-	Annex 2, 6.1		Yes	SFCS 1001, 7.1, p. 14

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
	vision work?				

Application documentation

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*) shall include information which enables the assessment of the applicant scheme's compliance with the PEFC Council requirements.

The application documentation should identify and make reference to other detailed documentation such as minutes, internal procedures and rules, reports, etc. which do not need to create a part of the application documentation.

Asses. basis* The standard setting is assessed against the PEFC Council requirements in two stages (i) compliance of written standard setting procedures (Doc.) and (ii) compliance of the standard setting process itself (Process).

YES/NO* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] Includes a description of an organisation responsible for co-ordination and decision making in the forest management standard setting process; details on organisations and/or individuals who participated and/or who were invited to participate in the standard setting process including their status (forest owners, industry, E-NGO, etc.); creation of a Forum and representation of different stakeholders.

Questions: 1, 3, 5, 6

[*2] Includes information on written procedures for forest management standard setting process adopted by the Forum

Questions: 7, 11, 12

[*3] Includes a description of the forest management standard setting process including measures for ensuring transparency and credibility of the standard setting process; details on meetings and other events; public availability of draft documents; consultation process and time periods.

Questions: 8, 9, 13, 14, 15, 16, 17, 18, 19

[*4] Includes a description of an organisation responsible for co-ordination and decision making of the chain of custody standard setting process, details on organisations and/or individuals who participated and/or who were invited to participate in the standard setting process including their status (forest owners, industry, E-NGO, etc.); creation of a Forum and representation of different stakeholders.

Questions: 20, 21, 22

[*5] Includes a description of the chain of custody standard setting process including measures for ensuring transparency and credibility of the standard setting process; details on meetings and other events; public availability of draft documents; consultation process and time periods.

Questions: 24, 25, 29, 30, 31, 32, 33, 34

[*6] Includes information on written procedures for chain of custody standard setting process adopted by the Forum.

Questions: 23, 27, 28

[*7] Includes information on pilot project(s) for the testing of forest management and/or chain of custody standards; scope of the pilot projects; details on organisations/individuals participated in the pilot projects; results of the pilot projects and follow up actions.

Questions: 35, 36

[*8] Includes a description of the process of review and revision of the national standard(s)

Questions: 39, 40, 41

PART II: Minimum requirements checklist for certification schemes and their implementation (Annex 3)

Scope

Part II covers requirements for certification schemes and their implementation given in Annex 3 of the PEFC Council Technical Document (*Basis for certification schemes and their implementation*).

CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
General requirements for certification criteria				
1	Are the criteria relevant to all types of forests and management systems, which exist in the nation/region they have been elaborated for?	Annex 3	Yes	SFCS 1001, 5.2, p. 12 SFCS 1003, 1a, p. 5
2	Do the criteria clearly express the objectives for forest management that can be unambiguously verified by different auditors?	Annex 3	Yes	SFCS 1003
3	Are management and performance requirements applicable at the level of a forest management unit?	Annex 3	Yes	SFCS 1003, 7e, p. 8
4	Are management and performance requirements applicable optionally also at group and regional levels? [*1]	Annex 3	Yes	SFCS 1001, 8, p. 15
Laws and regulations				
5	Are the national certification criteria in compliance with national laws programmes and policies?	Annex 3, 3.2	Yes	SFCS 1001, 5.2, p. 12
6	Are the references to national laws, programs and policies indicated in the scheme documentation when relevant, e.g., if the requirement of the PEOLG is not addressed in the certification criteria but is included in normative regulations?	Annex 3	Yes	SFCS 1003, 7h, p. 8 SFCS 1003, 1, p. 5f.
7	Does the scheme include the requirement that any apparent violation of the legislation shall be taken into consideration in internal and external audits?	Annex 3, 3.2	Yes	SFCS 1002, 5.7, p.12f. SFCS 1005, 9.6.4, p.13
ILO Conventions				

