Assessment of the Slovak Forest Certification System (SFCS)

Final Report

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Prepared by

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Acknowledgments

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- Dr. Michael Berger and Mr. Johan Vlieger (PEFC International Technical Unit)
- Hubert Paluš (National Secretary of PEFC Slovakia)
- Members of the Technical Committee SFCS for answering the stakeholder questionnaire

Acronyms and Abbreviations

AB	Accreditation Body
BoD	Board of Directors
CB	Certification body
CoC	Chain of Custody
DP	Development Report of the SFCS
FM	Forest Management
ha	Hectare (10.000 m^2)
IAF	International Accreditation Forum
IGD	PEFC Informative Guide
ILO	International Labour Organization
ISO	International Organization for Standardization
m^3	Cubic Metre
MLA	Multilateral Recognition Agreement
MRC	Minimum Requirement Checklist
ND	Normative Document of the SFCS
NC	Non-conformity
NGO	Non-governmental organization
ENGO	Environmental non-governmental organization
PEFC	Programme for the Endorsement of Forest Certification schemes
PEFCC	PEFC Council
PEFC SK	PEFC Slovakia
PoE	Panel of Experts
SFCS	Slovak Forest Certification Scheme
SFM	Sustainable Forest Management
SSP	Standard Setting Process
TD	Technical Document of the SFCS
TC	Technical Committee

1. Introduction

1.1. Scope of the assessment

The scope of this assessment is to compare the revised Slovak Forest Certification System (SFCS) with the minimum requirements of the PEFCC as documented in the PEFCC´s technical documents and specified in the relevant PEFC Informative Guide (IGD 1007:2012). The assessment shall result in a recommendation to the PEFCC´s Board of Directors as to whether the revised Slovak Forest Certification System should be endorsed or if changes are required prior to an endorsement decision.

In particular, the Terms of Reference required the following activities:

1. A general analysis of the structure of the Applicant System's technical documentation.
2. An assessment of the standard setting procedures and process against PEFC ST 1001:2010, Standard Setting – Requirements.
3. An assessment of the forest certification standard(s) against PEFC ST 1003:2010, Sustainable Forest Management – Requirements.
4. An assessment of the group certification model against PEFC ST 1002:2010, Group Forest Management Certification - Requirements.
5. An assessment of the chain of custody standard(s) against PEFC ST 2002:2013, Chain of Custody of Forest Based Products – Requirements.
6. An assessment of the procedures for notification of certification bodies against PEFC GD1004:2009, Administration of PEFC scheme, chapter 5.
7. An assessment of the procedures for logo licensing against PEFC GD1004:2009, Administration of PEFC scheme, chapter 6.
8. An assessment of the procedures for complaints and dispute resolution against PEFC GD1004:2009, Administration of PEFC scheme, chapter 8
9. An assessment of certification and accreditation procedures, as defined in the PEFC Council Technical Document, Annex 6 and PEFC ST 2003:2012, Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard.
10. A stakeholder survey to check the basic contents of the development report on the standard setting process.
11. Any other aspect which can affect functions, credibility and efficiency of the submitted system.

1.2. Assessment process

The assessment has been conducted in the following stages:

1) Review of the scheme documentation provided by PEFC Slovakia to the PEFCC and forwarded to the assessment team with the tender dossier on 17.02.2015 and additionally an English translation of document ND_SFCS_0005 provided on 20.05.2015.
2) The scheme documentation (see Chapter 1.5 of this report) was assessed for compliance against the PEFCC´s Minimum Requirement Checklist PEFC IGD 1007:2012.
3) A stakeholder survey using questionnaires to verify the standard setting process which was implemented during the revision of the SFCS, was conducted from 28.05.2015 to 11.06.2015.
4) A public consultation has been carried out via the PEFCC´s website for a period of 60 days from 18.02.2015 - 20.04.2015, to gather comments of other national and international stakeholders concerned.
5) A draft report and an overview of identified non-conformities and open questions were elaborated and forwarded to PEFCC and PEFC Slovakia for review on 16.06.2015.
6) PEFC Slovakia provided comments related to the findings of the first draft report and two additional documents translated into English (ND_SFCS_001_contract and App_3_tariffs) on 01.07.2015 and the comments and new documents were assessed and considered by the assessment team.
7) Clarification on the use of the term "periodically" was provided by PEFCC and PEFC SK on 23.07.2015
8) A final draft report and an overview of remaining non-conformities were elaborated and forwarded to PEFCC on 27.07.2015.
9) The PoE comments were received on 26.08.2015 and assessed and noted/considered.
10) The final report was submitted on 28.08.2015.

1.3. Methodology adopted

The following methodology was used to reach the scope of the conformity assessment of the revised SFCS, as outlined in Chapter 1.1 of this report.

1.3.1. Desk assessment of documents

The provided documents (see chapter 1.5) were reviewed concerning their structure and relevance for the assessment and their availability in English (a requirement of PEFC GD 1007:2012, Chapter 7.2.2.1). The PEFC IGD 1007:2012 Minimum Requirement Checklists (MRC) were used to assess the provided documentation against the minimum requirements of the endorsement process of the PEFCC. In case of non-conformities (NCs) of the SFCS documents against the MRC requirements, these were rated as either Minor NCs or Major NCs. In several cases open questions arose which were marked with question marks in the MRC.

1.3.2. Stakeholder survey and public consultation

A stakeholder survey was implemented from 28.05.2015 - 11.06.2015 and the responses were evaluated and considered for the assessment and elaboration of the draft report. All 17 organizations involved in the standard setting process according to the provided list of members of the Technical Committee in charge of the revision of the SFCS (see Annex of development report) were contacted by email and invited to provide comments in an online questionnaire including several questions related to the standard setting process (see ANNEX 2). A reminder was send on 08.06.2015 to all stakeholders who did not answer the questionnaire at that time.

A public consultation was held by PEFCC from 18.02.2015 - 20.04.2015. The comments were evaluated and considered, if relevant, during the assessment and elaboration of the first draft report.

1.3.3. Elaboration of draft reports

The results of the assessment were documented in full in the MRC and the first draft report was elaborated and submitted to PEFCC and PEFC Slovakia for review on 16.06.2015. To support the communication during the 2 weeks comment period following the submission of the first draft report, an additional document showing an overview of the identified NCs, open questions and options to comment for PEFC Slovakia was elaborated and submitted to PEFCC and PEFC Slovakia. All comments and additionally provided documents by PEFCC and PEFC Slovakia were evaluated and considered, if agreed upon by the assessment team. The final draft report including the remaining non-conformities was submitted to PEFCC on 27.07.2015.

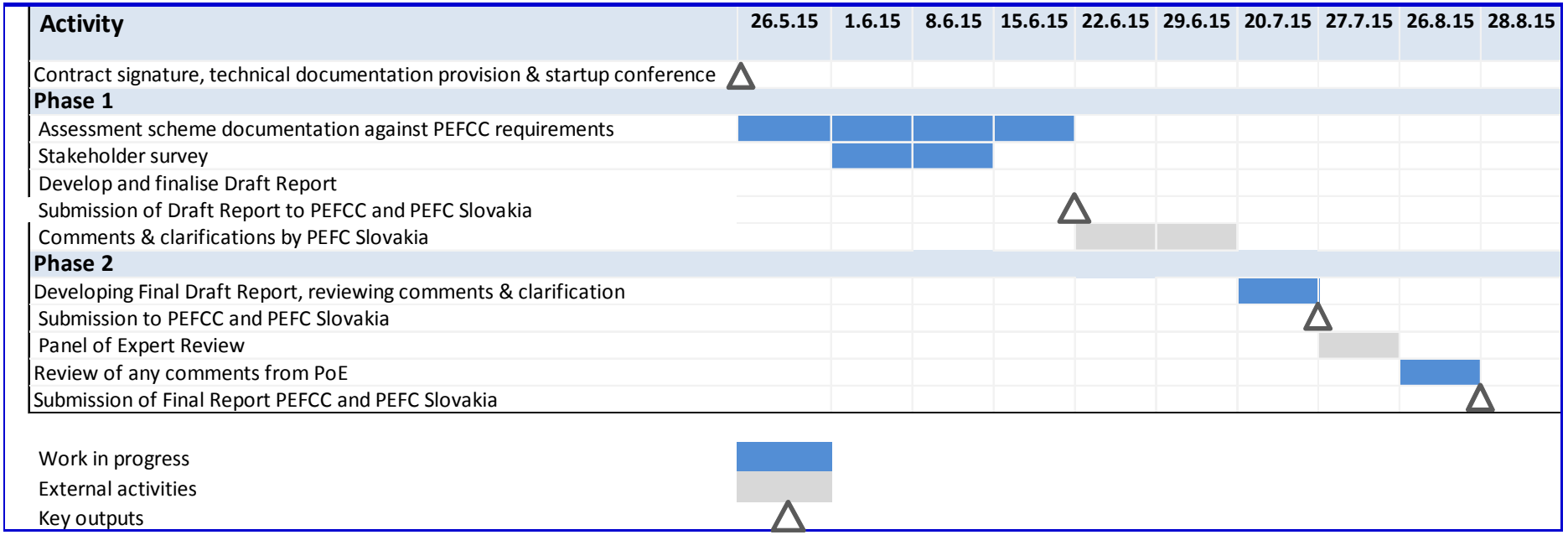
1.3.4. Panel of experts review

Three members of the Panel of Experts (PoE) received the final draft report and submitted their comments to PEFCC, which forwarded the comments on 26.08.2015 to the assessment team. The comments were assessed and noted / considered and changes to the report were made if considered to be necessary by the assessment team. An overview of the PoE comments is available in Annex 4.

1.4. Timetable of the assessment

The following figure shows the final timetable of the assessment.

Final Workplan - Assessment of SFCS



1.5. Reference documents / sources

The following table contains an overview of the documents provided by PEFC Slovakia to the PEFCC for the conformity assessment to evaluate the potential endorsement of the SFCS:

Table 1: Documents provided for assessment by SFCS

No.	Document	Description
1	DP-02_2014-12-19_EN and Annexes	Development Report and records
2	ND_SFCS_001_EN	Issuance of PEFC logo licenses
3	ND_SFCS_002_EN	Development and revision of SFCS documentation
4	ND_SFCS_003_EN	Notification of CBs
5	ND_SFCS_004_EN	Complaints procedures
6	ND_SFCS_005_EN	Training of participants in the certification process for the application of Slovak Forest Certification System
7	TD_SFCS_1001_2014_2014-12-19_EN	Description of SFCS
8	TD_SFCS_1002_2014_2014-12-19_EN	Rules for SFM
9	TD_SFCS_1003_2014_2014-12-19_EN	Criteria & Indicators for SFM
10	TD_SFCS_1004_2013 (PEFC ST 2002-2013)	Slovak translation of PEFC ST 2002:2013 (Chain of custody requirements)
11	TD_SFCS_1005_2014_2014-12-19_EN	Requirements CBs for SFM
12	TD_SFCS_1006_2013 (PEFC ST 2003-2012)	Slovak translation of PEFC ST 2003:2012 (Requirements for CBs in COC)
13	TD_SFCS_1007_2009 (PEFC ST 2001-2008	Slovak translation of PEFC ST 2001:2008 (Logo usage)
14	PEFC IGD 1007-01-2012_Checklist_ SFCS	MRC filled by PEFC Slovakia (self assessment)
15	ND_SFCS_001_contract	English translation of logo usage contract (submitted on 01.07.2015)
16	App_3_tariffs	English translation of PEFC notification fees (submitted on 01.07.2015)

The following table provides an overview of the technical documents provided by the PEFCC which were used for this assessment.

Table 2: List of technical documents from PEFCC used for assessment

No.	Document
1	PEFC GD 1001:2008 Structure of PEFC Technical Documents
2	PEFC ST 1001:2010 Standard Setting
3	PEFC ST 1002:2010 Group Forest Management Certification
4	PEFC ST 1003:2010 Sustainable Forest Management
5	PEFC ST 2001:2008 PEFC Logo Usage Rules - Requirements
6	PEFC ST 2002:2013 Chain of Custody of Forest Based Products
7	PEFC ST 2003:2012 Chain of Custody Certification Body Requirements
8	PEFC GD 1004:2009 Administration of PEFC Scheme
9	PEFC GD 1007:2012 Endorsement of National Schemes
10	Annex 6 PEFC TD Accreditation and Certification Procedures

Furthermore, the PEFCC website (www.pefc.org) was used as a source for information and documents/processes relevant for the assessment.

1.6. Personnel

The conformity assessment has been undertaken by the independent Senior Consultants Joern Ackermann and Andreas Knoell. Further information about the technical expertise of the members of the assessment team are outlined in the proposal submitted to PEFCC for the tender of the assessment of the revised SFCS on 17.03.2015.

2. Recommendation

Three Minor NCs were identified during the assessment which are related to the scheme administration.

Thus, the assessment team recommends to the BoD of PEFCC to re-endorse the SFCS according to the PEFCC endorsement procedures under the condition that the three identified minor NCs will be corrected within a timeframe of six months after the re-endorsement by PEFC GA.

The identified NCs are shown below:

Minor NC 01: The requirement in TD_SFCS_1005_2014 9.4 does not specify a defined timescale for the process of making the summary of the FM audit report publicly available, as requested in the PEFC Standard Interpretation from 17.11.2014.

Minor NC 02: The TD_SFCS_1005_2014 9.3 states that "Surveillance audits shall be conducted annually during the certificate validity....." The PEFC Annex 6 chapter 4 requires "the maximum period for surveillance audits is one year.....". The term annually can be interpreted as "once per year" which would permit bigger periods than one year (= 12 months) between the audits.

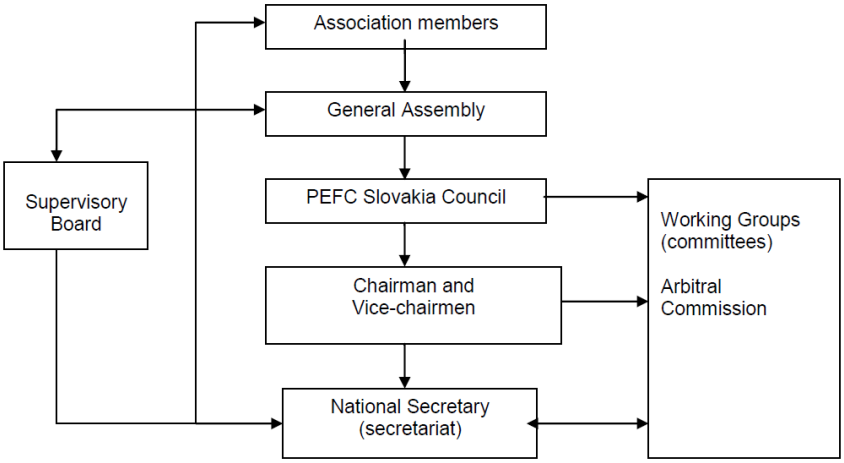
Minor NC 03: The complaints procedures ND_SFCS_004 chapter 7 only refer to procedures for the resolution of complaints by an arbitral commission until submission of a report to PEFC SK but do not specify if PEFC SK has to accept the decision of the arbitral commission and take appropriate corrective and preventive action if necessary as required by PEFC GD 1004:2009 8.2.d.

3. Summary of the findings

3.1. Structure of the system

PEFC Slovakia is an independent association of legal entities and represents the **National Governing Body** and the **Logo Licensing Body** of the Slovak Forest Certification System (SFCS). The highest authority is the **General Assembly** consisting of all members of PEFC Slovakia. The **Standardizing Body** in charge of standard revision is the **General Assembly** of PEFC Slovakia which is responsible for the final approval of scheme documents elaborated by the **Technical Committee**. The SFCS is valid in the territory of the Slovak Republic.

The structure of PEFC Slovakia is shown in the Figure below:



For more detailed information see chapter 4.

3.2. Standard setting procedures and processes

The process of revision of the technical documentation was initiated by PEFC Slovakia Council (Board of Directors) on 23.1.2014. Standard setting procedures were elaborated by PEFC Slovakia (ND_SFCS_002) which defined clear procedures for the standard setting process, the composition of the Technical Committee in charge of the standard revision, relevant stakeholders and other responsibilities and comply with the PEFC ST 2001:2010 requirements. The standard setting procedures were published with the invitation to participate in the standard setting process and no comments to change the standard setting process were received. The standard setting process (SSP) is documented in the development report (DP-02_2014-12-19). The implemented process which followed the standard setting procedures is shown summarized in the table below:

Stage		Responsibility	Document title	Timetable	
				Expected	Reality
Proposal stage	Review of documents	PEFC SK Council (BoD)	Document proposal	1/2014	23.1.2014
	Proposal definition	Secretariat			
	Proposal approval	PEFC SK Council (BoD)			
Preparatory stage	Public announcement	Secretariat	Preparatory draft	2/2014	5.2.2014
	Invitation to stakeholders	Secretariat		2/2014	5.2.2014
	Commenting and reviewing the standard setting process	Secretariat/ PEFC SK Council (BoD)		3/2014	5-28.2.2014
	Technical Committee establishment	Secretariat/ PEFC SK Council		3/2014	5.2-13.3.2014
	Development of preparatory draft	Secretariat/ Authorised person		5/2014	4.7.2014
Development stage	Submission and consideration of comments	Technical Committee/ Authorised person	Working draft	6/2014	4.7.2014-12.8.2014
	Consensus building	Technical Committee/ Authorised person		6/2014	12.8.2014
Enquiry stage	Public consultations	Secretariat/ Technical Committee/ Authorised person	Enquiry draft	7-9/2014	18.8-19.10.2014 (63 days)
Approval stage	Development report	Technical Committee/ Authorised person	Final draft	10/2014	28.11.2014
	Document approval	PEFC SK General Assembly		11/2014	12.12.2014
Publication stage	Document publication	Secretariat	Technical/internal document	11/2014	19.12.2014

The procedures and implemented processes during the SSP meet the requirements of PEFCC. **No NCs** were identified. For more detailed information see chapter 5 and Checklist I in Annex 1.

3.3. Forest certification standard(s)

The 6 criteria of sustainable forest management as adopted in Helsinki in 1993 formed the initial basis for the sustainability requirements of the SFCS. The current version of the main technical document TD SFCS 1003:2014 “Criteria and indicators of sustainable forest management”, which was a core document of this assessment, is based on the PEFC international standard PEFC ST 1003:2010 “Sustainable Forest Management – Requirements”. It is leaned on the 7 international principles adopted under the Pan-European process for protection of forests in Europe, underpinned by 32 national criteria, 59 regional and 110 individual indicators. The result is a comprehensive set of requirements designed to fit the forestry structure of the country, e.g. in terms of historical development, forest vegetation type or ownership pattern.

The requirements of SFCS do match the international requirements of PEFC. **No NCs** were identified. For more detailed information see chapter 6 and Checklist III in Annex 1.

3.4. Group certification model

All required documentation is detailed, concise and available in English language. The main standard TD SFCS 1002:2014 “Rules for certification of forest management” is based in its scope on PEFC ST 1002:2010 “Group Forest Management Certification - Requirements”. It describes over all the objectives, organisation and management of regional forest certification and specifies tasks and responsibilities for the regional applicant for certification. Next to conditions for the voluntary participation of forest managers it defines the minimum requirements for the management system for appropriate implementation of certification requirements of sustainable forest management.

The documentation generally meets the requirements of PEFCC. **No NCs** were identified.

For more detailed information see chapter 7 and Checklist II in Annex 1.

3.5. Chain of custody standard(s)

The SFCS adopted the PEFC ST 2002:2013 in full in the TD SFCS 1004:2013 (Slovak translation) already on 27.06.2013. Thus, the criteria required by the PEFCC for the Chain of Custody of a national scheme are fulfilled.

3.6. Logo usage rules

Logo usage by logo users:
The SFCS adopted the PEFC ST 2001:2008 in full.

Thus, the criteria required by the PEFCC for the PEFC logo usage by logo users are fulfilled.

Issuance of logo usage licences:
The procedures for the issuance of logo usage licences in the SFCS are described in the document ND_SFCS_001. The PEFC Slovakia is the Logo Licensing Body in the SFCS and all logo users need to hold a logo usage contract with PEFC Slovakia. All applicants for a logo usage licence need to be legal entities. Logo issuance fees and annual logo usage fees have to be paid by logo users to PEFC Slovakia.

The procedures meet the requirements of PEFCC. **No NCs** were identified. For more detailed information see chapter 9 and Checklist VI in Annex 1.

3.7. Certification and accreditation procedures

The notification procedures for CBs being active in FM and/or COC certification in the SFCS are laid down in the document ND_SFSC_003. The Notification Body is PEFC Slovakia. The SFCS adopted the PEFC ST 2003:2012 in full in the document TD_SFCS_1006_2013 (Slovak translation) on 24.01.2013. Thus, the criteria required by the PEFCC for the CBs operating in Chain of Custody certification are fulfilled. The requirements for CBs operating in FM certification are laid down in the document TD_SFCS_1005_2014.

Generally, the certification and accreditation procedures comply with the requirements of PEFCC. However, **2 Minor NCs** have been identified. For more detailed information see chapter 10 and Checklists IV and VI in Annex 1.

3.8. Complaints and dispute resolution procedures

The complaints and dispute procedures are documented in ND_SFCS_004. The document describes the responsibilities and actions of the PEFC Slovakia and the Arbitral Commission in relation to the investigation and resolution of complaints and appeals.

The procedures generally meet the requirements of PEFCC. However, **1 Minor NC** was identified. For more detailed information see chapter 11 and Checklist VI in Annex 1.

3.9. Stakeholder assessment

A stakeholder survey was conducted from 28.05.2015 to 11.06.2015. Invitations to complete the online stakeholder survey were sent to all participants of the Technical Committee responsible for the standard setting process via e-mail – this included a total of 17 stakeholders. No email bounced. A reminder was sent on 08.06.2015. The survey was completed by 7 stakeholders (41 %). The questionnaire was sent to the stakeholders translated in Slovak language.

Respondents indicated they represented a range of interest groups, dominated by the political and administration sector (57%), followed by forest owners and managers (29%) and by the other interest group (14%).

Almost 100% of the stakeholders indicated that they were absolutely satisfied with the standard setting process and its results. In general, stakeholders

- felt that the range if interests in forest management in Slovakia were represented;
- were satisfied with the way of determining and approaching disadvantaged stakeholders;
- had access to all standard revision documents;
- were given meaningful opportunities to contribute to revising the standard;
- felt that comments were handled in an open and transparent manner;
- were satisfied that the enquiry draft was accessible and publicly available;
- were satisfied with the decision making process where a consensus was not reached; and
- received a final draft and had a meaningful opportunity to comment on it.
- were satisfied with the way the final draft was approved by the Technical Committee

Only one stakeholder was only partially satisfied with the way his comments were considered in an open and transparent way and commented: "*Because of variety of different oppinions to some questions, the final version was a result of neogotiation. For this very reason, my personal oppinions could not be consiered without changes.*" However, this comment is not considered to be negative by the assessment team, since this is part of the method to find a consensus. Other additional comments were not received.

Thus, the stakeholder survey shows that the respondents were satisfied with the standard setting process and its results.