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
8	Are the Fundamental ILO Conventions ratified by the country and implemented through the legislative framework?	Annex 3, 3.3	Yes	SFCS 1001, 5.4, p. 12
9	Do the national certification criteria address the core elements of those Fundamental ILO Conventions, which have been not ratified by the country?	Annex 3, 3.3	-	-
10	Has the ILO Code of Practise on Safety and Health in Forestry Work been considered in development of national and regional certification criteria?	Annex 3, 3.3	Yes	SFCS 1001, 5.4, p. 13
Other international conventions				
11	Are the international conventions relevant to forest management and ratified by the country respected through the legislative framework?	Annex 3, 3.4	Yes	TD Annex 3, 3.4, p. 4f.
12	Are the requirements agreed upon in the conventions, even if they are not ratified by the country, respected in the certification criteria to the degree that they are covered in PEOLG or other reference documents basis approved by the PEFC Council?	Annex 3, 3.4	Yes	SFCS 1003, 7h, p. 8 SFCS 1003, 1, p. 5f.
Level of application – general				
13	Are the applicants, the certified areas and participating forest owners/managers/others actors clearly identified in the scheme documentation?	Annex 3, 4.1	Yes	SFCS 1001, 8, p. 15 SFCS 1001, 8.1, p. 16 SFCS 1002, 5.2, p. 9 SFCS 1002, 5.5, p. 11
14	Does the scheme documentation require that all actors involved in or operating on the certified area comply with the certification requirements?	Annex 3, 4.1	Yes	SFCS 1001, 8, p. 15
15	Does the scheme documentation require that all actors individually certified or participating in regional/group certification are responsible for ensuring that contractors' activities and operations meet the respective forest management criteria?	Annex 3, 4.1	Yes	SFCS 1001, 8, p. 15

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Level of application – regional certification (only for schemes which include regional certification)				
16	Does the national definition of regional certification comply with the PEFC Council definition?	Annex 3, 4.1, a	Yes	SFCS 1001, 8.1, p. 15
17	Does the forest certification standard include criteria for the regional and also for forest management unit level?	Annex 3, 4.1, a	Yes	SFCS 1003, 7
18	Does the scheme documentation require that the assessment of the certification criteria defined for the regional level covers the whole region to be certified?	Annex 3, 4.1, a	Yes	SFCS 1002, 5.3, p. 10
19	Does the scheme documentation require that sampling for the assessment of the certification criteria defined for the forest management unit level cover forest owners/managers/other actors participating in the regional certification?	Annex 3, 4.1, a	Yes	SFCS 1002, 4.3.2, p. 8
20	Does the scheme documentation require that the applicant organisation shall be a legal entity?	Annex 3, 4.1, a	Yes	SFCS 1002, 5.2, p. 9
21	Does the scheme documentation require that the applicant organisation should represent more than 50 % of forest area of the region? <i>(This does not need to be fulfilled by the time of the start of certification – see reference)</i>	Annex 3, 4.1, a	Yes	SFCS 1002, 5.2, p. 9
22	Does the scheme documentation describe the applicant's responsibility to assure the compliance of all participants with the certification requirements?	Annex 3, 4.1, a	Yes	SFCS 1002 6.2c, p. 16
23	Does the scheme documentation describe the applicant's responsibility to ensure that credible registers of participants to certification and certified forest area are kept?	Annex 3, 4.1, a	Yes	SFCS 1002, 5.10, p. 15
24	Does the scheme documentation describe the applicant's responsibility to implement rules for regional certification?	Annex 3, 4.1, a	Yes	SFCS 1002, 6.2.2, p. 16

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
25	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the inclusion of new participants and to inform the certification body thereof?	Annex 3, 4.1, a	Yes	SFCS 1002, 5.8, p. 14 SFCS 1002, 5.10, p. 15
26	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the internal control of conformity and follow up corrective and preventive measures?	Annex 3, 4.1, a	Yes	SFCS 1002, 6.2.3h, p. 16
27	Does the scheme documentation describe that forest management certificate is issued to the applicant (certificate holder)?	Annex 3, 4.1, a	Yes	SFCS 1002, 5.4, p. 11
28	Does the scheme documentation describe that participants in regional certification shall receive either a copy of the regional certificate including the appendix (when applicable) listing all participating forest owners or an individual attestation issued by the certification body or the applicant which refers to the main certificate?	Annex 3, 4.1, a	Yes	SFCS 1002, 5.4, p. 11
29	Does the scheme documentation require that forest owners/managers/other actors can participate in the regional certification either by (i) entering into an individually signed commitment, or (ii) based on the majority decision of a forest owner's organisation on behalf of forest owners they represent in the region?	Annex 3, 4.1, a	Yes	SFCS 1002 5.5 and 5.6
30	Does the scheme documentation require that only participating forest owners / managers shall be considered as certified; their area counted as certified area and the forest raw material coming from thereof will be considered as certified raw material?	Annex 3, 4.1, a	Yes	SFCS 1002, 5.4, p. 11
31	Does the scheme documentation describe that forest owners should submit all the forest area under his management in the region for certification? <i>(not obligatory to be met but should be aimed at)</i>	Annex 3, 4.1, a	Yes	SFCS 1002, 5.5, p. 11

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Implementation of changes to the scheme				
44	Does the scheme documentation define transition period(s) for implementation of changes to the endorsed scheme in compliance with chapter 5 of Annex 3. <i>(This is not applicable to the initial endorsement of a scheme)</i>	Annex 3, 5	Yes	SFCS 1001, 7.4, p. 15
Appeals, complaints and dispute procedures				
45	Has the PEFC National Governing Body set up or appointed an impartial and independent dispute settlement body on a permanent basis or does it have written procedures for the establishment of a dispute settlement body on an ad hoc basis?	Annex 3, 6.1	Yes	SFCS 1002, 8, p. 19
46	Has the PEFC National Governing Body established and have documented procedures for an independent dispute settlement body, either permanent or ad hoc, that takes care of those complaints arising from forest management or chain of custody scheme implementation that cannot be addressed in the dispute settlement procedures of the relevant certification or accreditation body?	Annex 3, 6.1	Yes	SFCA 1002, 8, p. 19
47	Can the dispute settlement body also resolve possible grievances in chain of custody certification that do not exclusively concern an applicant and a certification body?	Annex 3, 6.1	No	ND 004, 2, p. 1
48	Does the scheme documentation require that the accredited certification body has procedures for dispute settlement for all grievances between the applicant and the certification body?	Annex 3, 6.2	Yes	SFCS 1005, 9.13, p. 15f.,
49	Does the scheme documentation require that the relevant accreditation body, whose accreditation covers the certification, deals with disputes and complaints concerning observance of the accreditation requirements?	Annex 3, 6.2	Yes	ND 004, 4.4, p. 2

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Additional requirement according to MRC/10				
5/10	Does the scheme require that property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area?	Annex 3, 3.5	Yes	TD SFCS 1003:2009, 6.1
6/10	Does the scheme require the clarification, recognition and respect of legal, customary and traditional rights related to the forest land in compliance with chapter 3.5 of Annex?	Annex 3, 3.5	Yes	TD SFCS 1003:2009, 6.1, 6.7.4
7/10	Does the scheme require that a summary of the forest management plan or its equivalent, which contains information about the forest management measures to be applied, is publicly available, except for confidential business and personal information?	Annex 3, 3.5	Yes	TD SFCS 1003:2009, 6.7.3

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] This requirement is applicable only when a national scheme includes rules for regional and/or group forest management certification.

PART III: Minimum requirements checklist for Scheme compliance with PEOLG (Annex 3, chapter 4.2)

Scope

Part III covers requirements for certification criteria (forest management standards) for all schemes except those which are covered by ATO / ITTO PCI and by ITTO process.

CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation	
Basis for criteria development (only for schemes based on MCPFE)					
1	Are certification criteria used in the national or sub-national scheme based on Pan European Criteria and Indicators for SFM as a common framework?	Annex 3.1.1	3, Yes	SFCS 1001, 5.3 SFCS 1002, 4.1 SFCS 2003	
2	Have the Pan European Operational Level Guidelines (PEOLG) formed the reference base when the national and regional criteria were elaborated, amended or revised?	Annex 3.1.2	3, Yes	SFCS 1001, 5.3 SFCS 1002, 4.1 SFCS 2003	
Compatibility with the PEOLG (only for schemes to be assessed against the PEOLG) ^[*1]					
4	Criterion 1: Maintenance and appropriate enhancement of forest and their contribution to global carbon cycle	PEOLG 1.1.a	Yes	SFCS 1003, 1.2; 1.1; 4.3; 5.2; 5.3	
5		PEOLG 1.1.b	Yes	SFCS 1003, 1.2	
6		PEOLG 1.1.c	Yes	SFCS 1003, 1.2; 3.4 IRL: 3.4.1	
7		PEOLG 1.1.d	Yes	SFCS 1003, 1.2; 3.4	
8		PEOLG 1.2.a	Yes	SFCS 1003, 1.3; 3.1	
9		PEOLG 1.2.b	Yes	SFCS 1003, 1.3; 1.4; 3.4	
10		PEOLG 1.2.c	Yes	SFCS 1003, 1.5	
11		Criterion 2: Maintenance of forest ecosystem health and vitality	PEOLG 2.1.a	Yes	SFCS 1003, 1.2; 2.1; Act on Forests 326/2005, § 55 Decree on forest management and forest protection 453/2006, § 31
12			PEOLG 2.1.b	Yes	SFCS 1003, 2.2; IRL: 1.2.2; 3.4; IIL: 3.4.2

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
13		PEOLG 2.1.c	Yes	SFCS 1003, 2.1
14		PEOLG 2.2.a	Yes	SFCS 1003, 2.1; 4.1
15		PEOLG 2.2.b	Yes	SFCS 1003, 2.3; 1.4; 1.5; AND 4.1 (4.1 is not mentioned in the minimum requirements checklist)
16		PEOLG 2.2.c	Yes	SFCS 1003, 2.4
17		PEOLG 2.2.d	Yes	SFCS 1003, 2.5
18	Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)	PEOLG 3.1.a	Yes	SFCS 1003, 1.2; 3.1; 3.3
19		PEOLG 3.1.b	Yes	SFCS 1003, 3.2; 3.3
20		PEOLG 3.1.c	Yes	SFCS 1003, 1.2; 3.1; 3.3
21		PEOLG 3.2.a	Yes	SFCS 1003, 3.4; 3.3
22		PEOLG 3.2.b	Yes	SFCS 1003, 3.4; 1.3
23		PEOLG 3.3.c	Yes	SFCS 1003, 3.1; 3.3
24		PEOLG 3.3.d	Yes	SFCS 1003, 3.5
25	Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems	PEOLG 4.1.a	Yes	SFCS 1003, 4.1; 4.2; 4.4; AND 4.3 (4.3 is not mentioned in the minimum requirements checklist); Act on nature and landscape protection 543/2002, part 3
26		PEOLG 4.1.b	Yes	SFCS 1003, 4.3; 4.7
27		PEOLG 4.2.a	Yes	SFCS 1003, 4.1
28		PEOLG 4.2.b	Yes	SFCS 1003, 4.1; 4.4; 4.5
29		PEOLG 4.2.c	Yes	SFCS 1003, 4.2; 1.4; Act on nature and landscape protection 543/2002, part 3
30		PEOLG 4.2.d	Yes	SFCS 1003, IRL: 4.7.2.