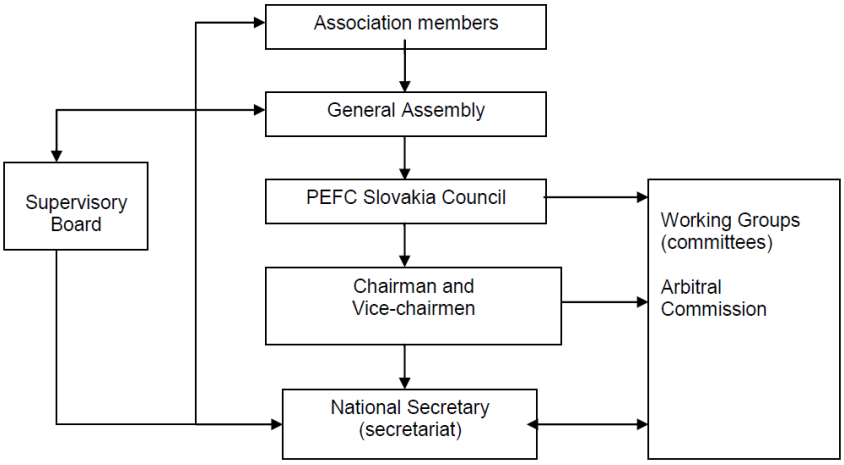
3.10. Any other aspects

The assessment of the SFCS during the extraordinary assessment in 2013 did not reveal any non-compliances.

4. Structure of the system

PEFC Slovakia is an independent voluntary professional association of legal entities with the aim to promote sustainable forest management and consumption of forest based products as a renewable resource, nature protection and sustainable development of the society. It represents the **National Governing Body** and the **Logo Licensing Body** of the Slovak Forest Certification System (SFCS) and is the PEFC Council member. The **Standardizing Body** in charge of standard revision is the **General Assembly** of PEFC Slovakia which is responsible for the final approval of scheme documents elaborated by the **Technical Committee**. The SFCS is valid in the territory of the Slovak Republic. The SFCS was recognised by the PEFC Council members on August 12, 2005.

The organisational arrangements of PEFC Slovakia are shown in the Figure below:



On the basis of interests, each member of PEFC Slovakia belongs to the "chamber of forest owners", "chamber of wood processing industry" or to the "chamber of other interested groups". The **General Assembly**, consisting of all members, is the highest authority of the association. The **PEFC Slovakia Council** and its Board of Directors is the supreme managing body of PEFC Slovakia. It holds the power to elect and withdraw both the Chairman and Vice-Chairmen of the association. The decision-making process is based on the absolute majority of votes of all PEFC Slovakia Council members. In case of equal count of votes the Chairman´s vote is decisive. The **Chairman** represents the interests of the association outwards. During the Chairman's absence, the **Vice-Chairmen** acts on his behalf.
The **National Secretary** is appointed by the PEFC Slovakia Council. He carries out activities of the secretariat. The **Supervisory Board** is entitled and authorised to control activities of the association bodies, and is mainly responsible for financing issues. It is elected by the General Assembly and is responsible for its activities to the General Assembly.
The **Arbitral Commission** is an external body of the association. The members of the Arbitral Commission are experts who, upon request of the participant in certification process, decide on the interpretation of technical documents of the SFCS.

Working Groups are established by the PEFC Slovakia Council, if appropriate, for specific tasks regarding mainly the amendment of technical documents and the scheme revision processes.

5. Standard setting process

5.1. Overview about the process

The standard-setting process is assessed at two levels:

1) Conformity assessment of **standard-setting procedures** as documented in the document ND_SFCS_002_EN against the requirements of the PEFCC as required in the PEFC ST 1001:2010 'Standard Setting'.
2) Conformity assessment of the **standard setting process** documented by the DP-02_2014-12-19_EN against the requirements of the PEFCC as required in the PEFC ST 1001:2010 'Standard Setting'.

The general organization and the structures and responsibilities of the involved bodies of the SFCS are already described in Chapter 4 of this report (see above). The detailed assessment results are documented in the MRC in Annex 1.

The process of revision of the technical documentation was initiated by the PEFC Slovakia Council (Board of Directors) on 23.1.2014, which approved the proposal for the revision of the SFCS. The proposal defined the scope of the revision, identification of relevant stakeholders including the disadvantaged and key stakeholders and identification of constraints of their participation, requirements for representation of members and interested stakeholders in the Technical Committee and their balanced representation, description of the development stages and expected timetable and resources required for the revision process.

The following issues were taken into consideration to review the SFCS documentation and to define the scope of the revision:

- changes in PEFC international standards in 2009,
- changes in PEFC international guidelines,
- extraordinary assessment of SFCS against the PEFC international standards in 2013,
- ongoing revision of Annex 6 of PEFC TD,
- changes in national forestry and related legislation since the last SFCS revision in 2009.

Based on this, the scope of revision was defined to be applicable to the following standards:

- TD SFCS 1001:2009 Slovak forest certification system – description
- TD SFCS 1002:2009 Rules for forest management certification
- TD SFCS 1003:2009 Criteria and indicators of sustainable forest management
- TD SFCS 1005:2009 Requirements for certification and accreditation of certification bodies operating certification of forest management

Following the requirements of the standard setting procedures ND SFCS 002 the identification of relevant stakeholders, including the disadvantaged and key stakeholders, was carried out using the mapping exercise in order to determine:

- relevant interest sectors,
- key issues for each relevant sector,
- key stakeholders in each sector,
- disadvantaged stakeholders and constrains of their participation.

The following relevant sectors of interest were identified:

Relevant interest sector	Key issue for the sector
A – Forest owners and managers	Under the principles of sustainable development to increase functionality and to maximise positive effects of forest management for society.
B – Business sector and industry	Stability of business environment and balanced supply of products originating from sustainably managed and controlled sources.
C – Political and administration sector	Implementation of objectives and procedures of the national forestry program, other public policies and results of science and research in forest management.
D - Sector utilising the ecosystem services of forestry	Sustainability in providing non-wood products and ecosystem services of forests.

In total 99 relevant stakeholders and out of them 35 key stakeholders and 4 disadvantaged stakeholders were identified. Small forest owners and their associations as well as associations of forestry contractors and entrepreneurs were identified to be disadvantaged stakeholders due to financial constraints and re-imbursement of travel costs was offered.

The start of the process of revision of documents of Slovak Forest Certification System and invitation of stakeholders to nominate their representatives to the Technical Committee was publicly announced on 5.2.2014 by several media (web pages, press releases and direct mails and newsletters). The invitation included the option to comment on the scope of the revision from 05.02. - 28.02.2015. No comments were received.

The PEFC Slovakia secretariat received 18 nominations from 19 organisations. The PEFC Slovakia Council on its meeting on 13.3.2014 recognised the nominations received and decided on the composition of the Technical Committee, respecting the principle of balanced representation of interests. The Composition of the Technical Committee can be seen in Table 7 in Annex 5. The 2 NGOs represented in group D are regional environmental NGOs in Slovakia. The stakeholder mapping identified 24 environmental NGOs (regional and international), but only the applications of the 2 ENGOs in active in group D were received.

The work of the Technical Committee was managed and coordinated by the PEFC Slovakia national secretary, who had no voting rights. The Technical Committee (TC) members met twice.
The first meeting of Technical Committee members was held on 24.4.2014 in Zvolen. There were 12 out of 16 TC members present. The objective was to introduce TC members, present requirements for periodic revision of documents and tasks and role of the TC as defined by ND SFCS 002. The Committee members elected the Committee Chairman, were informed about the currently applicable scheme documents and about the proposal for the revision of SFCS including the principle for consensus building and balanced voting. On 04.07.2014 the preparatory drafts together with

commenting forms were sent out to the TC members with the requirement to comment to the drafts and submit the comments back to the PEFC Slovakia secretariat by 21.7.2014.

The following number of comments was submitted to the secretariat:

Document title	Document version	No. of submitted comments
TD SFCS 1001:2014 Slovak Forest Certification System – description	TD_SFCS_1001_2014_PN_2014-07-04	15
TD SFCS 1002:2014 Rules for certification of forest management	TD_SFCS_1002_2014_PN_2014-07-04	15
TD SFCS 1003.2014 Criteria and indicators of sustainable forest management	TD_SFCS_1003_2014_PN_2014-07-04	65
TD SFCS 1005:2014 Requirements for certification bodies operating forest management certification	TD_SFCS_1005_2014_PN_2014-07-04	6

All submitted comments were summarised and sent back to the TC members on 31.7.2014, together with the invitation to the second TC meeting. The second TC meeting was held on 12.8.2014 in Zvolen. 10 out of 16 TC members were present. The proposal for consideration and acceptation of comments was approved unanimously. The final decision on the final wording of all submitted comments as well as of additionally made comments during the meeting was made by consensus of all TC members.

A public consultation was organised by the PEFC Slovakia secretariat from 18.08.2014 to 19.10.2014, which was announced on 18.08.2014 in several web pages, press releases, direct mails and newsletters. The enquiry draft and comment forms were available on the PEFC Slovakia webpage. The following number of comments were received:

Document title	Document version	No. of submitted comments
TD SFCS 1001:2014 Slovak Forest Certification System – description	TD_SFCS_1001_2014_ NDP_2014-08-18	0
TD SFCS 1002:2014 Rules for certification of forest management	TD_SFCS_1002_2014_ NDP_2014-08-18	0
TD SFCS 1003:2014 Criteria and indicators of sustainable forest management	TD_SFCS_1003_2014_ NDP_2014-08-18	5
TD SFCS 1005:2014 Requirements for certification bodies operating forest management certification	TD_SFCS_1005_2014_ NDP_2014-08-18	0

On 21.10.2104 all comments were publicly available on the PEFC Slovakia webpage and accessible to the TC members. The comments were accepted by the TC members using postal ballot on 05.11.2014 with the following result: for - 13, against – 0, abstain – 3.

The final drafts of the standard documents were prepared by the PEFC Slovakia secretariat and sent to the TC members for the final approval using the postal ballot on 08.11.2014. The final drafts were approved by the TC members with the following results:

Final draft	FOR	AGAINST	ABSTAIN
TD SFCS 1001:2014 Slovak Forest Certification System – description TD_SFCS_1001_2014_FN_2014-11-07	16	0	0
TD SFCS 1002:2014 Rules for certification of forest management TD_SFCS_1002_2014_FN_2014-11-07	15	0	1
TD SFCS 1003:2014 Criteria and indicators of sustainable forest management TD_SFCS_1003_2014_FN_2014-11-07	16	0	0
TD SFCS 1005:2014 Requirements for certification bodies operating forest management certification TD_SFCS_1005_2014_FN_2014-11-07	15	0	1

On 01.12.2014 the final drafts of the standards together with the development report were sent to PEFC Slovakia members for formal approval using postal ballot. The documents were approved by the PEFC Slovakia General Assembly as SFCS technical documents on 12.12.2014. The results of voting: for - 18, against – 0, abstain – 1.

For more detailed information see checklist I in Annex 1.

5.2. Non-conformities at the level of standard setting procedures

No non-conformities were identified.

5.3. Non-conformities at the level of standard setting process

No non-conformities were identified.

6. Forest Management Standards

6.1. Overview about forest management standards

Forest management adhering to sustainability principles has a long tradition in the Slovak Republic. The 6 criteria of sustainable forest management as adopted in Helsinki in 1993 formed the initial basis for the sustainability requirements of the SFCS. The current version of the main technical document TD SFCS 1003:2014 "Criteria and indicators of sustainable forest management", which was a core document of this assessment, is based on the PEFC international standard PEFC ST 1003:2010 "Sustainable Forest Management – Requirements". It is leaned on the 7 international principles adopted under the Pan-European process for protection of forests in Europe, underpinned by 32 national criteria, 59 regional and 110 individual indicators. The result is a comprehensive set of requirements designed to fit the forestry structure of the country, e.g. in terms of historical development, forest vegetation type or ownership pattern. It is open and accessible to all types of forest ownership whereby the ownership structure is very heterogeneous.

Much required information to meet the SFCS requirements can be drawn from established resource bases, such as the databases of the National Forest Centre, Forest Protection Service, national forest inventories or the State Nature Conservancy on protected areas and their conditions. Forest management practices in Slovakia are governed by national legislation. To this end the standard requirements of SFCS are tied to the general legislative system of the country and relevant aspects such as environmental protection, fire protection and generally forestry are listed in TD SFCS 1001:2014 "Slovak Forest Certification System – description" in chapter 5. The same applies to the fundamental ILO Conventions or other international conventions, e.g. Convention on Biological Diversity, which have been ratified and implemented into the national legislation and are therefore not directly addressed by the SFCS certification criteria.

The requirements of SFCS do match the international requirements of PEFC.

For more detailed information see Checklist III in Annex 1.

6.2. Non-conformities

No non-conformities were identified.

7. Group Certification Model

7.1. Overview about group certification model

All required documentation is detailed, concise and available in English language. The main standard TD SFCS 1002:2014 “Rules for certification of forest management” is based in its scope on PEFC ST 1002:2010 “Group Forest Management Certification - Requirements”. It describes the objectives, organisation and management of regional forest certification and specifies tasks and responsibilities for the regional applicant for certification. Next to conditions for the voluntary participation of forest managers it defines the minimum requirements for the management system for appropriate implementation of certification requirements of sustainable forest management.

In terms of a systematic approach regional forest certification in the Slovak Republic contains activities on 2 levels:

Level 1 deals with the assessment of conformity of the state of forests and the applied management system against the certification criteria within a region. Main output documents of this process are the “Report on the state of forestry in the region” and the “Regional certificate”, which is awarded by an accredited and notified CB.
Level 2 deals with the assessment of conformity of the state of forests and the applied management system against the certification criteria at a particular forest manager applying for the participation in regional group certification. Main output documents of this process are the “Application of the forest owner for certification” and the “Confirmation of participation in the regional certification”, which is granted by the group certification manager. Rules for application, participation and exclusion of individual participants of the group certification unit are clear and cover all PEFC requirements.

It is noteworthy that SFCS applies in its terms & definitions (TD SFCS 1001:2014) the ISO-specific terminology for audit and non-conformity and places throughout the technical documentation in TD SFCS 1002:2014 “Rules for certification of forest management” a focus on the internal monitoring programme operated by the management of the certified group entity.

As an additional document to provide for information on the framework of minimum policy objectives of participants in the regional certification in the Slovak Republic, SFCS has developed ND 006 “Programové ciele PEFC pri trvalo udržateľnom obhospodarovaní lesov v SR”. Since PEFC does not require such documentation and because it serves as an internal communication tool no translated version is required to be included in the assessment for re-endorsement.

For more detailed information see Checklist II in Annex 1.

7.2. Non-conformities

No non-conformities were identified.

8. Chain of Custody standard

8.1. Overview about COC requirements

The SFCS adopted the PEFC ST 2002:2013 in full in the TD SFCS 1004:2013 (Slovak translation) already on 27.06.2013. Thus, the criteria required by the PEFCC for the Chain of Custody of a national scheme are fulfilled.

8.2. Non-conformities

No non-conformities were identified.

9. Implementation of PEFC Logo usage

9.1. Overview about logo usage in the SFCS

Logo usage by logo users:

The SFCS adopted the PEFC ST 2001:2008 in full in the TD SFCS 1007:2009 (Slovak translation) already on 26.11.2010. Thus, the criteria required by the PEFCC for the PEFC logo usage by logo users are fulfilled.

Issuance of logo usage licences:

The procedures for the issuance of logo usage licences in the SFCS are described in the document ND_SFCS_001. The PEFC Slovakia is the Logo Licensing Body in the SFCS and all logo users need to hold a logo usage contract with PEFC Slovakia. All applicants for a logo usage licence need to be legal entities and have to send an application to the secretariat of PEFC Slovakia. The secretariat will assess the application for completeness and verifies the validity of FM and/or COC certificates of the applicants and forwards the application to the chairman of PEFC Slovakia. In case of correct and complete applications, the applicant receives the logo usage agreement and an invoice about a logo issuance fee issued by PEFC Slovakia. The logo licensing agreement will be considered as valid as soon as the signed agreement returned back to PEFC Slovakia and the logo issuance fee is received. The applicant can appeal to the Arbitrary Committee in case the application is not accepted. In addition to the logo issuance fee the logo license holder will have to pay an annual periodic fee to PEFC Slovakia for the PEFC logo usage.

For more detailed information see checklist VI in Annex 1.

9.2. Non-conformities

No non-conformities were identified.

10. Certification and accreditation arrangements

10.1. Overview about certification and accreditation arrangements

The general notification procedures for CBs being active in FM and/or COC certification in the SFCS are laid down in the document ND_SFSC_003. The Notification Body is PEFC Slovakia. The procedures require that the CBs are legal entities which are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) of IAF or IAF's Regional Accreditation Groups such as European co-operation for Accreditation (EA), Interamerican Accreditation Cooperation (IAAC), Pacific Accreditation Cooperation (PAC). The accreditation body shall be signatories to the IAF MLA with a main scope of ISO/IEC 17021. The scope of accreditation and defined obligations of the CBs are defined. The CBs will have to report all important information (e.g. new certificates, changes in the scope of a certificate, e.g.) to PEFC Slovakia. The CBs will have to pay an annual notification fee to PEFC Slovakia for each certificate. The notification is valid for the period of the validity of the CB´s accreditation. The PEFC notification can be terminated or suspended by PEFC Slovakia if the notification contract is violated.

The SFCS adopted the PEFC ST 2003:2012 in full in the document TD_SFCS_1006_2013 (Slovak translation) on 24.01.2013. Thus, the criteria required by the PEFCC for the CBs operating in Chain of Custody certification are fulfilled.

The direct requirements for CBs operating in FM certification are laid down in the document TD_SFCS_1005_2014. The scope of the accreditation in this document explicitly covers the SFM standards TD SFCS 1003:2014 and TD SFCS 1002:2014, based on PEFC ST 1003:2010 and PEFC ST 1002:2010 in its valid version and/or with reference to any future changes and amendments adopted by the PEFC Council and presented at the PEFC Council official website. The scope of accreditation also explicitly requests to apply the requirements of ISO/IEC 17021. The CBs have to be impartial and the qualifications of auditors require at least a secondary education related to forestry, participation in forest management and auditing training according to ISO 19011, having at least 6 years of professional experience in forestry and need a minimum auditing experience of 4 FM audits under the leadership of a qualified Lead Auditor and at least 5 FM audits per year to maintain the status as FM Auditor. Furthermore, several further hard- and soft skills are required for auditors being active in SFM certification. Summaries of the audit reports need to be made publicly available and certificates issued have to carry an accreditation mark as prove of valid accreditation. Audits have to be prepared and carried out according to detailed audit programmes and audit plans, and the selection of the audit teams has to follow certain requirements to guarantee competence and impartiality of the audit team members. Detailed requirements for writing audit reports and handling of complaints are laid down. Furthermore, detailed requirements for auditing regional certification (group certification) are documented in Annex 3.

10.2. Non-conformities

Minor NC 01: The requirement in TD_SFCS_1005_2014 9.4 does not specify a defined timescale for the process of making the summary of the FM audit report publicly available, as requested in the PEFC Standard Interpretation from 17.11.2014.

Minor NC 02: The TD_SFCS_1005_2014 9.3 states that "Surveillance audits shall be conducted annually during the certificate validity....." The PEFC Annex 6 chapter 4 requires "the maximum

period for surveillance audits is one year.....". The term annually can be interpreted as "once per year" which would permit bigger periods than one year (= 12 months) between the audits.

11. Complaints and dispute resolution procedures

11.1. Overview about complaints procedures

The complaints and dispute procedures are documented in ND_SFCS_004. The document describes the responsibilities and actions of the PEFC Slovakia and the Arbitral Commission in relation to the investigation and resolution of complaints and appeals. Complainants have to submit their complaints and appeals in writing to the secretariat of PEFC Slovakia including verifiable information to investigate the complaint. Only complaints regarding the activities of PEFC Slovakia are accepted, other complaints will be submitted to the relevant recipient (e.g. CBs). It is expected that any formally accepted complaint, not requiring an on-site investigation, should be resolved within 6 months. The secretariat of PEFC Slovakia has to validate the complaint and to acknowledge the receipt of the complaint in writing without delay to the complainant. An arbitral commission is assigned by the PEFC Slovakia chairman. The investigators shall have no vested interest or conflict of interest in the complaint. The arbitral commission shall investigate the complaint with due care and impartially within 1 month (if no on-site inspection is necessary) and submit a written report to PEFC Slovakia indicating whether, or not, the complaint has been substantiated and suggest procedures for its resolution and decision on resolving the complaint. The national secretary shall inform the complainant and other interested parties about the outcomes of the complaint resolution process, in writing.

For further information see Checklist VI in Annex 1.

11.2. Non-conformities

Minor NC 03: The complaints procedures ND_SFCS_004 chapter 7 only refer to procedures for the resolution of complaints by an arbitral commission until submission of a report to PEFC SK but do not specify if PEFC SK has to accept the decision of the arbitral commission and take appropriate corrective and preventive action if necessary as required by PEFC GD 1004:2009 8.2.d.

Annex 1: PEFC Standard Requirements Checklist

1.1 Purpose

The purpose of this Informative Guide is to assist the assessment against the PEFC Council´s core documents as listed in chapter 5 of PEFC GD 1007:2012. Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

These standard setting checklists were used by the assessment team to identify compliances and non-compliances of the Slovak Forest Certification Scheme (SFCS) documents with the requirements of PEFC Council.

1.2 Methodology

The results of the assessments are shown in the column "Reference to application documents" and "YES/NO" in the standard requirement checklists. When the SFCS standard documents were found to fully comply with the relevant requirement of the PEFC Council international standards this is indicated with a black **YES**. In case of non-conformities (NC) the assessors grouped those in either Major or Minor NC. A Minor NC identified by the assessors is marked with a red **PARTLY**. Minor NCs are seen as a partial non-compliance related to the fulfillment of a certain PEFC Council requirement. In case a Major non-compliance was identified by the assessors, this is marked with a red **NO**. This means that a crucial part of the PEFC Council requirements has not been met.

The references to the SFCS standard documents are given at the beginning of the relevant section. In cases where requirements were met by the SFCS standard documents, citations from the standard documents are copied into the checklists to demonstrate compliance. Citations are written in black colour and are marked with quotation marks ("....."). In cases the assessors formulated the findings in their own words, e.g. by interpreting the content of the provided documented information, the results are written in black colour without quotation marks. In case of **Minor NC**s or **Major NC**s, the non-conformities are indicated in bold red colour including a reference to the PEFC international standards.

1.3 Legend

Column YES/NO:

YES = Assessment showed compliance with the PEFC international standards

PARTLY = Minor non-compliance with the PEFC international standards

No = Major non-compliance with the PEFC international standards

Column "Reference to application documents":

Black = Evaluations made by the assessors

"Black" = Quotations from SFCS Standard Documents

RED = Minor CARs, Major CARs and Observations

1.4 Part I: Standard and System Requirement Checklist for standard setting (PEFC ST 1001:2010)

1.4.1 1 Scope

Part I covers the requirements for standard setting defined in PEFC ST 1001:2010, *Standard Setting – Requirements*.

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

1.4.2 2 Checklist

Question	Assess. basis*	YES /NO*	Reference to application documents
Standardising Body			
4.1 The standardising body shall have written procedures for standard-setting activities describing:			
a) its status and structure, including a body responsible for consensus building (see 4.4) and for formal adoption of the standard (see 5.11),	Procedures	**YES**	ND_SFCS_002 Chapter 4.1: "The **PEFC Slovakia (PEFC SK) General Assembly** is the standardizing body, which shall be responsible for the formal approval of the documents. The composition and decision making of the PEFC SK General Assembly shall be defined in the PEFC SK statute." ND_SFCS_002 Chapter 4.4: "**Technical Committee** shall be established by the PEFC SK Council on the basis of nominations received. The Technical Committee composition shall provide for balanced representation and decision-making by stakeholder categories relevant to subject matter and scope of the standard where single concerned interest shall not dominate nor should be dominated in the process. .....

Question	Assess. basis*	YES /NO*	Reference to application documents
			Technical Committee is established on a temporary basis for the period of SFCS standard development or revision."
b) the record-keeping procedures,	Procedures	**YES**	ND_SFCS_002 Chapter 4.3: "The secretariat shall be responsible, *inter alia*, for the implementation of the document procedures and other rules relating to the standard development. For this purpose, the secretariat arranges all contacts between the Technical Committee, authorised person and the PEFC SK Council. In particular, the secretariat shall be responsible for: ..... m) record keeping relating to the standard setting process." ND_SFCS_002 Chapter 8: This chapter provides a comprehensive list of records which have to be kept during the standard setting process and have to be retained for a minimum of 5 years.
c) the procedures for balanced representation of stakeholders,	Procedures	**YES**	ND_SFCS_002 Chapter 4.4: "The Technical Committee composition shall provide for balanced representation and decision-making by stakeholder categories relevant to subject matter and scope of the standard where single concerned interest shall not dominate nor should be dominated in the process." ND_SFCS_002 Chapter 5.2.2: "The PEFC SK Council shall be responsible for the acceptance or refusal of the nominations for establishing the Technical Committee or adjusting already existing Technical Committee

Question	Assess. basis*	YES /NO*	Reference to application documents
			based on the received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the Technical Committee and resources available for the standard-setting. The secretariat shall inform the members of the Technical Committee of their acceptance."
d) the standard-setting process,	Procedures	**YES**	ND_SFCS_002 Chapter 5: Chapter 5 presents comprehensive requirements for the standard setting process, which is structured into the main chapters proposal stage, preparatory stage, development stage, enquiry stage, approval stage and publication stage.
e) the mechanism for reaching consensus, and	Procedures	**YES**	ND_SFCS_002 Chapter 5.3.2: "The decision of the Technical Committee to recommend the working draft for public consultations or final draft for formal approval shall be taken on the basis of a consensus. In order to reach a consensus the Technical Committee can utilise the following alternative processes to establish whether there is opposition: a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc., b) a telephone conference meeting where there is a verbal yes/no vote, c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote), or d) combinations thereof. In any case of a negative vote which represents sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanisms: a) discussion and negotiation on the disputed issue within the Technical Committee in

Question	Assess. basis*	YES /NO*	Reference to application documents
			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. The dispute resolution process shall be governed by the respective procedures approved by the PEFC Slovakia."
f) revision of standards/normative documents.	Procedures	**YES**	ND_SFCS_002 Chapter 6: "The standards shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards shall follow those set out in chapter 5."
4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.	Procedures	**YES**	ND_SFCS_002 Chapter 5.2.1: "The start of the process of documentation development and revision shall be announced on PEFC SK website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions. The announcement shall include: ..... d) an invitation to comment on the scope and the standard-setting process, and e) reference to publicly available standard-setting procedures available on PEFC SK website. ..... PEFC SK secretariat shall make the standard-setting procedures publicly available on PEFC SK webpage and review it based on comments received from the public announcement."
	Process	**YES**	DP_02_2014 Chapter 2: According to the development report chapter 2, a process on commenting and reviewing the standard setting process was carried out from 05. - 28.02.2014.

Question	Assess. basis*	YES /NO*	Reference to application documents
			DP_02_2014 Chapter 4: The standard setting procedures were published on the PEFC Slovak website on 02.05.2014 under the following link: http://pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015 The Annex of the development report provides the content of a press release announcing the start of the process including references to the standard setting documents (see 05_press_release_2014-02-05.pdf) DP_02_2014_Chapter 6 "There were no comments on the scope and process of documents revisions submitted to the PEFC Slovakia secretariat in the period from 5.2.2014 to 28.2.2014, neither during the all revision process."
4.3 The standardising body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising body's own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.	Procedures	**YES**	ND_SFCS_002 Chapter 8: "The following records shall be kept from the standard setting: a) Standard setting proposal, stakeholders determination, list of invited stakeholders b) Written documentation for the establishment of Technical Committee c) Minutes of the PEFC SK Council meetings and PEFC SK General Assembly d) Minutes of the Technical Committee meetings, including the comments and proposals of the members of Technical Committee and public consultation, and changes to the documentation e) Results of the consensus building and resolution of opposition f) Minutes of meetings with stakeholders g) Comments from public consultations h) Results of pilot testing

Question	Assess. basis*	YES /NO*	Reference to application documents
			i) Received appeals and complaints j) Decisions of the Arbitral Committee k) Results of the General Assembly and/or e-mail voting l) Development report m) All drafts of the standards and changes to the standards elaborated within the individual stages of standard setting process. The records shall be kept for a minimum of five years and shall be available to interested parties upon request."
	Process	**YES**	DP_02_2014 Annex The Annex to the development report provides a comprehensive set of records, minutes and other supporting documents which provide evidence for the implementation of the standard setting process.
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Procedures	**YES**	ND_SFCS_002 Chapter 4.4: "Technical Committee shall be established by the PEFC SK Council on the basis of nominations received. ..... Technical Committee is established on a temporary basis for the period of SFCS standard development or revision."
	Process	**YES**	DP_02_2014 Chapter 5: "The PEFC Slovakia secretariat received 18 nominations from 19 organisations. The PEFC Slovakia Council on its meeting on 13.3.2014 recognised the nomination received and respecting the principle of balanced representation of interests decided on the composition of the Technical Committee (tab. 3). The Technical Committee members were appointed by the appointment letter

Question	Assess. basis*	YES /NO*	Reference to application documents
			and their contact information were available on the PEFC SK web page http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/technicka-komisia." DP_02_2014 Annex: Supporting records of nominations received and appointed members of the Technical Committee are provided (see 09_nominations_received and 11_appointed_TC_members).
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	**YES**	ND_SFCS_002 Chapter 4.4: "The Technical Committee shall include stakeholders with expertise relevant to the subject matter of the specific standard, those who are materially affected by the standard and those that can influence the implementation of the standard. ..... The members of the Technical Committees are accessible to the materially and directly affected stakeholders through the publicly available contact information on PEFC SK web page."
	Process	**YES**	DP_02_2014 Chapter 4: The invitation to participate in the Technical Committee was published on the webpages of PEFC Slovakia and PEFC Council, by various press and online releases and by direct mail to the identified stakeholders during the stakeholder mapping and by email newsletter to holders of SFM and COC certificates in Slovakia. Thus it can be assumed that all materially and directly affected stakeholders had access to the Technical Committee. DP _02_2014 Annex:

Question	Assess. basis*	YES /NO*	Reference to application documents
			The described process of sending direct mails to identified stakeholders and email newsletter to holders of certificates is supported by records of letters send and a copy of the newsletter (see 07_registered_mail_2014-02-06.pdf and 08_PEFC_SK_newsletter_2014-02-05.eml).
b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and	Procedures	**YES**	ND_SFCS_002 Chapter 4.4: "The Technical Committee composition shall provide for balanced representation and decision-making by stakeholder categories relevant to subject matter and scope of the standard where single concerned interest shall not dominate nor should be dominated in the process. The Technical Committee shall include stakeholders with expertise relevant to the subject matter of the specific standard, those who are materially affected by the standard and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants " ND_SFCS_002 Chapter 5.2.2: "The PEFC SK Council shall be responsible for the acceptance or refusal of the nominations for establishing the Technical Committee or adjusting already existing Technical Committee based on the received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the Technical Committee and resources available for the standard-setting. The secretariat shall inform the members of the Technical Committee of their acceptance."
	Process	**YES**	DP_02_2014 Chapter 5: "The PEFC Slovakia secretariat received 18 nominations from 19 organisations. The PEFC Slovakia Council on its meeting on 13.3.201410 recognised the nomination received and respecting the

Question	Assess. basis*	YES /NO*	Reference to application documents
			principle of balanced representation of interests decided on the composition of the Technical Committee (tab. 3). The Technical Committee members were appointed by the appointment letter and their contact information were available on the PEFC SK web page http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/technicka-komisia." The Technical Committee consisted of the following stakeholder categories: A – Forest owners and managers (4 members) B – Business sector and industry (4 members) C – Political and administration sector (4 members, including scientific organisations) D - Sector utilising the ecosystem services of forestry (5 members, including NGOs) DP_02_2014 Annex: The information about the composition of the Technical Committee is supported by records in the Annex (see 11_appointed_TC_members).
c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants.	Procedures	**YES**	See requirement b above.
	Process	**YES**	See requirement b above.
4.5 The standardising body shall establish	Procedures	**YES**	ND_SFCS_002 Chapter 4.6:

Question	Assess. basis*	YES /NO*	Reference to application documents
procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders.			"The Arbitral Commission is a PEFC Slovakia body defined by the PEFC SK statute. It deals with any substantive and procedural complains relating to the standardising activities using the PEFC SK complaints and appeals resolution procedures approved by the PEFC SK. The procedures are publicly available on PEFC SK website."
	Process	**YES**	The complaints procedures are documented in the ND_SFCS_004 and published under: http://www.pefc.sk/dokumenty-sfcs/struktura-dokumentov/interne-dokumenty/item/83-nd_sfcs_004
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	**YES**	ND_SFCS_004 Chapter 6.3: "6.3 The national secretary shall without delay: a) acknowledge to the complainant / appellant (in writing) the receipt and subject of the complaint / appeal or rejection of the complaint / appeal with justification if it is not in accordance with clause 4.1 and 4.2 (in case of the complaint) or 5.1 and 5.2 (in case of the appeal)."
	Process	**YES**	DP_02_2014 Chapter 4: "The announcement also included information about the establishment of contact point for enquires and complaints relating the documents revision activities. The contact point was publicly available on PEFC Slovakia web page (http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015)." PEFC Slovakia declared during the 2 weeks comment period that no complaints had been received!

Question	Assess. basis*	YES /NO*	Reference to application documents
b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint, and	Procedures	**YES**	ND_SFCS_004 Chapter 7.1: "7.1 After receiving the complaint, the PEFC SK chairman shall assign the Arbitral Commission to investigate the complaint. The investigators shall have no vested, or conflict of, interest in the complaint. 7.2 The Arbitral Commission shall undertake a thorough investigation and seek a resolution. The Arbitral Commission shall submit in a timely matter, a detailed written report, to the PEFC SK chairman and the national secretary shall present it to the PEFC SK Council. The report shall include a statement indicating whether, or not, the complaint has been substantiated, procedures for its resolution and decision on resolving the complaint." "Note: it is expected that complaints not requiring an on-site investigation should normally be investigated within 1 month"
	Process	**YES**	DP_02_2014 Chapter 4: "The announcement also included information about the establishment of contact point for enquires and complaints relating the documents revision activities. The contact point was publicly available on PEFC Slovakia web page (http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015)." No records of complaints are submitted! Additional clarification by scheme: PEFC Slovakia declared during the 2 weeks comment period that no complaints had been received!
c) formally communicate the decision on the complaint and of the complaint	Procedures	**YES**	ND_SFCS_004 Chapter 7.3: "7.3 The national secretary shall inform the complainant and other interested parties about the outcomes of the complaint resolution process, in writing."

Question	Assess. basis*	YES /NO*	Reference to application documents
handling process to the complainant.	Process	**YES**	DP_02_2014 Chapter 4: "The announcement also included information about the establishment of contact point for enquires and complaints relating the documents revision activities. The contact point was publicly available on PEFC Slovakia web page (http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015)." No records of complaints are submitted! PEFC Slovakia declared during the 2 weeks comment period that no complaints had been received!
4.6 The standardising body shall establish at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.	Procedures	**YES**	ND_SFCS_002 Chapter 5: "PEFC SK secretariat shall establish a contact point for enquires and complaints relating the standard setting activities. The contact point shall be available on PEFC SK website." DP_02_2014 Chapter 4: "The announcement also included information about the establishment of contact point for enquires and complaints relating the documents revision activities. The contact point was publicly available on PEFC Slovakia web page (http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015)."
Standard-setting process			
5.1 The standardising body shall identify stakeholders relevant to the objectives	Procedures	**YES**	ND_SFCS_002 Chapter 5.1 "Identification of relevant stakeholders, including the disadvantaged and key stakeholders shall be

Question	Assess. basis*	YES /NO*	Reference to application documents
and scope of the standard-setting work.			done using the mapping exercise, which includes determination of: a) relevant interest sectors, b) key issues for each relevant sector,"
	Process	**YES**	DP_02_2014 Annex 4: The Annex 4 provides a list of 99 identified stakeholders throughout different interest sectors, including forest owners/managers, wood processors/traders, state administrations, water management, scientific organisations, (E)NGOs and associations relevant for the forestry and wood processing sector. For detailed information see Annex 4 of the development report.
5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.	Procedures	**YES**	ND_SFCS_002 Chapter 5.1 "Identification of relevant stakeholders, including the disadvantaged and key stakeholders shall be done using the mapping exercise, which includes determination of ... c) key stakeholders in each sector, d) disadvantaged stakeholders and constrains of their participation." ND_SFCS_002 Chapter 5.2.1: "The secretariat shall proactively seek participation of the disadvantaged and key stakeholders. The invitation to disadvantaged and key stakeholders shall be made in understandable format and in a manner that ensures that the information reaches intended recipients, e.g. registered post, e-mail receipt confirmation."
	Process	**YES**	DP_02_2014 Chapter 3: "Small forest owners and their associations as well as associations of forestry contractors and

Question	Assess. basis*	YES /NO*	Reference to application documents
			entrepreneurs were identified by the Board of Directors of PEFC Slovakia to be disadvantaged stakeholders. The main constrain of their participation is their unfavourable financial situation due to their small size a spread distribution of operations, which does not have to allow them to participate in the process of revision. To motivate disadvantaged stakeholders to participate in the process the Board of Directors agreed to cover and reimburse travel and all other cost related with the participation in Technical Committee meetings." Additional clarification by PEFC Slovakia during 2 weeks comment period: "PEFC SK Council had no reason to consider NGOs as disadvantaged stakeholders due to their financial situation, as the majority of identified relevant NGOs, mainly ENGOs, are well organized, coordinated and networked and have a considerable influence on the society through their activities and media campaigns compared to small forest owners associations. Moreover, there were only 5 nominations received from the identified stakeholders in group D, thought they represented 50% of the identified stakeholders." DP_02_2014 Annex 4: The Annex 4 includes the rating as main (key) stakeholder or disadvantaged stakeholders. 35 key stakeholders and 4 disadvantaged stakeholders were identified.
5.3 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation for participation in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for	Procedures	**YES**	ND_SFCS_002 Chapter 5.2.1: "The start of the process of documentation development and revision shall be announced on PEFC SK website and in suitable media as appropriate to afford stakeholders an opportunityfor meaningful contributions."
	Process	**YES**	DP_02_2014 Chapter 4:

Question	Assess. basis*	YES /NO*	Reference to application documents
meaningful contributions.			"The start of the process of revision of documents of Slovak Forest Certification System and invitation of stakeholders to nominate their representatives to the Technical Committee was publicly announced on 5.2.2014 through the following media: - PEFC Slovakia web page (5.2.2014) http://pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015 including the press release - PEFC Council web page (24.2.2014) http://www.pefc.org/news-a-media/general-sfm-news/1454-pefc-slovakia-begins-second-revision-of-the-slovak-forest-certification-system the press release sent to the main press agencies and editorial offices of newspapers and magazines, professional forestry and wood processing media and portals (TASR, SITA, Hospodárske noviny, Sme, Pravda, lesmedium.sk, grevmag.sk) and published on: - http://www.hlavnespravy.sk/slovensko-otvara-reviziu-dokumentov-narodneho-systemu-certifikacie-lesov/214764 (11.2.2014) - http://www.drevmag.com/index.php/sk/informacny-servis/3073-otvaraju-2-reviziu-dokumentov-certifikacneho-retazca-pefc-na-slovensku (10.2.2014) Announcement of the start of the process and invitation of stakeholders to nominate their representatives to the Technical Committee was also sent to: - main stakeholders (by registered mail) and disadvantaged stakeholders (by registered mail) (6.2.2014)7 - identified relevant stakeholders, PEFC Slovakia members and holders of SFM and COC certificates (by Newsletter PEFC Slovakia) (5.2.2014)" DP_02_2014 Annex 5-8 The Annex 5 - 8 provide evidence for the described process in the development report in form of examples of direct mail registries, newsletters, e.g.

Question	Assess. basis*	YES /NO*	Reference to application documents
5.3 The announcement and invitation shall include:			
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,	Procedures	**YES**	ND_SFCS_002 Chapter 5.2.1: "The start of the process of documentation development and revision shall be announced on PEFC SK website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions. The announcement shall include: a) information about the objectives, scope and the steps of the standard-setting process and its timetable, b) information about opportunities for stakeholders to participate in the process, c) an invitation to stakeholders to nominate their representatives to the Technical Committee. d) an invitation to comment on the scope and the standard-setting process, and e) reference to publicly available standard-setting procedures available on PEFC SK website. The secretariat shall proactively seek participation of the disadvantaged and key stakeholders. The invitation to disadvantaged and key stakeholders shall be made in understandable format and in a manner that ensures that the information reaches intended recipients, e.g. registered post, e-mail receipt confirmation."
	Process	**YES**	DP_02_2014 Chapter 4: "The announcement included information about the objectives and scope of the revision process and invitation to stakeholders to participate in this process through nominating their representatives to the Technical Committee that will be responsible for the realisation of revision of documents. The announcement also included references to publicly available Proposal for the revision of SFCS and the possibility for the public to comment this procedure. The announcement for disadvantaged stakeholders also included information on reimbursement of cost related to the participation in Technical Committee meetings. Deadline for sending nominations for Technical

Question	Assess. basis*	YES /NO*	Reference to application documents
			Committee members and comments to the Proposal for the revision of SFCS to the PEFC Slovakia secretariat was 28.2.2014. The announcement also included information about the establishment of contact point for enquires and complaints relating the documents revision activities. The contact point was publicly available on PEFC Slovakia web page (http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015)." DP_02_2014 Annex 5-8 The Annex 5 - 8 provide evidence for the described process in the development report in form of examples of direct mail registries, newsletters, e.g.?
b) information about opportunities for stakeholders to participate in the process,	Procedures	**YES**	See requirement a) above
	Process	**YES**	See requirement a) above
(c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable,	Procedures	**YES**	See requirement a) above
	Process	**YES**	See requirement a) above
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	**YES**	See requirement a) above
	Process	**YES**	See requirement a) above

Question	Assess. basis*	YES /NO*	Reference to application documents
e) reference to publicly available standard-setting procedures.	Procedures	**YES**	See requirement a) above
	Process	**YES**	See requirement a) above
5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.	Procedures	**YES**	ND_SFCS_002 Chapter 5.2.1: "PEFC SK secretariat shall make the standard-setting procedures publicly available on PEFC SK webpage and review it based on comments received from the public announcement." ND_SFCS_002 Chapter 5.2.2: "The invitation to stakeholders to nominate their representatives to the Technical Committee is done as part of the announcement. The nominations are collected by the secretariat. The PEFC SK Council shall be responsible for the acceptance or refusal of the nominations for establishing the Technical Committee or adjusting already existing Technical Committee based on the received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the Technical Committee and resources available for the standard-setting. The secretariat shall inform the members of the Technical Committee of their acceptance."
	Process	**YES**	DP_02_2014 Chapter 5: "The PEFC Slovakia secretariat received 18 nominations from 19 organisations. The PEFC Slovakia Council on its meeting on 13.3.201410 recognised the nomination received and respecting the principle of balanced representation of interests decided on the composition of the Technical Committee (tab. 3). The Technical Committee members were appointed by the appointment letter and their contact information were available on the PEFC SK web page

Question	Assess. basis*	YES /NO*	Reference to application documents
			http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/technicka-komisia." The Technical Committee consisted of the following stakeholder categories: A – Forest owners and managers (4 members) B – Business sector and industry (4 members) C – Political and administration sector (4 members, including scientific organisations) D - Sector utilising the ecosystem services of forestry (5 members, including 2 NGOs) Additional clarification by national scheme during 2 weeks comment period: "There were 18 nominations (persons) received from 19 organizations (note: 1 person was nominated by 2 organisations). The minimum number of nominations (4) was received from group B stakeholders. In order to provide for balanced representation of interests and equal voting, the PEFC SK Council decided to adjust the number of TC members in each stakeholder group to 4. Therefore, for group A and group C, there was one nomination not accepted in order to create equal participation of 4 persons in each stakeholder category (16 persons – 4 per each category). Two organizations in group D nominated the same person, therefore there were 5 organizations in group D, (all together 17 organizations in TC), however only 4 persons, i.e. 4 votes in group D." DP_02_2014 Annex: The information about the acceptance and composition of the Technical Committee is supported by records in the Annex (see 09_nominations_received, 10_minutes_BoD_PEFC_SK_2014-03-13.pdf and 11_appointed_TC_members).
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			
a) working drafts shall be available to all	Procedures	**YES**	ND_SFCS_002 Chapter 5.2.3:

<table>
<tr><th>Question</th><th>Assess. basis*</th><th>YES /NO*</th><th>Reference to application documents</th></tr>
<tr><td rowspan="2">members of the working group/committee,</td><td></td><td></td><td>"Either the secretariat or the person authorised by the Council shall prepare a preparatory draft of the relevant document which shall be supplied to and serve as a working draft for the Technical Committee."</td></tr>
<tr><td>Process</td><td>YES</td><td>DP_02_2014 Chapter 7:

"On 4.7.2014 the preparatory drafts together with commenting forms were sent out to the TC members with the requirement to comment to the drafts and submit the comments back to the PEFC Slovakia secretariat by 21.7.2014".

DP_02_2014 Annex 13

The working drafts, which were sent to the TC members, are submitted as evidence in Annex 13.</td></tr>
<tr><td rowspan="2">b) all members of the working group shall be provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and</td><td>Procedures</td><td>YES</td><td>ND_SFCS_002 Chapter 5.3.1:

"All members of the Technical Committee shall be provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working draft."</td></tr>
<tr><td>Process</td><td>YES</td><td>DP_02_2014 Chapter 7:

The following number of comments were provided as reaction to the 4 working drafts:
<table>
<tr><td>TD SFCS 1001:2014 Slovak Forest Certification System – description</td><td>TD_SFCS_1001_2014_PN_2014-07-04</td><td>15 comments</td></tr>
<tr><td>TD SFCS 1002:2014 Rules for certification of forest management</td><td>TD_SFCS_1002_2014_PN_2014-07-04</td><td>15 comments</td></tr>
<tr><td>TD SFCS 1003:2014 Criteria and</td><td>TD_SFCS_1003_2014_PN_2014-07-04</td><td>65 comments</td></tr>
</table></td></tr>
</table>

<table>
<tr><th>Question</th><th>Assess. basis*</th><th>YES /NO*</th><th>Reference to application documents</th></tr>
<tr><td></td><td></td><td></td><td>
<table>
<tr><td>indicators of sustainable forest management</td><td></td><td></td></tr>
<tr><td>TD SFCS 1005:2014 Requirements for certification bodies operating forest management certification</td><td>TD_SFCS_1005_2014_PN_2014-07-04</td><td>6 comments</td></tr>
</table>
DP_02_2014 Annex 15

The Annex 15 shows documents the comments from each individual member in a transparent way.