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation	
31		PEOLG 4.2.e	Yes	SFCS 1003, 4.3 (4.3 is not mentioned in the minimum requirements checklist)	
32		PEOLG 4.2.f	Yes	SFCS 1003, 3.5; 4.3; 4.7	
33		PEOLG 4.2.g	Yes	SFCS 1003, 2.2; 3.3	
34		PEOLG 4.2.h	Yes	SFCS 1003, 4.6	
35		PEOLG 4.2.i	Yes	SFCS 1003, 4.7	
36		PEOLG 5.1.a	Yes	SFCS 1003, 1.2; 5.1	
37	Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)	PEOLG 5.1.b	Yes	SFCS 1003, 1.2 (1.2 is not mentioned in the minimum requirements checklist)	
38		PEOLG 5.2.a	Yes	SFCS 1003, 5.2; 2.3; 2.2; IIL: 2.2.4; IIL: 2.2.5	
39		PEOLG 5.2.b	Yes	SFCS 1003, 5.3; 5.4; 2.4; 2.5	
40		PEOLG 5.2.c	Yes	SFCS 1003, 2.3; 3.5; Act on territorial planning and building order 50/1976 as amended (Building act), § 2; STN 736108 – Forests roads	
41		PEOLG 6.1.a	Yes	SFCS 1003, 1.2; 6.2	
42	Criterion 6: Maintenance of other socio-economic functions and conditions	PEOLG 6.1.b	Yes	SFCS 1003, 6.1	
43		PEOLG 6.1.c	Yes	SFCS 1003, 6.5	
44		PEOLG 6.1.d	Yes	SFCS 1003, 6.6	
45		PEOLG 6.1.e	Yes	SFCS 1003, 6.4	
46					SFCS 1003, 6.7; IIL: 6.7.4
			PEOLG 6.2.a	Yes	Decree on forest management and forest protection 453/2006, § 35

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
47		PEOLG 6.2.b	Yes	SFCS 1003, 6.3
48		PEOLG 6.2.c	Yes	SFCS 1003, 6.6; 6.7; 6.5

[*1] For the purposes of PEFC assessment and endorsement of national or sub national forest certification schemes the terms “should” used in the PEOLG shall be interpreted as “shall”.

PART VII: Minimum requirements checklist for certification and accreditation procedures (Annex 6)

Scope

This document covers requirements for certification and accreditation procedures given in Annex 6 to the PEFC Council Technical Document (*Certification and accreditation procedures*).

CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Certification Bodies				
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?	Annex 6, 3.1	Yes	SFCS 1005, 5, p. 6 SFCS 1006, 4, p. 5
2.	Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	Yes	SFCS 1005, 5, p. 6
3.	Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1	Yes	SFCS 1006, 4, p. 5
4.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1	Yes	SFCS 1005, 5a, p. 6
5.	Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?	Annex 6, 3.1	Yes	SFCS 1006, 4a, p. 5
6.	Does the scheme documentation require	Annex 6,	Yes	SFCS 1005, 5, p. 6

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management or C-o-C certifications?	3.1		SFCS 1006, 4, p. 6
7.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification?	Annex 6, 3.2	Yes	SFCS 1005, 7.2, p. 7 SFCS 1006, 5.2, p. 6
8.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2	Yes	SFCS 1005, 7.2, p. 7 SFCS 1006, 5.2, p. 6
9.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits? [*1]	Annex 6, 3.2	Yes	SFCS 1006, 5.3, p. 6f.
Certification procedures				
10.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?	Annex 6, 4	Yes	SFCS 1005, 5d, p. 6 SFCS 1006, 4d, p. 6
11.	Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	Yes	SFCS 1005, 9, p. 9
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4	Yes	SFCS 1006, 8, p. 7
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of	Annex 6, 4	Yes	SFCS 1005, 9, p. 9 SFCS 1006, 8, p. 7

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	ISO 19011?			
14.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	Yes	SFCS 1005, 5c, p. 6 SFCS 1006, 4c, p. 6
15.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	Yes	SFCS 1006, 9, p. 7 SFCS 1005, 9.9, p. 14
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	Yes	SFCS 1005, 9.9, p. 14 SFCS 1006, 8, p. 7
17	Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?	Annex 6, 4	Yes	SFCS 1005, 9.10, p. 14 SFCS 1006, 8, p. 7
18	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	Yes	SFCS 1005, 8.1, p. 9
19	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	Yes	SFCS 1002, 4.3.2, p. 8
20.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	Yes	SFCS 1005, 9
Accreditation procedures				
21.	Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?	Annex 6, 5	Yes	SFCS 1005, 11, p. 16 SFCS 1006, 11, p. 7
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	Yes	SFCS 1005, 11, p. 16 SFCS 1006, 11, p. 7f
23.	Does the scheme documentation require that the accreditation shall be issued by an	Annex 6, 5	Yes	SFCS 1005, 11, p.