The high number of comments and their documentation and consideration from various members of the TC show that the members were provided with meaningful opportunities to contribute to the process.
</td></tr>
<tr><td rowspan="2">c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.</td><td>Procedures</td><td>YES</td><td>ND_SFCS_002 Chapter 5.3.1:

"Comments and views submitted by any member of the Technical Committee, together with the preliminary proposals for their resolutions shall be considered in an open and transparent way. All proposed resolutions and changes to the working draft shall be recorded."</td></tr>
<tr><td>Process</td><td>YES</td><td>DP_02_2014 Chapter 7:

"All submitted comments were summarised and send back to TC members on 31.7.2014 together with the invitation to the second TC meeting. The second TC meeting was held on 12.8.2014 in Zvolen. There were 10 out of 16 TC members present. The TC chairman proposed the procedure for considering of received comments:
- presentation of each comment,</td></tr>
</table>

Question	Assess. basis*	YES /NO*	Reference to application documents
			- justification or explanation of the comment by its author, - discussion on the comment, - acceptation of final wording of the comments by consensus, - in case when consensus is not reached, the final wording of the comment will be accepted after voting." "The proposal for considering and acceptation of comments was approved unanimously. The final decision on the final wording of all submitted comments as well as of additionally made comments during the meeting was made by consensus of all TC members as recorded in the meeting minutes." DP_02_2014 Annex 15 and 16 The Annex 15 shows documents the comments from each individual member in a transparent way and Annex 16 documents the minutes and unanimous approval of the final acceptance of the comments by all TC members.
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
a) the start and the end of the public consultation is announced in a timely manner in suitable media,	Procedures	**YES**	ND_SFCS_002 Chapter 5.4.2: "The start and the end of the public consultation shall be announced in a timely manner on PEFC SK website and in suitable media."
	Process	**YES**	DP_02_2014 Chapter 8: "Public consultation to inquiry drafts was organised by the PEFC Slovakia secretariat. Public consultation period was from 18.8.2014 to 19.10.2014.

Question	Assess. basis*	YES /NO*	Reference to application documents
			The start of public consultation of revised documents of Slovak Forest Certification System and invitation of stakeholders to participate in consultation was publicly announced on 18.8.2014 through the following media: - PEFC Slovakia web page (18.8.2014) http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/verejne-konzultacie including the press release - the press release sent to the main press agencies and editorial offices of newspapers and magazines, professional forestry and wood processing media and portals (TASR, SITA, Hospodárske noviny, Sme, Pravda, lesmedium.sk, grevmag.sk)19 and published on: - http://www.drevmag.com/index.php/sk/informacny-servis/3601-na-slovensku-pokracuju-verejne-konzultacie-k-dokumentom-pefc (20. 8. 2014) Announcement of the start of public consultation and invitation of stakeholders to comment on documents was also sent to: - main stakeholders (by registered mail) and disadvantaged stakeholders (by registered mail) (18.8.2014) - identified relevant stakeholders, PEFC Slovakia members and holders of SFM and COC certificates (by Newsletter PEFC Slovakia) (18.8.2014)" DP_02_2014 Annex 18 - 21: The Annexes provide evidence for the process described in the development report. They also show that the end of the open consultation (19.10.2014) was also announced.
b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its	Procedures	**YES**	ND_SFCS_002 Chapter 5.4.2: "The invitation of disadvantaged and key stakeholders shall be made in understandable format and ensure that the information reaches its recipient, e.g. registered post, e-mail receipt confirmation."

Question	Assess. basis*	YES /NO*	Reference to application documents
recipient and is understandable,	Process	**YES**	DP_02_2014 Chapter 8: The development report and Annexes 18-21 show that main (key) stakeholders and disadvantaged stakeholders were invited in addition to the public announcements by direct mail and newsletters, which is seen as sufficient to reach these stakeholders in Slovakia by the assessors.
c) the enquiry draft is publicly available and accessible,	Procedures	**YES**	ND_SFCS_002 Chapter 5.4.2: "The public consultations shall be at least 60 days and the enquiry draft shall be made publicly available and accessible on the PEFC SK website and on request."
	Process	**YES**	DP_02_2014 Chapter 8: "The enquiry drafts together with commenting forms were publicly available on http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/verejne-konzultacie." The link is still accessible showing the publication date of 18.08.2014.
d) the public consultation is for at least 60 days,	Procedures	**YES**	ND_SFCS_002 Chapter 5.4.2: "The public consultations shall be at least 60 days and the enquiry draft shall be made publicly available and accessible on the PEFC SK website and on request."
	Process	**YES**	DP_02_2014 Chapter 8: "Public consultation to inquiry drafts was organised by the PEFC Slovakia secretariat. Public consultation period was from 18.8.2014 to 19.10.2014." The link to the announcement of the public consultation shows the dates from 18.08. - 19.10.2014: http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/verejne-

<table>
<tr><th>Question</th><th>Assess. basis*</th><th>YES /NO*</th><th>Reference to application documents</th></tr>
<tr><td></td><td></td><td></td><td>konzultacie</td></tr>
<tr><td rowspan="2">e) all comments received are considered by the working group/committee in an objective manner,</td><td>Procedures</td><td>YES</td><td>ND_SFCS_002 Chapter 5.4.2:

"The received comments together with the preliminary proposals for their resolutions shall be considered in an open and transparent way as set out in chapter 5.3.2. All proposed resolutions and changes to the enquiry draft shall be recorded."</td></tr>
<tr><td>Process</td><td>YES</td><td>DP_02_2014 Chapter 8:

The following comments were received:

<table><tr><td>TD SFCS 1001:2014 Slovak Forest Certification System – description</td><td>TD_SFCS_1001_2014_ NDP_2014-08-18</td><td>0 comments</td></tr><tr><td>TD SFCS 1002:2014 Rules for certification of forest management</td><td>TD_SFCS_1002_2014_ NDP_2014-08-18</td><td>0 comments</td></tr><tr><td>TD SFCS 1003:2014 Criteria and indicators of sustainable forest management</td><td>TD_SFCS_1003_2014_ NDP_2014-08-18</td><td>5 comments</td></tr><tr><td>TD SFCS 1005:2014 Requirements for certification bodies operating forest management certification</td><td>TD_SFCS_1005_2014_ NDP_2014-08-18</td><td>0 comments</td></tr></table>
"As of 21.10.2104 all submitted comments were publicly available on http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/verejne-konzultacie and subsequently sent to the TC members for considering".</td></tr>
<tr><td>(f) a synopsis of received comments compiled from material issues, including the results of their consideration, is</td><td>Procedures</td><td>YES</td><td>ND_SFCS_002 Chapter 5.4.2:

"A synopsis of received comments compiled from material issues, including the results of their consideration, shall be publicly available on PEFC SK website."</td></tr>
</table>

<table>
<tr><th>Question</th><th>Assess. basis*</th><th>YES /NO*</th><th>Reference to application documents</th></tr>
<tr><td>publicly available, for example on a website.</td><td>Process</td><td>YES</td><td>"As of 21.10.2104 all submitted comments were publicly available on http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/verejne-konzultacie and subsequently".</td></tr>
<tr><td rowspan="2">5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee.</td><td>Procedures</td><td>YES</td><td>ND_SFCS_002 Chapter 5.4.3:

"The secretariat shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the Technical Committee. In case of revision of a standard, the experiences from its usage substitute for pilot testing."</td></tr>
<tr><td>Process</td><td>n.a.</td><td>Not applicable, since this is a standard revision process.</td></tr>
<tr><td rowspan="2">5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus.</td><td>Procedures</td><td>YES</td><td>ND_SFCS_002 Chapter 5.3.2:

"The decision of the Technical Committee to recommend the working draft for public consultations or final draft for formal approval shall be taken on the basis of a consensus."</td></tr>
<tr><td>Process</td><td>YES</td><td>DP_02_2014 Chapter 8:

"The final drafts were prepared by the PEFC SK secretariat and sent to the TC members for the final approval using the postal ballot on 8.11.2014. The final drafts were approved by the TC members on 14.11.2014 (SFCSrev/2/2014). The results of voting (tab. 6):"
<table>
<tr><th>Final draft</th><th>FOR</th><th>AGAINST</th><th>ABSTAIN</th></tr>
<tr><td>TD SFCS 1001:2014 Slovak Forest Certification System – description TD_SFCS_1001_2014_FN_2014-11-07</td><td>16</td><td>0</td><td>0</td></tr>
<tr><td>TD SFCS 1002:2014 Rules for certification of forest management TD_SFCS_1002_2014_FN_2014-11-07</td><td>15</td><td>0</td><td>1</td></tr>
</table>
</td></tr>
</table>

Question	Assess. basis*	YES /NO*	Reference to application documents
			TD SFCS 1003:2014 Criteria and indicators of sustainable forest management TD_SFCS_1003_2014_FN_2014-11-07 — 16 — 0 — 0
			TD SFCS 1005:2014 Requirements for certification bodies operating forest management certification TD_SFCS_1005_2014_FN_2014-11-07 — 15 — 0 — 1
			DP_02_2014 Annex 27: The documents of the postal ballot for each member of the TC are recorded in Annex 27 as evidence for the result.
5.8 In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition:			
a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,	Procedures	**YES**	ND_SFCS_002 Chapter 5.3.2: "In order to reach a consensus the Technical Committee can utilise the following alternative processes to establish whether there is opposition: a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,"
	Process	**YES**	This method was used during the meetings of the Technical Committees on 24.04.2014 and 12.08.2014 (documented in the Annexes 12 and 16 of development report).
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	**YES**	ND_SFCS_002 Chapter 5.3.2: "In order to reach a consensus the Technical Committee can utilise the following alternative

Question	Assess. basis*	YES /NO*	Reference to application documents
			processes to establish whether there is opposition: ..... b) a telephone conference meeting where there is a verbal yes/no vote,"
	Process	**n.a.**	This method was not applied.
c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote), or	Procedures	**YES**	ND_SFCS_002 Chapter 5.3.2: "In order to reach a consensus the Technical Committee can utilise the following alternative processes to establish whether there is opposition: ..... c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote), or"
	Process	**YES**	This method was used during the postal ballots for acceptance of internal and public comments and for approval of the final draft which was submitted to the PEFC Slovakia members for final approval (documented in the Annexes 24, 27 and 28 of development report).
d) combinations thereof.	Procedures	**YES**	ND_SFCS_002 Chapter 5.3.2: "In order to reach a consensus the Technical Committee can utilise the following alternative processes to establish whether there is opposition: ..... d) combinations thereof."
	Process	**n.a.**	This method was not applied.

Question	Assess. basis*	YES /NO*	Reference to application documents
5.9 In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s):			
a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,	Procedures	**YES**	ND_SFCS_002 Chapter 5.3.2: "In any case of a negative vote which represents sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanisms: a) discussion and negotiation on the disputed issue within the Technical Committee in order to find a compromise,"
	Process	**n.a.**	This method was not applied.
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise,	Procedures	**YES**	ND_SFCS_002 Chapter 5.3.2: "In any case of a negative vote which represents sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanisms: .... b) direct negotiation between the stakeholders submitting the objection and stakeholders with different view on the disputed issue in order to find a compromise,"
	Process	**n.a.**	This method was not applied.
c) dispute resolution process.	Procedures	**YES**	ND_SFCS_002 Chapter 5.3.2: "In any case of a negative vote which represents sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following

Question	Assess. basis*	YES /NO*	Reference to application documents
			mechanisms: .... c) dispute resolution process."
	Process	**n.a.**	This method was not applied.
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	**YES**	ND_SFCS_002: The chapters 5.2.1, 5.4, 5.5.1 and 5.6 include the publication of all relevant documents during the standard setting process, including the finally approved standards by the PEFC Slovakia members.
	Process	**YES**	DP_02_2014: The revised technical documents, process of revision and the development report for the revision process are available on http://www.pefc.sk/dokumenty-sfcs/tvorba-dokumentov/revizia-sfcs-2014-2015/revidovane-dokumenty. The process of revision has been documented. The records from the process of revision of SFCS documents content: - written documentation for the establishment of Technical Committee, - minutes of the PEFC Slovakia Council meetings and PEFC Slovakia General Assembly, - minutes of the Technical Committee meetings, - comments, views and proposals of the members of Technical Committee and changes to the documentation, - comments, views and proposals of documentation changes resulting from public consultation, - results of postal votes, - all documents and changes to the documents created in individual phases of the documents development and revision process.

Question	Assess. basis*	YES /NO*	Reference to application documents
			The records on the revision process are available at the PEFC Slovakia secretariat.
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	Procedures	**YES**	ND_SFCS_002 Chapter 5.5.1: "The final draft shall be submitted to the PEFC SK General Assembly for the formal approval. The approval shall be governed by the PEFC SK statute. 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."
	Process	**YES**	DP_02_2014 Chapter 8: "On 1.12.2014 the final drafts together with the development report were sent to PEFC Slovakia members for formal approval using the postal ballot 6/201428. The documents were approved by the PEFC Slovakia General Assembly as SFCS technical documents on 12.12.201429. The results of voting: for - 18, against – 0, abstain – 1." DP_02_2014 Annex 28: The Annex 28 document the individual results per member from PEFC Slovakia concerning the final approval of the SFCS Technical documents.
5.12 The formally approved standards/normative documents shall be published in a timely manner and made	Procedures	**YES**	ND_SFCS_002 Chapter 5.6: "Within four weeks of the formal approval of the developed standard, the secretariat shall correct any errors in the formally approved standard, and distribute the document amongst its members and make it publicly available at the PEFC SK website."

Question	Assess. basis*	YES /NO*	Reference to application documents
publicly available.	Process	**YES**	DP_02_2014 Chapter 10: "The currently valid SFCS technical documents, normative SFCS documents and procedures for the development of SFCS documents are available on http://www.pefc.sk/dokumenty-sfcs/struktura-dokumentov."
Revisions of standards/normative documents			
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.	Process	**YES**	ND_SFCS_002 Chapter 6: "The standards shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards shall follow those set out in chapter 5." DP_02_2014 Chapter 1: "The process of revision of the technical documentation was initiated by the PEFC Slovakia Council (Board of Directors) on 23.1.2014, which approved the Proposal for the revision of SFCS (DP_01_2014-01-23_EN)." The endorsement of the current scheme documentation expires on 28.07.2015.
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	**YES**	ND_SFCS_002 Chapter 6: "The revision shall define the application date and transition date of the revised standards." DP_02_2014 Chapter 11:

Question	Assess. basis*	YES /NO*	Reference to application documents
			"The application date of the revised documents is 1.10.2015. The transition period for the introducing, information dissemination and training about the changes resulting from the periodic revision of SFCS documentation is one year from the application date."
6.3 The application date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training.	Process	**YES**	ND_SFCS_002 Chapter 6: "The application date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards, introducing the changes, information dissemination and training." DP_02_2014 Chapter 11: "The application date of the revised documents is 1.10.2015." The finally approved standards were published after their approval on 12.12.2014 by the PEFC Slovakia General Assembly. Thus, the application date is less than 10 months after the publication date.
6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.	Process	**YES**	ND_SFCS_002 Chapter 6: "The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards requires a longer period." DP_02_2014 Chapter 11: "The application date of the revised documents is 1.10.2015. The transition period for the introducing, information dissemination and training about the changes resulting from the periodic revision of SFCS documentation is one year from the application date."

1.4.3 3 Application documentation

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 *(Endorsement and Mutual Recognition of National Systems and their Revision)* shall include information which enables the assessment of the applicant system'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 ("Procedures") and (ii) compliance of the standard setting process itself ("Process").
For "Procedures" the applicant should refer to the part(s) of its standard setting procedures related to the respective PEFC requirement. For "Process" the applicant should either refer to the report/records of the standard setting process forming a part of the submitted application documents, or describe how the PEFC requirement was fulfilled during the standard setting 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.

1.5 PART II: Standard and System Requirement Checklist for Group FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

1.5.1 1 Scope

Part II covers requirements for group forest management certification as defined in PEFC ST 1002:2010, *Group Forest Management Certification – Requirements*.
Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

1.5.2 2 Checklist

Question	YES / NO*	Reference to system documentation
General		
4.1 Does the forest certification scheme provide clear definitions for the following terms in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2010:		
a) the group organisation,	**YES**	TD SFCS 1001:2014, 2.1 "Regional (group) certification: certification of forests within the determined regions carried out by the organisation accredited for certification in the given area. Regional certification is an open system allowing voluntary participation of all forest owners/managers in the region who will be awarded one common certificate." TD SFCS 1002:2014, 4 "Regional certification is the group certification of forests within delimited geographic boundaries, being applied for by the authorised organisation (the applicant) and providing access for the voluntary participation of all forest owners/managers in the given region." TD SFCS 1002:2014, 5.1 "For the purposes of this document the region is defined as a unified territorial unit, which is represented by the applicant for the purposes of certification.

Question	YES / NO*	Reference to system documentation
		Creation of the region is limited by the following limiting factors: a) functioning institutional structure of forest management system, b) sufficient sources of data and their availability, c) possibility to define indicators of SFM and their interpretation with regard to the criteria of SFM, d) forest area in the region cannot exceeding 1/3 of the total forest area in the SR."
b) the group entity,	**YES**	TD SFCS 1001:2014, 2.1 "Applicant: legal entity (individual or organisation) that is authorised to submit applications Applicant for the regional certification: organisation or other legal entity representing forest managers, authorised by them to apply for certification of the given region." TD SFCS 1001:2014, 8.1 "The process of regional certification is governed by the legal entity – applicant, who is authorised by the forest owners/managers and in their name represents the region." TD SFCS 1002:2014, 5.2 "The applicant for regional certification shall be an organisation, or a legal entity, representing forest owners/managers and authorised by them to submit the application for certification of the respective region. The applicant on behalf of the participants in regional certification provides a commitment to comply with the sustainable forest management standard and related requirements of the SFCS documentation."
c) the participant,	**YES**	TD SFCS 1001:2014, 2.1 "Participant in certification: applicant and forest owner/manager participating in the process of regional certification.

Question	YES / NO*	Reference to system documentation
		Participant in the regional certification: organisation or other legal entity with rights and obligations of forest manager or a representative of one or more forest managers who volunteered to participate and commit to sustainable forest management." TD SFCS 1001:2014, 8.1 "Commitment of forest owners/managers to participate in certification is based either on the individual commitment of forest owners/managers or on the majority decision within an organisation representing forest owners/managers in the region." TD SFCS 1002:2014, 5.5 "The applicant for the regional certification shall allow participation in the regional certification to all forest owners/managers who applied to participate in the regional certification and concluded written contract on accession to the certification. The participants in the certification process are represented by forest owners, governance bodies or physical and legal entities managing forests on a contractual basis so that they are able to ensure fulfilment of SFM standard."
d) the certified area,	**YES**	TD SFCS 1001:2014, 2.1 "Certified forest: defined part of the forest, for which a certificate has been issued by a certification body." TD SFCS 1001:2014, 8.1 "Only the forests of forest owners/managers participating in the certification are considered as certified. The area of these forests is considered as certified area and raw material coming from these forests is considered as certified raw material." TD SFCS 1002:2014, 5.1 "Only the forest area of forest owners/managers participating in the regional forest certification is considered as

Question	YES / NO*	Reference to system documentation
		certified area of the region.”
e) the group forest certificate, and	**YES**	TD SFCS 1001:2014, 2.1 “Certificate of conformity: document issued in accordance with the rules of certification system confirming that the defined product, procedure or system meet determined requirements. Regional forest certificate: document confirming that the applicant meets the requirements of sustainable forest management standard and related requirements of the certification scheme” TD SFCS 1002:2014, 5.4 “Regional certificate is issued to the applicant by the certification body based on the positive result of audit. Regional certificate shall include the following statement: Certificate of sustainable forest management confirms that forests in the region “name and identification of the region” represented by “name and identification of the applicant” are sustainably managed in compliance with the criteria defined by the Slovak Forest Certification System endorsed by the PEFC Council on August 12, 2005.”
f) the document confirming participation in group forest certification.	**YES**	TD SFCS 1001:2014, 8.1 “The applicant for regional certification shall have a written contract or other written agreement with all participants requiring the contract parties to comply with the sustainable forest management standard and related requirements of SFCS.” TD SFCS 1002:2014, 5.4 “Regional certificate itself is not issued to individual forest owners/managers participating in the regional certification. Confirmation on participation in the regional certification is issued to forest owners/managers by the applicant. This confirmation contents information referring to the respective region, certificate number, validity and information on the certification body that issued the regional certificate.”

Question	YES / NO*	Reference to system documentation
		TD SFCS 1002:2014, 5.7 "The applicant shall have a written contract or other written agreement with all participants requiring the contract parties to comply with the sustainable forest management standard and related requirements of SFCS." TD SFCS 1002:2014, Annex 1 "Annex 1 – Confirmation of participation in forest certification"
4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification is addressed in any other forest management certification that covers the forest owner.	**YES**	SCFS: "SCFS does not allow forest owners to be covered by additional certifications" Additional information provided by the scheme: "Please note that this requirement refers only to the possibility when a certification scheme (SFCS in this case) allows forest owners to be covered by additional certification. As we mentioned in the checklist, SFCS allows regional certification only (TD SFCS 1001:2014, chapter 8), so that a forest owner cannot be covered by additional certification within SFCS."
4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.	**YES**	TD SFCS 1002:2014, 5.2 "The applicant on behalf of the participants in regional certification provides a commitment to comply with the sustainable forest management standard and related requirements of the SFCS documentation. The applicant performs the following activities in the process of certification: a) informs all forest owners/managers in publicly available manners about the beginning of the process of certification/recertification, b) accepts applications for participation in regional certification, c) concludes written contracts with forest owners/managers concerning the conditions of participation in the regional

Question	YES / NO*	Reference to system documentation
		certification, d) carries out the selection, enters into contractual relation and provides communication with a certification body, e) decides on the start of certification by submitting the application, f) ensures collection of data necessary for the submission of application for certification and the assessment of forest state and the system of forest management in the region, g) prepares documentation necessary for certification (Report on the state of forestry in the region), h) operates an internal monitoring programme, i) issues confirmations on participation in the regional certification to individual forest owners/managers, j) keeps and updates register of forest owners/managers participating in the regional certification, k) informs all participants in certification about the audit findings and determined nonconformities, l) ensures implementation of corrective and preventive measures m) makes summary of audit reports publicly available." TD SFCS 1002:2014, 5.8 "Internal monitoring program is systematic, annual activity of the applicant focused on assessing conformity of forest management with the requirements of the sustainable forest management standard and related requirements of SFCS documentation. Internal monitoring program is used to detect weaknesses and for risk management for all participants in the regional forest certification. It is one of the underlying documents for certification body when carrying out certification, surveillance and recertification audits." TD SFCS 1002:2014, 7 "At least annually, the applicant shall operate review of conformity with the sustainable forest management standard

Question	YES / NO*	Reference to system documentation
		that includes reviewing the results of the internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken."
4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.	**YES**	TD SFCS 1002:2014, 5.8 "Internal monitoring program is systematic, annual activity of the applicant focused on assessing conformity of forest management with the requirements of the sustainable forest management standard and related requirements of SFCS documentation. Internal monitoring program is used to detect weaknesses and for risk management for all participants in the regional forest certification. It is one of the underlying documents for certification body when carrying out certification, surveillance and recertification audits. The subject of internal monitoring programme is: a) analysis of information provided by participants in regional certification, b) analysis of information from interested parties (specialised state administration, local administration, municipalities, public, non-governmental organisations, associations and other professional institutions), c) on-site inspection assessment." TD SFCS 1002:2014, 5.8.1 "The analysis of information provided by the participants in regional certification shall be carried out annually by the applicant and applies to all forest owners/managers participating in the regional certification. The analysis focuses on the results of self-assessment of compliance of forest management with the sustainable forest management standard certification provided by the participant in certification." TD SFCS 1002:2014, 5.8.2 "The analysis of information from interested parties shall be carried out annually by the applicant and applies to all

Question	YES / NO*	Reference to system documentation
		forest owners/managers participating in the regional certification. The subject of the analysis is to evaluate viewpoints requested from third parties (fulfilment of the objectives of certification criteria, national legislation, international regulations, conventions and agreements related to forest management) relating to the certification criteria for individual level." TD SFCS 1002:2014, 5.8.3 "On-site assessment is carried out within internal audits by the applicant for certification in order to: a) assess nonconformities identified from the information provided by the participants or from interested parties, b) assess self-assessment of participants in certification in relation to the criteria of sustainable forest management, c) verify the facts that cannot be verified through the obtained information, d) verify the implementation of any preventive or corrective measures in case the participant in certification do not submit credible evidence on elimination of identified nonconformities (verification is conducted at expenses of forest owner/manager)."
Functions and responsibilities of the group entity		
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:		
a) To represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;	**YES**	TD SFCS 1002:2014, 5.2 "The applicant for regional certification shall be an organisation, or a legal entity, representing forest owners/managers and authorised by them to submit the application for certification of the respective region. The applicant on behalf of the participants in regional certification provides a commitment to comply with the sustainable forest management standard and related requirements of the SFCS documentation. The applicant performs the following activities in the process of certification:

Question	YES / NO*	Reference to system documentation
		… d) carries out the selection, enters into contractual relation and provides communication with a certification body, e) decides on the start of certification by submitting the application, … g) prepares documentation necessary for certification (Report on the state of forestry in the region),”
b) To provide a commitment on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	**YES**	TD SFCS 1002:2014, 5.2 “The applicant for regional certification shall be an organisation, or a legal entity, representing forest owners/managers and authorised by them to submit the application for certification of the respective region. The applicant on behalf of the participants in regional certification provides a commitment to comply with the sustainable forest management standard and related requirements of the SFCS documentation.” TD SFCS 1002:2014, 6.2.2 “Responsibilities and authorities are as follows: a) to provide a commitment on behalf of participants in regional certification, in publicly available manner, to comply with the sustainable forest management standard and related requirements of SFCS, b) to implement written procedures for management of regional certification in compliance with the requirements of this document, 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.”
c) To establish written procedures for the	**YES**	TD SFCS 1002:2014, 5.2

Question	YES / NO*	Reference to system documentation
management of the group organisation;		"The applicant performs the following activities in the process of certification: a) informs all forest owners/managers in publicly available manners about the beginning of the process of certification/recertification, b) accepts applications for participation in regional certification, c) concludes written contracts with forest owners/managers concerning the conditions of participation in the regional certification, d) carries out the selection, enters into contractual relation and provides communication with a certification body, e) decides on the start of certification by submitting the application, f) ensures collection of data necessary for the submission of application for certification and the assessment of forest state and the system of forest management in the region, g) prepares documentation necessary for certification (Report on the state of forestry in the region), h) operates an internal monitoring programme, i) issues confirmations on participation in the regional certification to individual forest owners/managers, j) keeps and updates register of forest owners/managers participating in the regional certification, k) informs all participants in certification about the audit findings and determined nonconformities, l) ensures implementation of corrective and preventive measures m) makes summary of audit reports publicly available." TD SFCS 1002:2014, 6.2.2 "Responsibilities and authorities are as follows:

Question	YES / NO*	Reference to system documentation
		a) to provide a commitment on behalf of participants in regional certification, in publicly available manner, to comply with the sustainable forest management standard and related requirements of SFCS, b) to implement written procedures for management of regional certification in compliance with the requirements of this document, 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." TD SFCS 1002:2014, 6.4.1 "Documentation of the applicant shall minimally consist of: a) organisational structure, responsibilities and authorities regarding the certification process, b) policy and objectives of sustainable forest management, c) written procedures for management of regional certification including: i. procedures for ensuring participation of forest managers in the process of regional certification, ii. information and guidance required for the effective implementation of sustainable forest management standard and related requirements of SFCS, iii. procedures leading to the fulfilment of the objectives of SFCS certification criteria at regional level that are not subject to legislation of the SR, iv. procedures for acceptance or exclusion of forest owner-manager form the certification process, v. procedures for separation of raw material coming from non-certified and controversial sources, vi. procedures for elimination of nonconformities, adoption of corrective and preventive measures,

Question	YES / NO*	Reference to system documentation
		vii. procedures for resolution complaints, appeals and disputes.”
d) To keep records of: - the group entity and participants’ conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme, - all participants, including their contact details, identification of their forest property and its/their size(s), - the certified area, - the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;	**YES**	TD SFCS 1002:2014, 6.5.1 “Records of the applicant shall minimally consist of: a) contract on accession to certification, b) records on compliance with the sustainable forest management standard and related requirements of SFCS: i. viewpoints of interested parties, ii. internal monitoring audit reports, iii. certification body audit reports. c) management review reports, d) records on imposed corrective and preventive measures, e) self-assessments of participants in certification, f) notices on the implementation of imposed corrective and preventive measures, g) decisions on exclusion from the certification process, h) register of participants in certification, i) other documentation regarding the certification process.” TD SFCS 1002:2014, 5.11 “The applicant shall keep and update a register of forest owners/managers participating in the regional certification who were awarded the confirmation on the participation in the regional certification.

Question	YES / NO*	Reference to system documentation
		The register shall consist at least of the following information: a) identification data on forest owner/manager, b) legal relation to the managed property, c) identification of forest property, d) area of certified forests. The applicant shall keep the updated register of participants in certification on the web site. Upon request, the applicant shall provide the register to the national governing body of the Slovak Forest Certification System and to the certification body that carries out certification of forest management. At least once a year, well in advance before performing the audit, the applicant submits to the certification body the actual register of forest owners/managers participating in the regional certification."
e) To establish connections with all participants based on a written agreement which shall include the participants' commitment to comply with the sustainable forest management standard. The group entity shall have a written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management	**YES**	TD SFCS 1002:2014, 5.7 "The applicant shall have a written contract or other written agreement with all participants requiring the contract parties to comply with the sustainable forest management standard and related requirements of SFCS. Functions and responsibilities of the applicant: d) right to implement and enforce any corrective or preventive measures, e) right to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard."

Question	YES / NO*	Reference to system documentation
standard;		
f) To provide participants with a document confirming participation in the group forest certification;	**YES**	TD SFCS 1002:2014, 6.2.3 "Responsibilities and authorities are as follows: e) to provide participants with a document confirming participation in the regional forest certification,"
g) To provide all participants with information and guidance required for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme;	**YES**	TD SFCS 1002:2014, 6.2.3 "Responsibilities and authorities are as follows: c) to provide information and guidance required for the effective implementation of sustainable forest management standard and related requirements of SFCS" TD SFCS 1002:2014, 6.4.1 "Documentation of the applicant shall minimally consist of: c) written procedures for management of regional certification including: ii. information and guidance required for the effective implementation of sustainable forest management standard and related requirements of SFCS,"
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;	**YES**	TD SFCS 1002:2014, 5.2 "The applicant performs the following activities in the process of certification: h) operates an internal monitoring programme," TD SFCS 1002:2014, 5.7 "The applicant shall have a written contract or other written agreement with all participants requiring the contract parties to comply with the sustainable forest management standard and related requirements of SFCS.

Question	YES / NO*	Reference to system documentation
		Functions and responsibilities of the applicant: c) right to operate annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements (third party can be authorised by the applicant to operate the programme), d) right to implement and enforce any corrective or preventive measures,"
i) To operate a review of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.	**YES**	TD SFCS 1002:2014, 7 "At least annually, the applicant shall operate review of conformity with the sustainable forest management standard that includes reviewing the results of the internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken Review report shall be reviewed by the top management at least annually. Report shall minimally consist of: a) list of participant in the regional certification, b) results of conformity assessment of management of the participants in certification with the requirements of certification scheme, c) fulfilment of corrective and preventive measures, d) status of measures from the latest deliberation, e) functionality and efficiency of the system of assessment of management of the participants in certification, f) results of audits carried out by the certification body, g) proposal of measures for the improvement of system efficiency and SFM."

Question	YES / NO*	Reference to system documentation
Function and responsibilities of participants		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		
a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	**YES**	TD SFCS 1002:2014, 4.2.2 "Precondition for participation is to submit the application and conclude a written agreement on participation in certification." TD SFCS 1002:2014, 5.5 "The applicant for the regional certification shall allow participation in the regional certification to all forest owners/managers who applied to participate in the regional certification and concluded written contract on accession to the certification." TD SFCS 1002:2014, 5.7 "The applicant shall have a written contract or other written agreement with all participants requiring the contract parties to comply with the sustainable forest management standard and related requirements of SFCS." TD SFCS 1002:2014, 6.3 "Responsibilities and authorities are as follows: a) to conclude a written contract on accession to certification, b) to comply with the sustainable forest management standard and related requirements of SFCS,"
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	**YES**	TD SFCS 1002:2014, 5.7 "The applicant shall have a written contract or other written agreement with all participants requiring the contract parties to comply with the sustainable forest management standard and related requirements of SFCS."

Question	YES / NO*	Reference to system documentation
		TD SFCS 1002:2014, 6.3 "Responsibilities and authorities are as follows: a) to conclude a written contract on accession to certification, b) to comply with the sustainable forest management standard and related requirements of SFCS,"
c) To provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;	**YES**	TD SFCS 1002:2014, 5.7 "The applicant shall have a written contract or other written agreement with all participants requiring the contract parties to comply with the sustainable forest management standard and related requirements of SFCS." TD SFCS 1002:2014, 6.3 "i) to provide full co-operation and assistance in responding effectively to all requests from the applicant or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise,"
d) To implement relevant corrective and preventive actions established by the group entity.	**YES**	TD SFCS 1002:2014, 5.7 "The applicant shall have a written contract or other written agreement with all participants requiring the contract parties to comply with the sustainable forest management standard and related requirements of SFCS." TD SFCS 1002:2014, 6.3 "n) to implement corrective and preventive measures imposed by the applicant."

1.6 PART III: Standard and System Requirement Checklist for SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)

1.6.1 1 Scope

Part III covers requirements for sustainable forest management as defined in PEFC ST 1003:2010, *Sustainable Forest Management – Requirements*.
Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

1.6.2 2 Checklist

Question	YES / NO*	Reference to scheme documentation
General requirements for SFM standards		
4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall		
a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level.	**YES**	TD SFCS 1003:2014, 1 "The document consists of sets of criteria and indicators of sustainable forest management for the assessment at regional level and at level of individual forest managers." TD SFCS 1002:2014, 1 "For the participants in certification process it defines the minimum requirements for the management system for appropriate implementation and realisation of certification of sustainable forest management. It defines the objectives and describes the scheme of regional certification in details, specifies tasks and responsibilities for the applicant for certification and directs procedures, and defines conditions for forest owners/managers participation in regional certification."
b) be clear, objective-based and auditable.	**YES**	TD SFCS 1003:2014, 6 "The criteria are structured as follows: a) Criterion: describes the subject of sub-processes and stages of sustainable forest management, provides essential tools and defines indicators to ensure the improvement of practices and methods for sustainable forest management.

Question	YES / NO*	Reference to scheme documentation
		b) Criterion objective: defines an expected result when the indicator is met. c) Legislative framework: contains references to valid legislation norms incorporating or relating to the respective issue. d) Assessment indicators: quantitative or qualitative parameters that objectively and clearly describe the subject matter of the criterion and that are evaluated in relation to the criterion. They are divided into: i. Indicators for regional level assessment – define political tools or development trends creating conditions for or characterising the development of SFM; they refer to the entire certified area of the respective region. ii. Indicators for individual level assessment – define threshold requirements for ensuring sustainable forest management; refer to any individual forest manager participating in the certification through regional certification. e) Source of information: specifies a source of information for the assessment of the state of performance of criteria indicators"
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	**YES**	TD SFCS 1002:2014, 1 "For the participants in certification process it defines the minimum requirements for the management system for appropriate implementation and realisation of certification of sustainable forest management. It defines the objectives and describes the scheme of regional certification in details, specifies tasks and responsibilities for the applicant for certification and directs procedures, and defines conditions for forest owners/managers participation in regional certification." TD SFCS 1002:2014, 6.3 "6.3 Responsibilities and authorities of the participants in certification Responsibilities and authorities are as follows: … h) to ensure evidently the fulfilment of certification criteria (TD SFCS 1003:2014 Criteria and indicators of sustainable forest management) by individual contractors 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

Question	YES / NO*	Reference to scheme documentation
		contracted service with the scheme requirements …"
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	**YES**	TD SFCS 1002:2014 6,5 "Participants in certification process shall establish, maintain and provide evidence of records and documents of conformity with the requirements of Slovak Forest Certification Scheme. Participants in the certification process shall maintain the records for a minimum period of 5 years. 6.5.1 Records of the applicant Records of the applicant shall minimally consist of: a) contract on accession to certification, b) records on compliance with the sustainable forest management standard and related requirements of SFCS: i. viewpoints of interested parties, ii. internal monitoring audit reports, iii. certification body audit reports. c) management review reports, d) records on imposed corrective and preventive measures, e) self-assessments of participants in certification, f) notices on the implementation of imposed corrective and preventive measures, g) decisions on exclusion from the certification process, h) register of participants in certification, i) other documentation regarding the certification process.

Question	YES / NO*	Reference to scheme documentation
		6.5.2. Records of the participant in certification Records of the participant on certification shall minimally consist of: a) decisions and viewpoints of third parties regarding the objectives of certification criteria for individual level, b) records of internal monitoring audits by the applicant, c) records of audits by the certification body, d) records of own internal audits, adopted measures and their fulfilment, e) self-assessments, f) notices on the implementation of imposed corrective and preventive measures, g) records of flow of raw wood material coming from non-certified and controversial sources, h) records of delivery and taking over a work place from service sub-contractors." TD SFCS 1003:2014 4.7.2 "Keeping of documentation on the occurrence of endangered and protected species of flora and fauna." TD SFCS 1003:2014 6.1.3 "Keeping of documentation of forest land register (written part, map section, collection of documents) classified by legal grounds of their management."
Specific requirements for SFM standards		
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle		
5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological,	**YES**	TD SFCS 1003:2014, 1.2.1 "Forest management planning shall be based on the principles of differentiated forest management purposefully promoting the use of a wide range of functions, ensuring the development of rural areas. It shall apply to all lands

Question	YES / NO*	Reference to scheme documentation
cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.		declared as forest, taking into account the diverse nature, forest stand, management, economic, landscape and social conditions and requirements of nature protection." TD SFCS 1003:2014, 1 "The objectives of the document "Criteria and indicators of sustainable forest management„ are as follows: a) 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," TD SFCS 1003:2014, 4 "The main criteria of sustainable forest management are: 1) Maintenance and appropriate enhancement of forest resources and their contribution to global carbon cycles 2) Maintenance of forest ecosystem health and vitality 3) Maintenance and encouragement of productive functions of forests (wood and non-wood) 4) Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems 5) Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water) 6) Maintenance of other socio-economic functions and conditions" TD SFCS 1003:2014, 1.1 "Maintaining or increasing the existing forest area"
5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social,	**YES**	TD SFCS 1003:2014, 1.2.2 "Forest management planning shall comprise the cycle of inventory, impact assessment of the applied management operations, goal setting and forest management planning so that when reconciling the interests of owners, forest managers and the public the ability of forests to produce the full range of wood but also non-wood forest products

Question	YES / NO*	Reference to scheme documentation
environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.		and services on a sustainable basis shall be secured." TD SFCS 1003:2014, 1.2 "Methods and procedures of forest management planning ensures the maintenance and improvement of the state and vitality of forest resources in order to fulfil the required functions while maintaining and enhancing long-term competitiveness and viability of forestry." TD SFCS 1001:2014, 2.1 "Continuous quality improvement: process of improvement of quality management system and increase of efficiency in order to improve economic, environmental and social aspects of forest management."
5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.	**YES**	TD SFCS 1003:2014, 1.2.3 "Forest mapping system shall cover the whole territory, contain a detailed topographical situation of forest land and include the natural, technical and economic characteristics of forest ecosystems." TD SFCS 1003:2014, 1.3.2 "The basis for the elaboration of FMPs shall be the results of regular monitoring of the state and development of forests and terrestrial inventory of spatial distribution of forest sections."
5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.	**YES**	TD SFCS 1003:2014, 1.3 "All forests shall be managed according to regularly updated forest management plans or forest land projects. These plans and projects shall be in accordance with the applicable national legislation and existing territorial development plans." Additional information provided by SFCS: "Yes, all monitoring activities, forest management planning activities and related documents (including FMPs) must be carried out and updated/revised periodically every 10 years as required by the Act on Forests (§41 FMP elaboration and §46 National inventary and monitoring of forests). The compolsury content of the regular monitoring and management planning activites is given by the Decree MP SR 453/2006 on forest management and

Question	YES / NO*	Reference to scheme documentation
		forest protection (§ 30 Performance of forest management) Please note that these requirements have been part of national legisaltion for over 40 years and they have also been part of SFCS without any change since its first development in 2005". Thus a minimal interval for the term "regularly updated" is defined by the national scheme.
5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.	**YES**	TD SFCS 1003:2014, 1.3.6 "FMP of forest manager shall consist minimally of: a) decision of ŠS LH on the FMP approval with defined amount of harvesting b) forest management models c) forest stand description d) plan of management operations e) relief and stand map" TD SFCS 1003:2014, 3.3.2 "Exploiting the potential supply of non- wood products and services shall be in line with the fulfilment of other functions of the forests in favour of maintaining their rational and long-term use." TD SFCS 1003:2014, 3.3.1 The existence of mechanisms for a long-term determining of sustainable harvesting, use of forests and their functions.
5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management	**YES**	TD SFCS 1003:2014, 6.7.3 "Forest management plans, relevant maps, basic management frameworks and information on the results of forest management shall be publicly available, except of confidential information that are subject to business secret."

Question	YES / NO*	Reference to scheme documentation
measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.		
5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.	**YES**	TD SFCS 1003:2014, 1.3.2 "The basis for the elaboration of FMPs shall be the results of regular monitoring of the state and development of forests and terrestrial inventory of spatial distribution of forest sections." TD SFCS 1003:2014, 1.3.7 "Changes in planned management operations shall be carried out on the basis of an on-site assessment in favour of improving environmental functions and state of forest stands; they shall always be justified and properly registered either as an adjustment or change in FMP." TD SFCS 1002:2014, 5.8 "Internal monitoring program is systematic, annual activity of the applicant focused on assessing conformity of forest management with the requirements of the sustainable forest management standard and related requirements of SFCS documentation. Internal monitoring program is used to detect weaknesses and for risk management for all participants in the regional forest certification. It is one of the underlying documents for certification body when carrying out certification, surveillance and recertification audits." Additional information provided by SFCS: "Yes, all monitoring activities, forest management planning activities and related documents (including FMPs) must be carried out and updated/revised periodically every 10 years as required by the Act on Forests (§41 FMP elaboration and §46 National inventary and monitoring of forests). The compolsury content of the regular monitoring and management planning activites is given by the Decree MP SR 453/2006 on forest management and

Question	YES / NO*	Reference to scheme documentation
		forest protection (§ 30 Performance of forest management) Please note that these requirements have been part of national legisaltion for over 40 years and they have also been part of SFCS without any change since its first development in 2005". Thus a minimal interval for the term "regular monitoring" is defined by the national scheme.
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	**YES**	TD SFCS 1003:2014, 1.3.1 "FMPs shall be elaborated by a qualified person in accordance with the working procedures of forest management approved by the relevant ministry" TD SFCS 1003:2014, 1.3.9 "Professional forest management shall be carried out by OLH registered in the register of professional forest managers" TD SFCS 1001:2014, 2.2 "OLH = professional forest manager" TD SFCS 1002:2014, 5.7 "Functions and responsibilities of the applicant: a) right to represent forest owner/manager in the process of regional certification in compliance with the SFCS documentation, b) right to collect information on forest management from interested parties, c) right to operate annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements (third party can be authorised by the applicant to operate the programme), d) right to implement and enforce any corrective or preventive measures, e) right to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with

Question	YES / NO*	Reference to scheme documentation
		the sustainable forest management standard, f) obligation to elaborate documentation necessary for the certification (Report on the state of forestry in the region) g) obligation to maintain quality management system for the application of regional certification, h) obligation to provide all participants with information and guidance required for the effective implementation of sustainable forest management standard and related requirements of SFCS, i) obligation to provide participants with a document confirming participation in the regional forest certification. Functions and responsibilities of the participant in certification: a) commitment to comply with the sustainable forest management standard and related requirements of SFCS documentation, b) commitment to provide full co-operation and assistance in responding effectively to all requests from the applicant or certification body, c) commitment to allow access to all oral and written information regarding the system of forest management related to the subject of certification for the authorised person of the applicant, auditor of authorised organisation, auditor and technical expert of certification body, d) commitment to allow access to the forest and other facilities for the internal auditor of applicant (authorised organisation) and auditor of certification body, who carry out assessment of compliance of forest management with the sustainable forest management standard, e) commitment to carry on annually self-assessment of compliance of forest management with the sustainable forest management standard, f) commitment to implement respective corrective and preventive measures imposed by the applicant, g) commitment to implement respective corrective and preventive measures to correct nonconformities identified during the validity of confirmation on participation in the regional certification and continuously inform the

Question	YES / NO*	Reference to scheme documentation
		applicant on their implementation, h) commitment to inform the applicant on changes in the area of certified forests, i) right to appeal against the decision of the applicant to grant/refuse confirmation on participation in the regional certification or exclusion from the certification process, respectively."
5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.	**YES**	TD SFCS 1003:2014, 3.1 "The volume of timber for harvesting shall be determined differently according to the categories of the forest in order to ensure optimum utilization of the productive potential of forests and maintain sustainable fulfilment of the functions of the forest." TD SFCS 1003:2014, 2.3.2 "Assessment of the risks and impacts of harvesting and transport processes on forest ecosystems shall be carried out prior to the use of friendly technologies that are appropriate for the respective production conditions." TD SFCS 1003:2014, 2.3.4 "Post-harvesting rehabilitation of tracks and scratches caused by moving machinery and transportation, treatment of damaged trees." TD SFCS 1003:2014, 3.1.2 "Comparison of the total current increment and timber harvesting (m^3)."
5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.	**YES**	TD SFCS 1003:2014, 1.2.5 "Development of total standing volume and standing volume per ha – coniferous, broadleaved, total (m^3)." TD SFCS 1003:2014, 4.2.3 "Tending and regeneration operations shall correspond to the growth phase and maturity of forest stands and shall be implemented on time and in favour of improving the structure and standing volume of stands."