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?			16 SFCS 1006, 11, p. 7
24.	Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?	Annex 6, 5	Yes	SFCS 1001, 11, p. 18
25.	Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as "accredited certification" based on ISO Guide 65?	Annex 6, 5	Yes	SFCS 1006, 11, p. 8
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	Yes	SFCS 1005, p. 16 SFCS 1006, p. 8,
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	Yes	ND 003

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] This is not an obligatory requirement

A 2 List of all comments submitted by PEFC Council members and other stakeholders

A 2.1 Individual comments

Comment No.		
1	Author	Mark Edwards, Australia
	Date of receipt	17 th February 2010
	General type of comments	Extensive comments on form and content of the scheme documentation
	Particularly evaluated aspects by the consultant	
	Comment	Activity
	No English translation of important documents	Request of at least partial translations of minutes, invitations, press releases, etc.
	Dates	Clarifying of the timeline of the revision process
	Use of should / shall / is	Evaluation of the sections mentioned in the comments with regard to the consequences for the compliance conclusion.
	Language	The comments are provided completely for PEFC Slovakia to use it, when indicated, for linguistic improvement.

A 2.2 Opinion poll

A 2.2.1 The questionnaire

1 Introduction and guidelines

On behalf of the PEFC Council Systain Consulting conducts the assessment of the revised Slovak Forest Certification Scheme for Sustainable Forest Management against the requirements of the PEFC Council.

Please follow these procedures:

1. Read the questions and tick the answers on the right.
2. If desired you can make further comments regarding the stakeholder process on the second page (please comment especially the questions answered with “no”).
3. Save the questionnaire.
4. Send the file back to berger@systain.com

2 Questions

No	Question	Answer		
1	Have you received an invitation for participation in the revision process?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
2	Have you accepted the invitation?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
3	From your point of view, were all relevant stakeholders present in the revision process?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
4	Have you received information regarding the procedures of the revision process and the possibilities to participate?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
5	Has it been possible for you to propose your ideas in the process?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
6	Has the discussion of the opinions and ideas of the involved stakeholders been open and transparent?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
7	Have the decision making processes been based on consensus?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
8	Has opposition been resolved in a satisfactory way?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
9	Have you received meeting minutes as a documentation of the discussion process?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
10	Has the final draft of the new scheme documentation been available to you for a consultation period?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
11	Has the consultation lasted for at least 60 days?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
12	Have you made comments on the final draft?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know

No	Question	Answer		
13	Have you received feedback for your comments?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know
14	Has information been available on changes made due to the comments?	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> don't know

3 Further comments

Thank you very much for your support!



Dr. Michael Berger

Systain Consulting Schwäbisch Gmünd

A 2.2.2 Response to the stakeholder questionnaire

A questionnaire regarding the stakeholder involvement was sent to 99 email addresses of stakeholders (single persons or organisations) identified by the SFCA (cf. Table 13, 3.1 Standard setting proces).

15 questionnaires were completed and sent back to the assessment team. The response rate amounts to 15%.

The results of the questionnaire did not influence the compliance conclusion directly. In such a case the significance of the sample respectively of the results would have to be discussed. It was not necessary because the particular circumstances were clear enough on the basis of the available documentation.

Anyhow, it can be stated that the available results are a strong confirmation of the particular requirements and statements in the applicant documentation.

A 2.2.3 Quantitative analysis

No	1 yes	1 no	1 k.a.	2 yes	2 no	2 k.a.	3 yes	3 no	3 k.a.	4 yes	4 no	4 k.a.	5 yes	5 no	5 k.a.	6 yes	6 no	6 k.a.	7 yes	7 no	7 k.a.	8 yes	8 no	8 k.a.
1	1	0	0	0	1	0	1	0	0	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1
2	1	0	0	1	0	0	0	0	1	1	0	0	1	0	0	1	0	0	1	0	0	0	0	1
3	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0
4	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	0	0	1
5	1	0	0	0	1	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	0	0	1
6	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	0	0	1
7	1	0	0	1	0	0	0	0	1	1	0	0	1	0	0	1	0	0	1	0	0	0	0	1
8	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0
9	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0
10	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0
11	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0
12	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0
13	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0
14	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0