Question	YES / NO*	Reference to scheme documentation
		TD SFCS 1003:2014, 4.2 "Applied forest management measures shall support nature friendly internal arrangement, construction and composition of forest stands corresponding to the typical character and diversity of the landscape." TD SFCS 1003:2014, 3.1.1 "The existence of mechanisms for a long-term determining of sustainable harvesting, use of forests and their functions." TD SFCS 1003:2014, 4.1 "Forest regeneration shall be carried out using the management methods ensuring the achievement of the provenance suitable natural regeneration contributing to maintaining the diversity of genotypes, natural species composition, structure and ecological stability of forest ecosystems."
5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion: a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and b) entails a small proportion of forest type; and	**YES**	TD SFCS 1003:2014, 1.1 "The exclusion of forest land from fulfilling the functions of forests, or to limit their use, including the conversion of natural forests to plantations can occur only in necessary and justified cases, particularly where the role of social and economic development cannot be provided otherwise. The decision to exclude the land shall be issued by authorities of the state forestry administration prior to the opinions of the affected state administration bodies of nature conservation, forest owners and other interested parties." TD SFCS 1003:2014, 1.1.1 "Existence of legal and management framework for the protection of forest land." TD SFCS 1003:2014, 1.1.3 "When granting permission for permanent exclusion of forest land from fulfilling functions of the forest: a) forest lands particularly in protective forests and special purpose forests shall be protected, b) only strictly necessary area of forest shall be used and distortion of integrity of the forest shall be limited,

Question	YES / NO*	Reference to scheme documentation
c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and d) makes a contribution to long-term conservation, economic, and social benefits.		c) use of functions of the surrounding forest shall not be limited."
5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.	**YES**	TD SFCS 1003:2014, 1.4 "Abandoned and unused agricultural land and other treeless areas are the opportunities for expansion of forest area whenever they can add to increasing of the economic, ecological, social and cultural potential of the country."
Criterion 2: Maintenance of forest ecosystem health and vitality		
5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.	**YES**	TD SFCS 1003:2014, 2.1 "Integrated forest protection shall be focused on effective, systematically applied prevention and environmentally sound suppression of effects of biotic pests. It shall use the utmost management and silvicultural measures promoting natural structures and processes as well as preventive biological and amelioration measures enhancing natural regulatory mechanisms and ecologisation of forestry operations." TD SFCS 1003:2014, 2.1.1 "Models and principles of forest management shall be adapted to the current health of forest stands in order to ensure an increase in stability, vitality and resistance potential of forests." TD SFCS 1003:2014, 4.1 "Forest regeneration shall be carried out using the management methods ensuring the achievement of the

Question	YES / NO*	Reference to scheme documentation
		provenance suitable natural regeneration contributing to maintaining the diversity of genotypes, natural species composition, structure and ecological stability of forest ecosystems."
5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.	**YES**	TD SFCS 1003:2014, 2.2.4 "Monitoring of the state and development of damage of forest stands by biotic, abiotic and anthropogenic harmful factors." TD SFCS 1003:2014, 2.2 "Systematic monitoring of forest health shall be focused on key harmful factors that have potential, when outbreaks, negatively affect the health and vitality of forest ecosystems. Planning and implementation of measures to protect forests shall be, considering the state and development of pest abundance, focused on prevention, protection and defence, and limiting the consequences." TD SFCS 1003:2014, 2.5 "The principles of fire prevention shall be respected and adequate capacity for monitoring and fighting fires shall be systematically built." Additional information provided by SFCS: "Yes, all monitoring activities, forest management planning activities and related documents (including FMPs) must be carried out and updated/revised periodically every 10 years as required by the Act on Forests (§41 FMP elaboration and §46 National inventary and monitoring of forests). The compolsury content of the regular monitoring and management planning activites is given by the Decree MP SR 453/2006 on forest management and forest protection (§ 30 Performance of forest management) Please note that these requirements have been part of national legisaltion for over 40 years and they have also been part of SFCS without any change since its first development in 2005". Thus a minimal interval for the term "systematic monitoring" is defined by the national scheme.
5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems	**YES**	TD SFCS 1003:2014, 2.2.1

Question	YES / NO*	Reference to scheme documentation
shall take into consideration the effects of naturally occurring fire, pests and other disturbances.		"Central monitoring of forest health, developing forecasts of harmful agents and the issuance of signalling messages in case of an expected breakouts of harmful agents by an independent professional body." TD SFCS 1003:2014, 2.5 "The principles of fire prevention shall be respected and adequate capacity for monitoring and fighting fires shall be systematically built." TD SFCS 1003:2014, 2.2 "Systematic monitoring of forest health shall be focused on key harmful factors that have potential, when outbreaks, negatively affect the health and vitality of forest ecosystems. Planning and implementation of measures to protect forests shall be, considering the state and development of pest abundance, focused on prevention, protection and defence, and limiting the consequences."
5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.	**YES**	TD SFCS 1003:2014, 2.1.1 "Models and principles of forest management shall be adapted to the current health of forest stands in order to ensure an increase in stability, vitality and resistance potential of forests." TD SFCS 1003:2014, 2.3.2 "Assessment of the risks and impacts of harvesting and transport processes on forest ecosystems shall be carried out prior to the use of friendly technologies that are appropriate for the respective production conditions." TD SFCS 1003:2014, 2.3.3 "Compliance with the maximum allowable levels of damage caused by felling and transportation of wood to the terrain, soil, forest roads, forest stands and trees." TD SFCS 1003:2014, 2.3.6 "Adherence to the procedures preventing soil pollution by oil products - compliance with regulations for handling, equipment of timber harvesting and transport machines by oil absorbents, use of biodegradable lubricating oils and hydraulic fluids."

Question	YES / NO*	Reference to scheme documentation
5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.	**YES**	TD SFCS 1003:2014, 2.1.2 "Regeneration and reconstruction of significantly damaged forest stands in accordance with special projects providing maintaining or regeneration of genetic, species and structural diversity of the respective HSLT." TD SFCS 1001:2014, 2.2 "HSLT = management set of forest types" TD SFCS 1003:2014, 2.1.3 "Curative measures to enhance the vitality and stability of degraded forest ecosystems with the prevailing measures of biological nature." TD SFCS 1003:2014, 2.2.5 "Implementation of corrective and preventive protective and defensive measures at all stages of forest development (use of biological and biotechnological products)." TD SFCS 1003:2014, 2.1 "Integrated forest protection shall be focused on effective, systematically applied prevention and environmentally sound suppression of effects of biotic pests. It shall use the utmost management and silvicultural measures promoting natural structures and processes as well as preventive biological and amelioration measures enhancing natural regulatory mechanisms and ecologisation of forestry operations." TD SFCS 1003:2014, 4.2 "Applied forest management measures shall support nature friendly internal arrangement, construction and composition of forest stands corresponding to the typical character and diversity of the landscape."
5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.	**YES**	TD SFCS 1003:2014, 2.5 "The principles of fire prevention shall be respected and adequate capacity for monitoring and fighting fires shall be systematically built. Fire shall be only permitted in limited cases if that is necessary for the achievement of the

Question	YES / NO*	Reference to scheme documentation
		management goals.”
5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.	**YES**	TD SFCS 1003:2014, 1.3.3 “Models and principles of forest management shall consider socially desirable and by the owner confirmed uses of forest functions specific to the respective forest section.” TD SFCS 1003:2014, 2.3 “Technological preparation and implementation of harvesting and transport processes shall corresponds to the real production and current weather conditions considering the existing supply at the contractors market.” TD SFCS 1003:2014, 4.4 “Only those non-native tree species, provenances or varieties shall be used, whose impact on the ecosystem and the genetic integrity of native species and local provenances has been assessed and evaluated, and if they pose no or only limited risk to native tree species.” TD SFCS 1003:2014, 4.1 “Forest regeneration shall be carried out using the management methods ensuring the achievement of the provenance suitable natural regeneration contributing to maintaining the diversity of genotypes, natural species composition, structure and ecological stability of forest ecosystems.” TD SFCS 1003:2014, 2.3.3 “Compliance with the maximum allowable levels of damage caused by felling and transportation of wood to the terrain, soil, forest roads, forest stands and trees.” TD SFCS 1003:2014, 2.3.6 “Adherence to the procedures preventing soil pollution by oil products - compliance with regulations for handling, equipment of timber harvesting and transport machines by oil absorbents, use of biodegradable lubricating oils and hydraulic fluids.”

Question	YES / NO*	Reference to scheme documentation
		TD SFCS 1003:2014, 2.3.7 "Monitoring of wastes on forest land and their controlled removal, cooperation in removing illegal dumps."
5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.	**YES**	TD SFCS 1003:2014, 2.4.4 "The use of pesticides shall be preceded by an adequate assessment of the reasons for their use (environmental and economic impacts)." TD SFCS 1003:2014, 2.4 "Pesticides (herbicides, insecticides, fungicides, rodenticides) shall only be used in a limited extent and, where possible, their use shall be replaced by the appropriate silvicultural and biological measures."
5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.	**YES**	TD SFCS 1003:2014, 2.4.2 "The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited."
5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivates remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.	**YES**	TD SFCS 1003:2014, 2.4.3 "The use of pesticides defined in Stockholm Convention on Persistent Organic Pollutant and in Rotterdam Convention shall be prohibited." Note from assessor: chlorinated hydrocarbons are part of the group of chemicals referred to as persistent organic pollutants (POP) and thus covered by the Stockholm Convention.
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	**YES**	TD SFCS 1003:2014, 2.4.6 "Compliance with the manufacturer's documented procedures for handling the pesticides, their residues and packaging." TD SFCS 1003:2014, 2.4.5 "Users of pesticides shall hold a certificate of professional competence in the field of plant protection products."

Question	YES / NO*	Reference to scheme documentation
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	**YES**	TD SFCS 1003:2014, 2.1.4 "Improving the quality of forest soil by fertilization and liming shall be carried out in justified cases and in the amounts recommended by the results of soil analysis."
Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)		
5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.	**YES**	TD SFCS 1003:2014, 1.2.2 "Forest management planning shall comprise the cycle of inventory, impact assessment of the applied management operations, goal setting and forest management planning so that when reconciling the interests of owners, forest managers and the public the ability of forests to produce the full range of wood but also non-wood forest products and services on a sustainable basis shall be secured."
5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	**YES**	TD SFCS 1003:2014, 3.2 "Timber from sustainably managed resources is placed on the market in the assortment structure enabling to achieve acceptable economic performance." TD SFCS 1003:2014, 3.3 "Forest management planning shall respect the requirements of forest manager to customize the way of forest management for the production of non-wood forest products and services." TD SFCS 1003:2014, 3.3.1 "The existence of regulatory instruments for the utilisation of important non-wood forest products - control of collection and harvesting of non-wood products, hunting wild game and fishing."
5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments	**YES**	TD SFCS 1003:2014, 1.2.2 "Forest management planning shall comprise the cycle of inventory, impact assessment of the applied management operations, goal setting and forest management planning so that when reconciling the interests of owners, forest managers and the public the ability of forests to produce the full range of wood but also non-wood forest products

Question	YES / NO*	Reference to scheme documentation
set up to support the production of commercial and non-commercial forest goods and services.		and services on a sustainable basis shall be secured." TD SFCS 1003:2014, 1.2.1 "Forest management planning shall be based on the principles of differentiated forest management purposefully promoting the use of a wide range of functions, ensuring the development of rural areas. It shall apply to all lands declared as forest, taking into account the diverse nature, forest stand, management, economic, landscape and social conditions and requirements of nature protection." Additional information provided by the scheme: "The forest Management Procedures are centrally controlled by the Ministry of Agriculture and Rural Development through the National Forest Centre, which is responsible for the compliance of FMPs with forestry legislative as well as policy documents such as: Act on Forests, National Forestry Programme, Criteria and Indicators for the Assessment of SFM in Slovakia, Act on Nature and Landscape Protection, etc. These also deal with the issue of utilisation of forests for commercial and non-commercial forest goods and services in two basic ways: 1. In order to ensure the specific needs of society, legal entities or physical persons, including non-timber forest products and services on sustainable basis, these documents define a category of special-purpose forests, in which the forest management is adapted to meet these needs (compared to the common management practices). 2. In order to ensure the common needs of society, according to § 30 of Act on Forests, a free public access to the forests for the purposes of collecting forest fruits and utilisation of recreational activities is granted."
5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.	**YES**	TD SFCS 1003:2014, 1.2 "Methods and procedures of forest management planning ensures the maintenance and improvement of the state and vitality of forest resources in order to fulfil the required functions while maintaining and enhancing long-term competitiveness and viability of forestry." TD SFCS 1003:2014, 1.3.3 "Models and principles of forest management shall consider socially desirable and by the owner confirmed uses of forest functions specific to the respective forest section."

Question	YES / NO*	Reference to scheme documentation
		TD SFCS 1003:2014, 3.1.1 "The existence of mechanisms for a long-term determining of sustainable harvesting, use of forests and their functions."
5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.	**YES**	TD SFCS 1003:2014, 4.2.3 "Tending and regeneration operations shall correspond to the growth phase and maturity of forest stands and shall be implemented on time and in favour of improving the structure and standing volume of stands." TD SFCS 1003:2014, 2.3.3 "Compliance with the maximum allowable levels of damage caused by felling and transportation of wood to the terrain, soil, forest roads, forest stands and trees."
5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.	**YES**	TD SFCS 1003:2014, 3.1 "The volume of timber for harvesting shall be determined differently according to the categories of the forest in order to ensure optimum utilization of the productive potential of forests and maintain sustainable fulfilment of the functions of the forest." TD SFCS 1003:2014, 3.3.1 "The existence of regulatory instruments for the utilisation of important non-wood forest products - control of collection and harvesting of non-wood products, hunting wild game and fishing." TD SFCS 1003:2014, 3.1.1 "The existence of mechanisms for a long-term determining of sustainable harvesting, use of forests and their functions." TD SFCS 1003:2014, 3.1.2 "Comparison of the total current increment and timber harvesting (m^3)." TD SFCS 1003:2014, 3.1.3

Question	YES / NO*	Reference to scheme documentation
		"Comparison of allowable cut and timber harvesting (m^3)." TD SFCS 1003:2014, 3.1.7 "The volume of intentionally harvested timber by species shall equal (+/- 15%) to data on volume obtained from trees marking and recorded in the harvesting permit."
5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.	**YES**	TD SFCS 1003:2014, 3.3.1 "The existence of regulatory instruments for the utilisation of important non-wood forest products - control of collection and harvesting of non-wood products, hunting wild game and fishing." TD SFCS 1003:2014, 3.3.2 "Exploiting the potential supply of non- wood products and services shall be in line with the fulfilment of other functions of the forests in favour of maintaining their rational and long-term use." TD SFCS 1003:2014, 3.3.3 "Game management shall be organized in such a way that it does not undermine the stability of forest stands and fulfilment of other functions of the forests."
5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.	**YES**	TD SFCS 1003:2014, 3.4 "Development of transport infrastructure (roads, skid tracks, bridges, outlets, drainages etc.) shall be planned; each construction shall be established and maintained to ensure efficient delivery of goods and services while minimising negative impacts of individual components on the environment."
Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems		
5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and	**YES**	TD SFCS 1003:2014, 1.2.1 "Forest management planning shall be based on the principles of differentiated forest management purposefully promoting the use of a wide range of functions, ensuring the development of rural areas. It shall apply to all lands

Question	YES / NO*	Reference to scheme documentation
genetic levels and, where appropriate, diversity at landscape level.		declared as forest, taking into account the diverse nature, forest stand, management, economic, landscape and social conditions and requirements of nature protection." TD SFCS 1003:2014, 4.2 "Applied forest management measures shall support nature friendly internal arrangement, construction and composition of forest stands corresponding to the typical character and diversity of the landscape." TD SFCS 1003:2014, 4.5 "Standing trees and dead wood shall be left in such quantities and distribution so that the existing biodiversity is maintained. Dead wood and left standing trees shall neither threaten forest visitors or the health and stability of standing forests and surrounding ecosystems." TD SFCS 1003:2014, 4.3 "Maintaining biological resources of forests, their genetic, species and ecosystem diversity as well as their sustainable use for the establishment of new forest stands."
5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of: a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes; b) areas containing endemic species and habitats of threatened species, as defined in recognised reference	**YES**	TD SFCS 1003:2014, 4.6.1 "Ecologically important forest habitats that are identified, declared protected areas, and/or committed as ÚSES elements shall be regularly terrestrially assessed and mapped." TD SFCS 1001:2014, 2.2 "USES = territorial systems of ecological stability" TD SFCS 1003:2014, 4.6.2 "FMP shall be adapted to the purpose of forests in protected areas and ÚSES elements." TD SFCS 1003:2014, 4.3 "Maintaining biological resources of forests, their genetic, species and ecosystem diversity as well as their sustainable use for the establishment of new forest stands."

Question	YES / NO*	Reference to scheme documentation
lists; c) endangered or protected genetic *in situ* resources; and taking into account d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.		TD SFCS 1003:2014, 4.6.5 "Keeping of written and graphical (mapping) documentation on protected areas and identified elements of ÚSES." TD SFCS 1003:2014, 4.6.6 "Respecting the measures of nature protection in forest management, in particular conservation programs or plans of protected areas and eco-stabilization and management measures for ÚSES elements and cooperation with nature protection organizations in their implementation." TD SFCS 1003:2014, 4.6.8 "Utilisation of traditional management practices for the care of forest stand with rare habitats of natural coppice forests, spring areas, wetlands, rock formations and gorges." TD SFCS 1003:2014, 7.1 "Forest management shall be in accordance with the legislation in the field of forestry, including methods of forest management, nature conservation and the environment of protected and endangered species, ownership, tenure and use rights of the local population, health, protection and safety at work and payment of fees and taxes." TD SFCS 1003:2014, 4.7.3 "Applied forest management measures shall not threaten the existence of habitats of protected species in the broader temporal and spatial frameworks."
5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.	**YES**	TD SFCS 1003:2014, 4.7 "Habitats of protected and endangered plants and animals shall be managed in a manner corresponding the ecological requirements of the protected species; their possible use for commercial purposes is governed by international law." Additional information provided by the scheme: "Management of protected and endangered species is not the subject of SFM in the Slovak Republic. This is in the competence of the State Nature Protection. The competencies of forest owners/managers within the SFM are to

Question	YES / NO*	Reference to scheme documentation
		ensure favourable conditions and state of the habitats of protected and endangered species. The eventual commercial use of these species by forest owners/managers can only be considered in case of providing a guided access for the public to the respective habitats, under the condition of a priory agreement with the State Nature Protection authorities." §34 & §35 of the Act 543/2002 on Nature and Landscape Protection prohibit "to sell, buy or exchange and offer protected plants and animals for sales or exchange". TD SFCS 1003:2014, 4.7.4 "Compliance with approved management plans for species of European importance and species of national importance in the forests, including their habitats."
5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.	**YES**	TD SFCS 1003:2014, 4.1.3 "Provenance suitable natural regeneration shall be preferred to artificial afforestation." TD SFCS 1003:2014, 4.1 "Forest regeneration shall be carried out using the management methods ensuring the achievement of the provenance suitable natural regeneration contributing to maintaining the diversity of genotypes, natural species composition, structure and ecological stability of forest ecosystems."
5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be	**YES**	TD SFCS 1003:2014, 4.4 "Only those non-native tree species, provenances or varieties shall be used, whose impact on the ecosystem and the genetic integrity of native species and local provenances has been assessed and evaluated, and if they pose no or only limited risk to native tree species." TD SFCS 1003:2014, 4.1.1 "The existence of a binding framework for the representation of site suitable tree species in forest regeneration."

Question	YES / NO*	Reference to scheme documentation
avoided or minimised.		
5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	**YES**	TD SFCS 1003:2014, 1.4 "Abandoned and unused agricultural land and other treeless areas are the opportunities for expansion of forest area whenever they can add to increasing of the economic, ecological, social and cultural potential of the country." TD SFCS 1003:2014, 4.1 "Forest regeneration shall be carried out using the management methods ensuring the achievement of the provenance suitable natural regeneration contributing to maintaining the diversity of genotypes, natural species composition, structure and ecological stability of forest ecosystems." TD SFCS 1003:2014, 4.1.4 "Reforestation shall be carried out within the statutory period and in appropriate agro-technical dates."
5.4.7 Genetically-modified trees shall not be used.	**YES**	TD SFCS 1003:2014, 4.3.1 "Genetically modified tree species shall not be a part of the legal and governance framework for the recognition of resources of reproduction material." TD SFCS 1003:2014, 4.3.3 "Adherence to the principles of the use of reproduction material for reforestation and afforestation originating from approved reproduction resources, keeping records of the origin of reproduction material for reforestation."
5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore	**YES**	TD SFCS 1003:2014, 4.2 "Applied forest management measures shall support nature friendly internal arrangement, construction and composition of forest stands corresponding to the typical character and diversity of the landscape." TD SFCS 1003:2014, 4.2.1 "Development of the area of mixed stands consisting of two or more tree species (ha)."

Question	YES / NO*	Reference to scheme documentation
landscape diversity.		TD SFCS 1003:2014, 4.2.2 "Development of the area of multi-storey stands (ha)."
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	**YES**	TD SFCS 1003:2014, 4.6.8 "Utilisation of traditional management practices for the care of forest stand with rare habitats of natural coppice forests, spring areas, wetlands, rock formations and gorges." TD SFCS 1003:2014, 4.6 "Forests that provide protection of forest ecosystems of high environmental values shall be managed by traditional methods, which led to their creation, or in accordance with special regulations."
5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.	**YES**	TD SFCS 1003:2014, 4.2 "Applied forest management measures shall support nature friendly internal arrangement, construction and composition of forest stands corresponding to the typical character and diversity of the landscape." TD SFCS 1003:2014, 2.3.3 "Compliance with the maximum allowable levels of damage caused by felling and transportation of wood to the terrain, soil, forest roads, forest stands and trees." TD SFCS 1003:2014, 2.3.4 "Post-harvesting rehabilitation of tracks and scratches caused by moving machinery and transportation, treatment of damaged trees."
5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in	**YES**	TD SFCS 1003:2014, 3.4.2 "Assessment of the impacts of prepared construction of forest roads on forest ecosystems by an independent body in accordance with the national legislation." TD SFCS 1003:2014, 3.4

Question	YES / NO*	Reference to scheme documentation
particular their migration patterns – into consideration.		"Development of transport infrastructure (roads, skid tracks, bridges, outlets, drainages etc.) shall be planned; each construction shall be established and maintained to ensure efficient delivery of goods and services while minimising negative impacts of individual components on the environment." TD SFCS 1003:2014, 3.4.5 "Monitoring of adherence to project documentation in the construction of transport infrastructure, especially in rare and sensitive ecosystems." Additional information provided by the scheme: "SFCS considers conservation of migration routes through the obligation of application of building proceeding prior to construction of any infrastructure. According to Act 50/1976 on Territorial Planning and Building Code (Building Act) as amended, the building proceeding shall be carried out before construction or reconstruction of any infrastructure, requiring for participation of all stakeholders. Part of this procedure is an independent environmental impact assessment of infrastructure on the environment, including forest ecosystems and management of protected and endangered species of plants and animals. The final statement to the decision on the location of the building and the issuance of building permits can only be issued by the building authority based on a positive assessment from an independent person."
5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.	**YES**	TD SFCS 1003:2014, 3.3.3 "Game management shall be organized in such a way that it does not undermine the stability of forest stands and fulfilment of other functions of the forests." TD SFCS 1003:2014, 3.3.1 "The existence of regulatory instruments for the utilisation of important non-wood forest products - control of collection and harvesting of non-wood products, hunting wild game and fishing." TD SFCS 1003:2014, 4.1.9 "Young forest stands shall be protected or the number of game shall be controlled so that there is no destruction or devastation of the stands."

Question	YES / NO*	Reference to scheme documentation
5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.	**YES**	TD SFCS 1003:2014, 4.5 "Standing trees and dead wood shall be left in such quantities and distribution so that the existing biodiversity is maintained. Dead wood and left standing trees shall neither threaten forest visitors or the health and stability of standing forests and surrounding ecosystems." TD SFCS 1003:2014, 4.5.1 "Number of left standing trees after the regeneration shall be in general 5 suitable individuals of old stand per 1 ha of stand area." TD SFCS 1003:2014, 4.5.2 "Targeted keeping of dead wood and biomass after tending and harvesting operations (up to 20 m^3 per ha)."
Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)		
5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.	**YES**	TD SFCS 1003:2014, 5.1 "Implementation of timely and intensity appropriate management measures to maintain the functionality and resistance of forests protecting soil." TD SFCS 1003:2014, 5.2 "Implementation of timely and intensity appropriate management measures to maintain the functionality and resistance of forests protecting water resources." TD SFCS 1003:2014, 5.3 "Support of water-regulating effect of forests." TD SFCS 1003:2014,1.2 "Methods and procedures of forest management planning ensures the maintenance and improvement of the state and vitality of forest resources in order to fulfil the required functions while maintaining and enhancing long-term competitiveness and viability of forestry."

Question	YES / NO*	Reference to scheme documentation
		TD SFCS 1003:2014,1.2.1 "Forest management planning shall be based on the principles of differentiated forest management purposefully promoting the use of a wide range of functions, ensuring the development of rural areas. It shall apply to all lands declared as forest, taking into account the diverse nature, forest stand, management, economic, landscape and social conditions and requirements of nature protection." TD SFCS 1003:2014, 5.3.5 "Implementation of the proposed measures in flood risk management plans."
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.	**YES**	TD SFCS 1003:2014, 1.2.3 "Forest mapping system shall cover the whole territory, contain a detailed topographical situation of forest land and include the natural, technical and economic characteristics of forest ecosystems." TD SFCS 1003:2014,1.3.3 "Models and principles of forest management shall consider socially desirable and by the owner confirmed uses of forest functions specific to the respective forest section." TD SFCS 1003:2014, 1.2.2 "Forest management planning shall comprise the cycle of inventory, impact assessment of the applied management operations, goal setting and forest management planning so that when reconciling the interests of owners, forest managers and the public the ability of forests to produce the full range of wood but also non-wood forest products and services on a sustainable basis shall be secured."
5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques	**YES**	TD SFCS 1003:2014, 5.1.2 "Forest stands fulfilling soil protective functions shall be managed in a way that ensures their permanent forest cover." TD SFCS 1003:2014, 5.1.3 "Implementation of effective measures to stabilize the exposed slopes and prevent erosion in traffic lanes of

Question	YES / NO*	Reference to scheme documentation
such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.		machines." TD SFCS 1003:2014, 3.3.3 "Game management shall be organized in such a way that it does not undermine the stability of forest stands and fulfilment of other functions of the forests." TD SFCS 1003:2014, 2.3.3 "Compliance with the maximum allowable levels of damage caused by felling and transportation of wood to the terrain, soil, forest roads, forest stands and trees." TD SFCS 1003:2014, 2.3.5 "Technical condition of machines shall not be a source of danger to the safety of production process, environment, public health, or a source of pollution or damage to the road."
5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.	**YES**	TD SFCS 1003:2014, 5.2 "Implementation of timely and intensity appropriate management measures to maintain the functionality and resistance of forests protecting water resources." TD SFCS 1003:2014, 5.3 "Support of water-regulating effect of forests." TD SFCS 1003:2014, 5.2.2 "The existence of forest management measures for protection of water, water resources, water ecosystems." TD SFCS 1003:2014, 5.2.3 "Forest management in the forests situated in spring areas, waterlogged sites, banks of water streams, reservoirs and protection zones of natural curative resources and sources of natural mineral water shall be preferably adapted to fulfilment of their protective functions."

Question	YES / NO*	Reference to scheme documentation
5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.	**YES**	TD SFCS 1003:2014, 3.4 "Development of transport infrastructure (roads, skid tracks, bridges, outlets, drainages etc.) shall be planned; each construction shall be established and maintained to ensure efficient delivery of goods and services while minimising negative impacts of individual components on the environment." TD SFCS 1003:2014, 5.1.3 "Implementation of effective measures to stabilize the exposed slopes and prevent erosion in traffic lanes of machines." TD SFCS 1003:2014, 3.4.5 "Monitoring of adherence to project documentation in the construction of transport infrastructure, especially in rare and sensitive ecosystems."
Criterion 6: Maintenance of other socio-economic functions and conditions		
5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.	**YES**	TD SFCS 1003:2014, 1.2.1 "Forest management planning shall be based on the principles of differentiated forest management purposefully promoting the use of a wide range of functions, ensuring the development of rural areas. It shall apply to all lands declared as forest, taking into account the diverse nature, forest stand, management, economic, landscape and social conditions and requirements of nature protection." Additional information provided by the scheme: "Creation of new jobs is related to rural development programs, in particular to the support for traditional crafts and development of forest tourism. These are supported within the EU programming period for the years 2014 - 2020. In terms of the programme activities for local communities current forest management plans are adjusted to support these activities and also to avoid deterioration or destruction of forest areas." TD SFCS 1003:2014, 6.2.5 "Conditions for performing forestry activities shall not discriminate against the local population."

Question	YES / NO*	Reference to scheme documentation
5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.	**YES**	TD SFCS 1003:2014, 6.3.1 "The existence of legal and governance framework governing the conditions for ensuring safety and health at forest work." Additional information provided by the scheme: "From the viewpoint of forest management this requirement is ensured by the indicator TD SFCS 1003:2014, 1.2.1 which emphasizes the obligation to respect the social (quality of life) requirements for forest management planning. Fulfilment of this requirement from the viewpoint of the real quality of life of rural communities is also provided by the indicator TD SFCS 1003:2014, 6.3.1 as the legal and regulatory framework of the Slovak Republic governing the conditions for ensuring the safety and health of forestry work, namely Law no. 355/2007 on the protection, promotion and development of public health and amending certain laws, as amended, insists in § 52 Obligations of physical persons-entrepreneurs and legal entities (clause1, bullet point c) to detect qualitatively and quantitatively harmful factors of environment and working environment that are either used in their work or that arise in their work, and whose use and permissible values are governed by special regulations; qualitative and quantitative detection shall be carried out by a qualified person. The requirement 5.6.2 is in a wider context included in the indicators: TD SFCS 1003: 2014, 6.7.4 communities and non-governmental organisations on impacts of SFM on the quality of life and ecosystems - adequate proposals shall be incorporated into implementation plans. TD SFCS 1003: 2014, 2.4.4 The use of pesticides shall be preceded by an adequate assessment of the reasons for their use (environmental and economic impacts). TD SFCS 1003: 2014, 2.3.5 Technical condition of machines shall not be a source of danger to the safety of production process, environment, public health, or a source of pollution or damage to the road. TD SFCS 1003: 2014, 6.2.5 Conditions for performing forestry activities shall not discriminate against the local population. TD SFCS 1003: 2014, 6.2.6 Commitments for work shall be paid on time and in the agreed amount."

Question	YES / NO*	Reference to scheme documentation
5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.	**YES**	TD SFCS 1003:2014, 6.1 "Property rights and rights related to the use of forests shall be clearly defined, documented and generally respected in a given territory." TD SFCS 1003:2014, 6.1.1 "The area of forest land broken down by type of ownership - public, private, communities, church, agricultural cooperatives, municipal, unknown (ha)."
5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.	**YES**	SFCS: "Does not apply." Note from assessor: There is reportedly no indigenous population living in the Slovak Republic.

Question	YES / NO*	Reference to scheme documentation
5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.	**YES**	TD SFCS 1003:2014, 6.5 "Creation of biologically rich and aesthetically impressive forest nature adapted to the needs and interests of forest visitors." Additional information provided by the scheme: "For the purposes of recreation the public has the legal right (§ 30 of the Act 326/2005 on forests) allowing free access to forest lands. Just because of support of free time activities SFCS included indicator 6.5.2 Suitable and safe forest land and infrastructure (accommodation facilities, forest road network) shall be available for purposes of recreation, leisure, recreation, sport and culture to the public, which aims to eliminate impact of harmful effects on forest resources and forest ecosystems. A special regime of forest management is applied in the forests that are frequently used by the public in order to support recreational and thermal spa and curative forest functions (indicator 6.5.3)." TD SFCS 1003:2014, 6.5.1 "Development of forest area accessible for recreation." TD SFCS 1003:2014, 6.5.2 "Suitable and safe forest land and infrastructure (accommodation facilities, forest road network) shall be available for purposes of recreation, leisure, recreation, sport and culture to the public."
5.6.6 Sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.	**YES**	TD SFCS 1003:2014, 6.6.1 "Places important for their historical, cultural, spiritual and social values shall be subject to protection or managed with regard to their significance."
5.6.7 Forest management operations shall take into account all socio-economic	**YES**	TD SFCS 1003:2014, 6.5

Question	YES / NO*	Reference to scheme documentation
functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however, in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land.		"Creation of biologically rich and aesthetically impressive forest nature adapted to the needs and interests of forest visitors." TD SFCS 1003:2014, 6.6.3 "Alleys, vegetation shields and aesthetically impressive trees shall be left mainly in places with landscape significance."
5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.	**YES**	TD SFCS 1003:2014, 6.4.5 "Persons responsible for the forest production processes shall have sufficient access to information on sustainable forest management and possibilities for continuing education in this area." TD SFCS 1003:2014, 6.4.1 "Interrelated system of professional training in forestry." TD SFCS 1003:2014, 6.4.3 "Organization and management of forest production shall be provided by persons with the necessary skills and education." TD SFCS 1003:2014, 6.4.4 "Persons performing forest work shall hold valid licenses (license of professional competence)."
5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners,	**YES**	TD SFCS 1003:2014, 6.7.4 "Communication with local governments, local communities and non-governmental organisations on impacts of SFM on the quality of life and ecosystems - adequate proposals shall be incorporated into implementation plans."

Question	YES / NO*	Reference to scheme documentation
NGOs and local people.		
5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.	**YES**	TD SFCS 1003:2014, 1.3.4 "FMP elaboration processes shall be publicly available. Requirements and practical experience of interested parties shall be subject to their assessment." TD SFCS 1003:2014, 6.7.5 "Resolving motions and requests, complaints and disputes relating to forest management between forest managers and local citizens and associations shall be documented in writing." TD SFCS 1003:2014, 6.7.6 "Public events and operating of public educational facilities for the public."
5.6.11 Forestry work shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.	**YES**	TD SFCS 1003:2014, 6.3.5 "Specific conditions of workplace, warning signs, risk assessment and procedure in the event of health injury shall be provided in writing and in an appropriate manner during work assignment." TD SFCS 1003:2014, 6.3.2 "Regular controls of safety and health at work carried out by an independent inspection body." TD SFCS 1003:2014, 6.3.3 "Trend of occurrence of professional diseases or occupational diseases and injuries." TD SFCS 1003:2014, 6.3.7 "Monitoring of compliance with the essential requirements of safety and health at work by participants in forestry operations." TD SFCS 1003:2014, 6.3.8 "Health and safety hazardous places shall be marked with warning signs."

Question	YES / NO*	Reference to scheme documentation
5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.	**YES**	TD SFCS 1003:2014, 6.3 "Work in the forest are carried out in accordance with the principles of safety and health at work." TD SFCS 1003:2014, 6.3.1 "The existence of legal and governance framework governing the conditions for ensuring safety and health at forest work." TD SFCS 1003:2014, 6.4.1 "6.4.1 Interrelated system of professional training in forestry" TD SFCS 1003:2014, 6.4.5 "6.4.5 Persons responsible for the forest production processes shall have sufficient access to information on sustainable forest management and possibilities for continuing education in this area"
5.6.13 Forest management shall comply with fundamental ILO conventions.	**YES**	TD SFCS 1001:2014, 5.3 "The fundamental ILO Conventions as amended have been ratified by the Slovak Republic and implemented into the national legislation. Therefore, it is not necessary to cover them directly by the SFCS certification criteria."
5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.	**YES**	TD SFCS 1003:2014, 6.4.6 "Constructive cooperation with scientific and research institutions in science and research projects and implementation of their realization outcomes."
Criterion 7: Compliance with legal requirements		

Question	YES / NO*	Reference to scheme documentation
5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.	**YES**	TD SFCS 1003:2014, 7.1 "Forest management shall be in accordance with the legislation in the field of forestry, including methods of forest management, nature conservation and the environment of protected and endangered species, ownership, tenure and use rights of the local population, health, protection and safety at work and payment of fees and taxes."
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	**YES**	TD SFCS 1003:2014, 7.2 "Forest management shall ensure adequate protection of forests against unauthorized activities." TD SFCS 1003:2014, 7.2.2 "Notification of competent authorities of activities which are in conflict with the legislation in the area of forest management."

***** 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.

1.7 PART IV: Standard and System Requirement Checklist for certification and accreditation procedures (Annex 6)

1.7.1 1 Scope

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

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

1.7.2 2 Checklist

<u>For Chain of custody:</u> The SFCS adopted the PEFC ST 2003:2012 Requirements for CBs (COC) in full! The adoption of the PEFC ST 2003:2012 is documented in TD_SFCS_1001_2014 Chapter 11.

The SFSC document ND_SFCS_005 which specifies training requirements for all kind of participants in the SFCS system (also for COC Auditors) also refers in the context of COC certification to the requirements of the PEFC ST 2003:2012 and does not interfere with the requirements specified in the PEFC ST 2003:2012.

No.	Question	Reference to PEFC Council PROCEDURES	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	Annex 6, 3.1	**YES**	TD_SFCS_1005_2014 Chapter 4.2 "All the requirements given in clause 4.2 of STN EN ISO/IEC 17021 apply." EN ISO/IEC 17021 4.2: "4.2.1 Being impartial, and being perceived to be impartial, is necessary for a certification body to deliver

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?			certification that provides confidence." 4.2.4 names self-interest, self-review, familiarity and intimidation as threats towards impartiality which excludes any scenario were these points are involved, which covers the points named in this requirement.
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	**YES**	TD_SFCS_1005_2014 Annex 1 "Forest management certification shall be carried out by certification bodies who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement ..... The scope of accreditation shall also explicitly state ISO/IEC 17021, this document and other requirements against which the certification body has been assessed."
3.	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**	TD_SFCS_1001_2014 Chapter 11.1 "Certification bodies are impartial and independent third parties that shall have appropriate technical competence in certification procedures, adequate know-how in forest management and forest products procurement and processing in general, respectively and shall have a good understanding of the certification criteria of national certification system." TD_SFCS_1005_2014 Chapter 7.2.1.6 "The certification body shall ensure that auditors demonstrate ability to apply knowledge and skills in the

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				following areas: a) principles, requirements, criteria or indicators of the forest management standard; b) knowledge of the socio-demographics and cultural issues in the region of application of the forest management standard; c) audit principles, procedures and techniques: to enable the auditor to apply those appropriate to different audits and ensure that audits are conducted in a consistent and systematic manner. d) organisation situations including organizational size, structure, functions and relationships, general business processes and related terminology and cultural and social customs such as knowledge of the client organisation working language: to enable the auditor to comprehend the organisation's operational context. e) legislation, regulations or other relevant requirements – enabling the auditor to operate in the right legal framework and to be aware of the legislative requirements applicable to the region which is the subject of the audit; f) the principles of forest management based on techniques involving inventories, forest cropping, planning, protection and the management of forest ecosystems – to enable the auditor to examine the forest management scheme and to decide whether it is being adequately applied; g) natural environment science, environmental technology and the economic principles applicable to forest management – to give the auditor a grasp of the fundamental relations between human activities and sustainable forest management ; h) technical aspects of forestry operations associated with exploitations, technology and derived uses – to allow the auditor to grasp the activities of the region audited and their effects on the management itself and the territory."
4.	Does the scheme documentation	Annex 6,	**YES**	TD_SFCS_1001_2014 11.1:

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management certification?	3.1		"Certification bodies are impartial and independent third parties that shall have appropriate technical competence in certification procedures, adequate know-how in forest management and forest products procurement and processing in general, respectively and shall have a good understanding of the certification criteria of national certification system."
5.	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 certification?	Annex 6, 3.2	**YES**	TD_SFCS_1005_2014 Chapter 7: This chapter provides the requirements for the SFM Auditors, which requires a minimum of 6 years full time working experience in forestry and specifies training needs and competencies (see point 3 above).
6.	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**	TD_SFCS_1005_2014 Chapter 7.2.1.3: "The certification body shall ensure that auditors have successfully completed training in audit techniques based on ISO 19011." The successful completion of a training indicates that the auditor fulfils the requirements!
7.	Does the scheme documentation include additional qualification	Annex 6, 3.2	**YES**	See point 3 above.

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	requirements for auditors carrying out forest management audits? [*1]			
Certification procedures				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	**YES**	TD_SFCS_1005_2014 Chapter 9.1.2 "The certification body shall have documented procedures to ensure that an audit plan is established for each audit to provide basis for agreement regarding the conduct and scheduling of the audit activities." TD_SFCS_1005_2014 Chapter 9.1.3 "The certification body shall have documented procedures for selecting and appointing the audit team, including audit team leader."
9.	Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	**YES**	TD_SFCS_1005_2014 Annex 1 "Forest management certification shall be carried out by certification bodies who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement ..... The scope of accreditation shall also explicitly state ISO/IEC 17021, this document and other requirements against which the certification body has been assessed." TD_SFCS_1005_2014 Each chapter refers to the application of the relevant chapter in the ISO 17021.
10.	Does the scheme documentation require that applied auditing	Annex 6, 4	**YES**	TD_SFCS_1005_2014 Chapter 9: Chapter 9 provides a comprehensive description of the audit procedures including elaboration of

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	procedures shall fulfil or be compatible with the requirements of ISO 19011?			auditprogramme and auditplan, auditteam composition, e.g.....which is covering parts of the requirements of the ISO 19011. TD SFCS 1005:2014 is entirely based on ISO/IEC 17021 which includes the requirements to apply ISO 19011.
11.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	**YES**	TD_SFCS_1005_2014 Annex 2: "The certification body shall provide the PEFC national governing body with information on granted certifications as specified by the SFCS requirements." ND_SFCS_003_2014 6: "3. Provide the PEFC National Governing Body immediately and truthfully with a completed reporting form for each PEFC forest management and/or chain of custody certificate and every member/site covered by a group or multisite certificate, issued within the scope of PEFC National Governing Body notification and on changes concerning reported certificates. 4. Provide the PEFC National Governing Body, upon request, with a list on its issued PEFC forest management or chain of custody certificates in the Slovak Republic, including information on certificate number, name of the certificate holder, certificate status, date of issuance, date of expiry and date of surveillance audits carried out."

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
12.	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**	TD_SFCS_1005_2014 9.3: "The certification body shall conduct periodical surveillance to verify whether forest management system of the respective region complies with the SFCS requirements. The surveillance activities shall be carried out according to the procedures defined in chapter 9.2.3.2 and in chapter 9.2.3.2.2 of this document. Surveillance covers a review of progress of planned activities and the control of PEFC logo usage in case the certified entity uses the PEFC logo."
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	**Partly**	TD_SFCS_1005_2014 9.3: "Surveillance audits shall be conducted annually during the certificate validity....." **Minor NC 01:** **The TD_SFCS_1005_2014 9.3 states that "Surveillance audits shall be conducted annually during the certificate validity....." The PEFC Annex 6 chapter 4 requires "the maximum period for surveillance audits is one year.....". The term annually can be interpreted as "once per year" which would permit bigger periods than one year (=12 months) between the audits.**
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	**YES**	TD_SFCS_1005_2014 9.4: "The certification body shall conduct recertification audit no later than 3 years from the initial certification."
15.	Does the scheme documentation include requirements for public availability of certification report	Annex 6, 4	**Partly**	TD_SFCS_1005_2014 8.1: "The certification body shall make a summary of the audit report which shall be made publicly available by the certificate holder. Confidential data can be excluded."

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	summaries?			The **PEFC Standard Interpretation published on 17.11.2014** states: "The "applicable requirements defined by a certification scheme" shall cover, amongst others, "that the summary shall be made available to any interested party on request within a defined timescale"." **Minor NC 02:** **The requirement in TD_SFCS_1005_2014 9.4 does not specify a defined timescale for the process of making the summary of the audit report publicly available, as requested in the PEFC Standard Interpretation from 17.11.2014.**
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	**YES**	TD_SFCS_1005_2014 9.2.3: "Due to financial efficiency and avoidance of duplicity in data and evidence collection, the analysis of existing information of interested parties that are related to audit (specialised state administration, local administration, municipalities, public, non-governmental organisations, associations and other professional institutions) shall be used at maximum rate." The requirement also complies with the **PEFC Standard Interpretation** provided on 17.11.2014.
17.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	**YES**	TD_SFCS_1005_2014 9: Chapter 9 includes several additional requirements related to certification procedures.
Accreditation procedures				
18.	Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited	Annex 6, 5	**YES**	TD_SFCS_1005_2014 Annex 1: "Forest management certification shall be carried out by certification bodies who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA of IAF or IAF's Regional Accreditation Groups such as European co-operation for Accreditation (EA), Interamerican

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	by a national accreditation body?			Accreditation Cooperation (IAAC), Pacific Accreditation Cooperation (PAC. The accreditation body shall be signatories to the IAF MLA with a main scope of ISO/IEC 17021." IAF only accepts national accreditation bodies. ND_SFCS_003 (General notification procedures for all CBs) "The certification body applying for PEFC notification from the National Governing Body shall: ..... - have valid accreditation issued, by a **national** accreditation body that is signatory of Multilateral Recognition Arrangement (MLA) of the International Accreditation Forum (IAF)."
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	**YES**	TD_SFCS_1005_2014 8.2: "Certification bodies shall add to the certificate an accreditation mark as prescribed by the accreditation body (including accreditation number where applicable)...."
20.	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	Annex 6, 5	**YES**	TD_SFCS_1005_2014 Annex 1: "Forest management certification shall be carried out by certification bodies who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA of IAF or IAF's Regional Accreditation Groups such as European co-operation for Accreditation (EA), Interamerican Accreditation Cooperation (IAAC), Pacific Accreditation Cooperation (PAC. The accreditation body shall be signatories to the IAF MLA with a main scope of ISO/IEC 17021."