9 yes	9 no	9 k.a.	10 yes	10 no	10 k.a.	11 yes	11 no	11 k.a.	12 yes	12 no	12 k.a.	13 yes	13 no	13 k.a.	14 yes	14 no	14 k.a.	further comments		
0	0	1	1	0	0	1	0	0	0	0	1	0	0	1	0	0	1	I commented the documents directly within the technical commission, therefore I did not take part in public consultation. I was informed about the results. very openly and thoroughly according to my opinion.		
1	0	0	1	0	0	1	0	0	0	1	0	0	1	0	0	1	0		0	
1	0	0	1	0	0	1	0	0	0	1	0	0	0	0	0	0	0		0	
0	0	1	1	0	0	1	0	0	0	1	0	0	0	1	0	1	0		0	
1	0	0	1	0	0	1	0	0	0	1	0	0	0	1	0	1	0		0	
1	0	0	1	0	0	1	0	0	0	1	0	0	0	0	1	1	0		0	
1	0	0	1	0	0	0	0	1	1	0	0	1	0	0	1	0	0		0	
1	0	0	1	0	0	1	0	0	0	1	0	0	0	1	0	0	0		0	
1	0	0	1	0	0	1	0	0	0	1	0	0	0	1	0	0	0		0	
1	0	0	1	0	0	1	0	0	0	1	0	0	1	0	0	1	0		0	0
1	0	0	1	0	0	1	0	0	0	1	0	0	1	0	0	1	0		0	0
1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0		0	0
1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0		0	0
1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0		0	0
1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	1	0	0	0	0	

A 3 Comments of Panel of Experts

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
General			
		<p>The PoE member has no problems with the SFCS carried out by Systain Consulting as desk work. It is clearly structured and well phrased.</p> <p>– Concerning some <u>misprints</u> and linguistic improvements (see also comments from Mark Edwards) he is available for a brief telephone conversation at any time: T. +49 (0) 551 70 59 48 – There are, however, <u>some minor comments</u>, also for the BoD for future assessments:</p>	<p>Systain Consulting called the PoE member and made further editorial adjustments in the report.</p>
		<p>1. Is it sufficient, that documents/minutes etc. are available in the <u>English language</u> only with the consultant (some of which only in partial summaries) or should they not also accompany the application to PEFC (see several quotations)?</p>	<p>Systain Consulting was advised by PEFC to balance thoroughly which documents should be translated by the Applicant Scheme.</p> <p>Maybe the PEFC C BoD should make a general decision with regard to this topic.</p>
1 Introduction			
1.3 ff	PEFC Slovakia / SFCA	<p>Sometimes the term “PEFC Slovakia” (e.g. chapter 1.2; 1.3; 3.1), sometimes SFCA (e.g. chapter 3.2; 3.3) is used; in 1.5.2 both are mentioned. For me the relationship PEFC Slovakia / SFCA is at this stage not clear (I hope I have not overread it somewhere!). According to page 24 para 1 I guess it is the same which should be made clear at an earlier</p>	<p>Slovak Forest Certification Association (SFCA) is the formally responsible body for the Slovak Forest Certification System (SFCS) (cf. List of abbreviations, p. 6). PEFC Slovakia is the colloquial synonym for SFCA, used by Systain Consulting.</p> <p>A footnote with an adequate explanation was included at the first usage of</p>

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
		stage.	"PEFFC Slovakia" (cf. p. 7).
3 Summary of the findings			
3.3 / p. 16	Last but one para: ".....contacted <u>SFCS</u> twice for provided by <u>SFCS</u>"	In my understanding it must read SFCA.	Adapted.
4.1 Assessment of the standard setting process			
p19	Row "Nov 13 - Public Meeting"	"..in on Zvolen." remove "on"	Removed. As a general note it has to be accentuated that these parts of the text which are adopted from the scheme documentation (e.g. quotations, tables or figures) <u>were basically not changed</u> by the consultant (this note was included additionally in chapter 1.3 Methodology)
p20	Table 13, Row starting "Zvaz celulozo-.."	should translation be 'paper' not 'papare'.	Adapted.
p. 20/21		7. Stakeholders involved/invited should be grouped f.e.: forest owners, industry, state org., private bodies, ENGOs, others, individuals, etc. or: at international, national, regional, local level, or even in alphabetic order, but not randomly mixed (for future assessments)	This should be a requirement by the PEFC Council. Otherwise a consultant cannot require it from the Applicant Scheme
p25	Second last line 'Du'	Should be 'Due'	Adapted.
4.1.2.1 / P. 25	Last para, last sentence: "Du to this confirmation....."	Must read: "Due to this ..."	Adapted.
4.1.2.1 / P. 26	First line: ".....Technical	Must read: ".....Technical Commission <u>to</u> circulate the	Cf. the note above (with regard to quotations)

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
	Commission circulate the""	
p27	Line 24 states "is confirmed <u>be</u> the returned questionnaires'	'be' should be 'by'	Adapted.
p30 Section 15	Under 'Documentation' in the first line it is 'inquiry' and the fourth line 'enquiry'	Both are OK but standardise, probably on 'enquiry'	Adapted.
4.1.2.1 / P. 31	Last para: "The changes made as a..."	Must read: "The changes made as a..."	Adapted.
p32 and p73 Section 19	June 6 to 2 August	is only 58 days not 60?	„June 6“ was a mistake in writing by Systain. The consultation started on June 1 . (Cf. Table 12 in this report or rather the original Slovak document DR, p. 2). Adapted in the report.
page 32, 19 page 73, 19		2. There is a discrepancy (of minor importance concerning the dates for public consultation => 60 days, =<60 days	Cf. note above.
4.2 Assessment of the scheme implementation			
p34 Section 4.2.1	Fourth line has six words of German in bold type	Do these belong here? There should be a reference to Fig. 2 in the text.	It actually should be a reference to figure 2. Adapted.
page 34, 4.2.1		3. Delete the phrasing in German or use quotation in English: error, reference could not be traced	Cf. note above.
4.2.1 / p. 34	First para: "Fehler! Verweisquellewarden"	Editing problem in the word file (Link does not work)	Cf. note above.

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
p40 Section 11	Second row of table is partly obscured		Adapted.
4.2.2.9 / P. 47	Last para: “...which subject to trade ...”	Must read: “...which <u>is</u> subject to trade ...”	Cf. the general note above with regard to quotations.
4.3 Assessment of the forest management standard			
4.3.2.1 / p. 49	“FMPs take into account nature conservation ...”	Is FMP explained somewhere before? It is used in the context with “Forest management planning” and “Forest management practice” in the following chapters and somewhere not clear what it stands for.	FMP is explained in the list of abbreviations at the beginning of the report.
page 55/56		4. Whenever the term „grazing of animals“ is used (see: f.e.: PEOLG 4,2g, PEOLG 5.2a) it surely does not cover only the historical land use of domestic animals, but first of all damage of wildlife/game species. It should read: <u>grazing and browsing...</u> (one of the major threats to vitality of the forest – and this is where problems arise for PEFC)._	The comment refers to the wording of the PEOLG. The adaption of the general PEFC requirements has to be decided by the appropriate bodies.
4.6 Assessment of the certification and accreditation requirements			
4.6.2.1 / p. 61	“...requires that “he certification body””	Must read: “...requires that <u>the</u> certification body””	Adapted.
page 64, 15		5. Is there any quotation of <u>logo usage</u> for non-commercial purposes in the system (f.e. scientific journals, by ENGOs etc.)?	The SFCS has included “PEFC ST 2001:2008 PEFC Logo Usage Rules – Requirements” as a part of the Slovak Scheme. This standard also governs the logo usage for so called “other users”.
4.6.2.2 / p. 66	Question 25: “The certification	Does this explicitly mean that this service has to be done	Yes.

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
	body carryingshall be accredited based on ...”	under the accredited scope?	
p. 91		6. ...of the revised <u>Slovakian</u> FCS (not Italian)	Adapted.
		8. The PoE member would have welcomed an indication concerning the <u>questionnaire</u> : which group responded in the 15% and which did not (not essential but helpful).	The questionnaire will be adapted in future so that it informs the stakeholder about the publication of the answers, related to the name of the organisation.