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?			IAF only accepts accreditation bodies which implement procedures according to 17011.
21.	Does the scheme documentation require that certification body undertake forest management certification as “accredited certification” based on ISO 17021 or ISO Guide 65 and the relevant forest management standard(s) shall be covered by the accreditation scope?	Annex 6, 5	**YES**	TD_SFCS_1005_2014 Annex 1: "The scope of the accreditation shall explicitly cover technical document TD SFCS 1003:2014 Criteria and indicators of sustainable forest management and TD SFCS 1002:2014 Rules for certification of forest management, based on PEFC ST 1003:2010 and PEFC ST 1002:2010 in its valid version and/or with reference to any future changes and amendments adopted by the PEFC Council and presented at the PEFC Council official website. The scope of accreditation shall also explicitly state ISO/IEC 17021, this document and other requirements against which the certification body has been assessed."
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	**YES**	TD_SFCS_1005_2014 Annex 2: "The certification body operating the PEFC recognised forest management certification against the Slovak forest certification system shall be notified by the PEFC national governing body in the Slovak Republic. The PEFC notification requires that the certification body shall have a valid accreditation recognised by the PEFC Council (see Annex 1 of this document). "
23.	Are the procedures for PEFC notification of certification bodies	Annex 6, 6	**YES**	TD_SFCS_1005_2014 Annex 2: "The PEFC notification conditions shall not discriminate against certification bodies or create trade

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	non-discriminatory?			obstacles." ND_SFCS_003: No discrimatory requirements can be identified in the document ND_SFCS_003 (Notification of CBs).

***** 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

1.8 Part V: Standard and System Requirement Checklist for system specific Chain of custody standards – COMPLIANCE WITH PEFC ST PEFC 2002:2013

1.8.1 1 Scope

Part V is used for the assessment of scheme specific chain of custody standards against PEFC ST 2002:2013 *(Chain of Custody of Forest Based Products - Requirements)*. Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

1.8.2 2 Checklist

The PEFC ST 2002:2013 is adopted by the SFCS in full and translated into the document TD_SFCS_1004_2013 (PEFC ST 2002-2013).pdf. The adoption of the PEFC ST 2002:2013 is documented in TD_SFCS_1001_2014 Chapter 9.

1.9 Part VI Standard and System Requirement Checklist for scheme administration requirements

1.9.1 1 Scope

Part VI is used for the assessment of requirements for the administration of PEFC schemes outlined in PEFC 1004:2009, *Administration of PEFC scheme*.
Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the standard or the guide.
The compliance with these requirements is only evaluated in the first PEFC assessment of a scheme or on specific request by the PEFC Secretariat.

1.9.2 2 Checklist

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
PEFC Notification of certification bodies				
1.	Are procedures for the notification of certification bodies in place, which comply with chapter 5 of PEFC GD 1004:2009, *Administration of PEFC scheme*?	Chapter 5	**YES**	**Requirement 5.1a)** ND_SFCS_003_2014 4: "The certification body applying for PEFC notification from the National Governing Body 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 that is signatory of Multilateral Recognition Arrangement (MLA) of the International Accreditation Forum (IAF). .....; - sign a PEFC notification contract with the PEFC National Governing Body (*Appendix 1*)."

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
			YES	**Requirement 5.1b)** ND_SFCS_003_2014 4: "and the scope of the accreditation shall explicitly include TD SFCS 1001:2009, TD SFCS 1002:2009 and TD SFCS 1003:2009. The accreditation for certification bodies operating chain of custody certification shall be issued against ISO/IEC 17065 and the scope of the accreditation shall explicitly include PEFC ST 2002:2013;" Additional explantion by the scheme: PEFC Slovakia stated in the 2 weeks comment period that the version numbers of the documents will be changed to 2014 as soon as the new standards will be applicable. The FM standards are explicitly for the Slovak territory and the PEFC ST 2002:2013 includes a clear reference to PEFC ST 2001:2008 for Logo usage. Thus this requirement can be seen as fulfilled.

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
			YES	**Requirement 5.1c)** ND_SFCS_003_2014 7: "The PEFC notification is valid for the period of the validity of the certification body's accreditation. The PEFC notification can be terminated or suspended by the PEFC National Governing Body if the notification contract is violated."
			YES	**Requirement 5.1d)** See requirement 5 a)
			YES	**Requirement 5.1e)** "3. Provide the PEFC National Governing Body immediately and truthfully with a completed reporting form for each PEFC forest management and/or chain of custody certificate and every member/site covered by a group or multisite certificate, issued within the scope of PEFC National Governing Body notification and on changes concerning reported certificates. 4. Provide the PEFC National Governing Body, upon request, with a list on its issued PEFC forest management or chain of custody certificates in the Slovak Republic, including information on certificate number, name of the certificate holder, certificate status, date of issuance, date of expiry and date of surveillance audits carried out."

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
			YES	**Requirement 5.1f)** TD_SFCS_1005_2014 Annex 2: "The PEFC notification conditions shall not discriminate against certification bodies or create trade obstacles." ND_SFCS_003: No discriminatory requirements can be identified in the document ND_SFCS_003 (Notification of CBs).
			YES	**Requirement 5.2** ND_SFCS_003 6 (English translation provided by PEFC SK during 2 weeks comment period): "5. Pay the PEFC National Governing Body the annual PEFC notification fee for every certificate when invoiced by the PEFC National Governing Body. The amount of the fee is specified in *Appendix 3* and can be changed by the PEFC National Governing Body during the validity of the contract. Any change to the contract between PEFC National Governing Body and the PEFC notified certification body will take effect the year following that in which the PEFC National Governing Body has informed the PEFC notified certification body, in writing, ..."
PEFC Logo usage licensing				
2.	Are procedures for the issuance of PEFC Logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, *Administration of PEFC scheme*?	Chapter 6	**YES**	**Requirement 6.1.1** ND_SFCS_001 6.1 "An entity applying for the license shall a) be a legal entity,"

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
			YES	**Requirement 6.1.2** ND_SFCS_001 6.1 The requirement above implies that in case of multi-site certification either the legal entity behind the multi-site certification (one company) will be the logo user or each individual entity in case of group certification of individual entities will receive an individual logo usage license.
			YES	**Requirement 6.2 a)** ND_SFCS_001 6.1: "Based on positive assessment the secretariat elaborates a contract proposal including the determination of fees for the PEFC usage. c) The secretariat sends two signed copies of contract to the applicant. The license agreement shall be signed by PEFC Slovakia chairman or other authorised person."
			YES	**Requirement 6.2 b)** ND_SFCS_001 6.2 The requirements are documented in the logo usage contract at the end of the document.
			YES	**Requirement 6.2 c)** ND_SFCS_001 6.2: **"User group:** Forest owners and managers shall a) hold a valid, PEFC recognised forest management certificate,

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
				b) sign the PEFC Logo Use Contract with the PEFC Council (Appendix 1). **User group C:** Forest related industries shall a) hold a valid, PEFC recognised chain of custody certificate, b) sign the PEFC Logo Use Contract with the PEFC Council (Appendix 1). **User group D:** Other users shall a) identify the purpose of the PEFC logo use that does not conflict with the objectives and good name of the PEFC Council, b) sign the PEFC Logo Use Contract with the PEFC Council (Appendix 1)."
			YES	**Requirement 6.2 d)** ND_SFCS_001 The requirements are documented in the logo usage contract at the end of the document.
			YES	**Requirement 6.2 e)** ND_SFCS_001 The requirements are documented in the logo usage contract at the end of the document.
			YES	**Requirement 6.2.2** ND_SFCS_001 The requirements are documented in the logo usage contract at the end of the document.
Complaints and dispute procedures				
3.	Are complaint and dispute procedures go usage licenses in place, which comply with chapter 8	Chapter 8	**YES** **YES**	**Requirement 8.1** The complaints and dispute procedures are documented in ND_SFCS_004. **Requirement 8.2a)**

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
	of PEFC GD 1004:2009, *Administration of PEFC scheme*?			ND_SFCS_004 6.3: "6.3 The national secretary shall without delay: a) acknowledge to the complainant / appellant (in writing) the receipt and subject of the complaint / appeal or rejection of the complaint / appeal with justification if it is not in accordance with clause 4.1 and 4.2 (in case of the complaint) or 5.1 and 5.2 (in case of the appeal)." **Requirement 8.2b)** **YES** ND_SFCS_004 7: "7.1 After receiving the complaint, the PEFC SK chairman shall assign the Arbitral Commission to investigate the complaint. The investigators shall have no vested, or conflict of, interest in the complaint. 7.2 The Arbitral Commission shall undertake a thorough investigation and seek a resolution. The Arbitral Commission shall submit in a timely matter, a detailed written report, to the PEFC SK chairman and the national secretary shall present it to the PEFC SK Council. The report shall include a statement indicating whether, or not, the complaint has been substantiated, procedures for its resolution and decision on resolving the complaint. Note: it is expected that complaints not requiring an on-site investigation should normally be investigated within 1 month" **YES** **Requirement 8.2c)** ND_SFCS_004 7: "7.3 The national secretary shall inform the complainant and other interested parties about the outcomes of the complaint resolution process, in writing."

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
			PARTLY	**Requirement 8.2d)** ND_SFCS_004 7.2: "The Arbitral Commission shall undertake a thorough investigation and seek a resolution. The Arbitral Commission shall submit in a timely matter, a detailed written report, to the PEFC SK chairman and the national secretary shall present it to the PEFC SK Council. The report shall include a statement indicating whether, or not, the complaint has been substantiated, procedures for its resolution and decision on resolving the complaint." **Minor NC 03** **The complaints procedures ND_SFCS_004 chapter 7 only refer to procedures for the resolution of complaints by an arbitral commission until submission of a report to PEFC SK, but do not specify if PEFC SK has to accept the decision of the arbitral commission and take appropriate corrective and preventive action if necessary as required by PEFC GD 1004:2009 8.2.d.**

Annex 2: Results of stakeholder survey

1. Stakeholder survey response

A stakeholder survey was conducted from 28.05.2015 to 11.06.2015. Invitations to complete the online stakeholder survey were sent to all participants of the Technical Committee responsible for the standard setting process via e-mail – this included a total of 17 stakeholders. No e-mail bounced back due to the use of an incorrect e-mail address. The survey was completed by 7 stakeholders (41 %). The questionnaire was sent to the stakeholders translated in Slovak language.

Table 3: Stakeholder categories responding to stakeholder survey

1. What stakeholder category do you represent? (Ktorú kategóriu záujmových skupín reprezentujte?)		
Answer Options	**Response Percent**	**Response Count**
Forest owners and managers (Vlastníci a obhospodarovatelia lesov)	28,6%	2
Business sector and industry (Podnikateľský sektor a priemysel)	0,0%	0
Political and administration sector (Politicko-administratívny sektor)	57,1%	4
Sector utilising the ecosystem services of forestry (incl. NGOs) (Sektor využívajúci ekosystémové služby LH)	0,0%	0
Other (Iné)	14,3%	1
answered question		**7**
skipped question		**0**

2. Survey results

The following table shows the content of the questions 2 - 11 from the questionnaire sent to the stakeholders, including the response count and percentage calculation concerning the individual questions.

Table 4: Results of stakeholder survey - counts and percentages

2. Did the participating stakeholders represent the range of interests in forest management in your country? If not, which other interests groups should have participated? (Reprezentovali zúčastnené záujmové skupiny rozličné záujmy pri obhospodarovaní lesov vo vašej krajine? Ak nie, ktoré ostatné záujmové skupiny mali participovať?)		
Answer Options	**Response Percent**	**Response Count**
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0
Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
answered question		**7**
skipped question		**0**

3. Were you satisfied with the way of determining and approaching disadvantaged stakeholders? A "disadvantaged stakeholder" may be disadvantaged from a financial standpoint or in some other way with respect to standards development work. (Boli ste spokojný so spôsobom identifikovania a prístupom k znevýhodneným skupinám? „Znevýhodnená záujmová skupina“ môže byť finančne alebo iným spôsob znevýhodnená pri práci na tvorbe štandardov.)

Answer Options	Response Percent	Response Count
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0
Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
answered question		7
skipped question		0

4. Were the standard revision documents, including working drafts, meeting minutes etc. made available to you during the work of the Technical Committee? (Boli vám počas práce v technickej komisii dané k dispozícií revidované dokumenty vrátane pracovných návrhov dokumentov, zápisníc a pod.?)

Answer Options	Response Percent	Response Count
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0
Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
answered question		7
skipped question		0

5. Were you provided with meaningful opportunities to contribute to the revision of the standard and submit comments to the working draft, enquiry draft and final draft? (Bola vám poskytnutá plnohodnotná možnosť prispieť k revízií dokumentov a predložiť pripomienky k pracovnému návrhu dokumentov, návrhu dokumentov na pripomienkovania a k finálnemu návrhu dokumentov?)

Answer Options	Response Percent	Response Count
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0
Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
answered question		7
skipped question		0

6. Have comments and views that you submitted been considered in an open and transparent way and their resolution and proposed changes recorded? (Boli pripomienky a názory, ktoré ste predložili prerokované otvoreným a transparentným spôsobom a bolo ich riešenie a navrhnuté zmeny zaznamenané?)

Answer Options	Response Percent	Response Count
Yes (Áno)	85,7%	6
No (Nie)	0,0%	0
Partially (Čiastočne)	14,3%	1
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		1
answered question		7
skipped question		0

7. Was the enquiry draft publicly available and accessible? (Boli návrhy dokumentov na verejné pripomienkovanie zverejnené a verejne dostupné?)

Answer Options	Response Percent	Response Count
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0
Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
answered question		7
skipped question		0

8. Do you feel that comments received are considered by the Technical Committee in an objective, open, and transparent manner? (Máte pocit, že prijaté pripomienky boli technickou komisiou prerokované objektívne, otvoreným a transparentným spôsobom?)

Answer Options	Response Percent	Response Count
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0
Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
answered question		7
skipped question		0

9. Were you satisfied with the decision making process, where a consensus was not reached? (Boli ste spokojný s procesom rozhodovania v prípade, keď nebol dosiahnutý konsenzus?)

Answer Options	Response Percent	Response Count
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0
Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
answered question		7
skipped question		0

10. Did you receive a final draft of the scheme documentation and did you have the opportunity to comment? (Mali ste k dispozícií finálne verzie dokumentov a možnosť ich pripomienkovať?)

Answer Options	Response Percent	Response Count
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0
Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
answered question		7
skipped question		0

11. Were you satisfied with the way of final approval of the final draft standard by the Technical Committee? (Boli ste spokojný so spôsobom konečného schvaľovania finálnych návrhov dokumentov technickou komisiou?)

Answer Options	Response Percent	Response Count
Yes (Áno)	100,0%	7
No (Nie)	0,0%	0

Partially (Čiastočne)	0,0%	0
Please provide comments and additional information (Prosím uveďte pripomienky a dodatočné informácie)		0
	answered question	**7**
	skipped question	**0**

3. Breakdown of comments

Only one additional comment was received by the stakeholder who was only partially satisfied with the consideration of comments by the Technical Committee (see question 6). The stakeholder commented: "Because *of variety of different oppinions to some questions, the final version was a result of neogotiation. For this very reason, my personal oppinions could not be consiered without changes.*" However, this comment is not considered to be negative by the assessment team, since this is part of the method to find a consensus.

4. List of stakeholder respondents to the consultation

The stakeholders which responded to the survey are shown in the table below, including the organization they are representing.

Table 5: List of stakeholders - respondents to the stakeholder survey

Name	Organization	Sector
Ing. Ján Bucan	Vojenské lesy a majetky SR	Forest Manager
Ing. Roman Bies CSc.	Štátna ochrana prírody SR	State Administration
doc. Dr. Ing. Jaroslav Šálka	Technická univerzita vo Zvolene	Scientific and technical basis
Ing. Matej Schwarz	Národné lesnícke centrum	Scientific and technical basis
Ing. Daniel Kindernay	Slovenský vodohospodársky podnik	Water management
Ing. ŠStefan Orolín	Zdru enie obecných lesov SR	Association of forest owners
Ing. Tibor Jancok	Ministerstvo pôdohospodárstva SR Sekcia lesnícka	State administration

Annex 3: Results of international consultation

The public consultation was carried out by PEFCC from 18.02.2015 - 20.04.2015. According to an e-mail from Johan Vlieger (PEFCC) dated 21.05.2015, no comments were received.

Annex 4: Panel of Experts comments

The following Table shows the comments made by the PoE representatives, the references to the report chapters and the consideration of the comments by the assessment team.

Table 6: Overview PoE comments and their consideration

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
	General comment	The report is clear, consistent and gives clear impression of the Slovak scheme as well as the whole revision process; easy to go through!	Noted.
p.5	missing abbreviations	IAF and MLA should be included (p. 28)	Considered and added on page 5.
p. 7, p. 10	General comment	One minor problem in assessment reports of the consultants seems to be the large number of abbreviations of various documents. Here e.g. ND (p.7, p.10) or DP, TD (p.10) Could be explained on p. 5! On page 13 there is the explanation for DP – development report and p 14 TD – technical report!	Considered and added on page 5.
1.2 / 7	... open questions was elaborated and forwarded ...	Should read: ... open questions were elaborated and forwarded ...	Considered and corrected.
2 / 12	... three identified minor NCs will be corrected within a timeframe of six months after the re-endorsement by PEFC GA.	Here (in "Recommendation") 3 NCs are mentioned. In the following chapters (3.3, 3.7, 3.8) four (4) NCs are described. Where is the difference?	Mistake made when finalizing the draft document, 3 NCs is correct. Document revised accordingly.
2. p. 12	… under the condition that the three identified minor NCs will be corrected within	General question: How and by whom the confirmation of the fulfilment of the conditions shall be verified? Are there documentations available on the web-page of	The fulfillment of the conditions will be verified by the Technical Unit of PEFC Council. In case of any unclear issues the Assessors will be involved.

	a timeframe of six months after the re-endorsement by PEFC GA.	PEFCC that national PEFC bodies have fulfilled the conditions made by the consultants?	
3.3 p. 15	Only 1 Minor NC has been identified in the assessment, relating to the prohibited commercial use of protected and endangered plants and animal species. For more detailed information see chapter 6 and Checklist III in Annex 1.	However, chapter 6 on p 24 states: 6.2. Non-conformities : No non-conformities were identified.! and Annex 1, Checklist III does not have any non-conformities! - Most probablt this NC existed only in the draft Report, but is corrected for the Final? There should be mentioned on which page of the annex this information stands! The annex is over 100 pages long!	Mistake made when finalizing the draft document, 3 NCs is correct. Document revised accordingly.
3.6. p. 16	The procedures meet the requirements of PEFCC. No NCs were identified. For more detailed information see chapter 9 and Checklist VI in Annex 1.	words “No NCs” should be in bold, like in other chapters. There should be mentioned on which page of the annex this information stands!	"No NCs" in bold letters was considered and corrected. Since the individual chapters of the checklists I - VI show several pages, it is seen as sufficient to name the checklist number in the Annex 1 as reference (exact pages can be found in the table of content)!
3.7. p. 16	… 2 Minor NCs have been identified. For more detailed information see chapter 10 and Checklists IV and VI in Annex 1.	Why the consultant refers checklist VI – it deals with chapter 3.8 issues? There should be mentioned on which page of the annex this information stands	The referenced chapter 3.7 on page 16 deals with certification and accreditation procedures, which are covered by the checklists IV and VI (partly) and not with chapter 3.8 issues. The naming of the exact page in the Annex is not seen as necessary since the NCs are described in detail in chapter 10 and the NCs are easy to find in the Annex due to red coloured letters.

3.8 p. 17	However, 1 Minor NC was identified. For more detailed information see chapter 11 and Checklists VI in Annex 1.	should be “Checklist VI” There should be mentioned on which page of the annex this information stands!	"Checklist VI" considered and corrected. The naming of the exact page in the Annex is not seen as necessary since the NC is described in detail in chapter 11 and the NCs are easy to find in the Annex due to red coloured letters.
3.9 p.17	… this included a total of 17 stakeholders. No email bounced. A reminder was sent on 08.06.2015. The survey was completed by 7 stakeholders (41 %). The questionnaire was sent to the stakeholders translated in Slovak language. Respondents indicated they represented a range of interest groups, dominated by the political and administration sector (57%), followed by forest owners and managers (29%) and by the other interest group (14%).	There is no information explaining the share and role of NGOs in this process! I suppose most readers of PEFC documents are interested on this issue! On p. 145 there is a list of stakeholder respondents – but in Slovak language!	Annex 5 shows the role of the NGOs in the Technical committee (2 regional ENGOs represented by one person were involved). The representative did not respond to the stakeholder survey. The list of stakeholders in Table 5 was extended and the sector of interest of the respondents was added.
5.1 p. 20	The detailed assessment results are documented in the MRC in Annex 1.	starting on page…	Not considered. Since Annex 1 is an individual chapter which can be found in the table of contents it is not seen to be necessary to name the detailed page here.

5.1 / 20	... key stakeholders and identification of constrains of their participation, ...	Should read: … constraints … See also p. 21, bullet 3	Considered and corrected.
5.1 p. 21	The Composition of the Technical Committee can be seen in **Fehler! Verweisquelle konnte nicht gefunden werden.** in Appendix 5.	The bold text should be corrected. Instead of Appendix 5 it should be Annex 5. External reader of this report might miss the view of the consultant concerning the question “balanced representation of various stakeholders”. Especially the role of (E)NGOs in this process! There is one person out of 16 in the technical committee who represents interest sector D and NGOs, but it is unclear – due to the language used in annex 5, what kind of NGOs this person represents. Are there any presentation of ENGOs in this process?	Considered and corrected. Considered and explanatory text added: "The 2 NGOs represented in group D are regional environmental NGOs in Slovakia. The stakeholder mapping identified 24 environmental NGOs (regional and international), but only the applications of the 2 ENGOs in active in group D were received."
5.1 / 21	The Composition 152ort h Technical Committee can be seen in **Fehler! Verweisquelle konnte nicht gefunden werden.** In Appendix 5.	Technical problem with referencing	Considered and corrected.
5.1 p. 23	For more detailed information see checklist I in Annex 1.	Starting on page…	Not considered. Since the checklist I in Annex 1 is an individual chapter which can be found in the table of contents it is not seen to be necessary to name the detailed page here.

6.1 p.24	For more detailed information see Checklist III in Annex 1.	Starting on page….	Not considered. Since the checklist III in Annex 1 is an individual chapter which can be found in the table of contents it is not seen to be necessary to name the detailed page here.
6 / 24	In chapter 3.3 a non-conformity in the FM Standard is mentioned: Only **1 Minor NC** has been identified in the assessment, relating to the prohibited commercial use of protected and endangered plants and animal species. For more detailed information see chapter 6 and Checklist III in Annex 1.	6.1 and 6.2 do not include a description of a non-conformity and state "no non-conformity" Neither does Annex III	Mistake made when finalizing the draft document, no NC relating to FM is correct. Document revised accordingly.
7.1 p. 25	For more detailed information see Checklist II in Annex 1.	Starting on page….	Not considered. Since the checklist II in Annex 1 is an individual chapter which can be found in the table of contents it is not seen to be necessary to name the detailed page here.
9.1 & 9.2 p. 27	For more detailed information see checklist VI in Annex 1. No NCs were identified.	Starting on page…. "No NCs" – "No non-conformities" like in other chapters	"Starting on page...." not considered. Since the checklist VI in Annex 1 is an individual chapter which can be found in the table of contents it is not seen to be necessary to name the detailed page here. "No non-conformities" considered and corrected.
10.1 p. 28	detailed requirements for auditing regional certification (group certification)	Starting on page….	"Starting on page...." not considered. Since the checklist II in Annex 1 is an individual chapter which can be found in the table of contents it is not seen to be necessary to name the detailed page here.

	are documented in Annex 3.		
10.1/28	The procedures require that the CBs are legal entities which are accredited by a national accreditation body according to the definition of the International Accreditation Forum that is signatory of Multilateral Recognition Arrangement (MLA) of the IAF.	PEFC ST 2003:2012, Annex 6,5 "... 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 …" In Part IV, 1.7.2, 18, p 129, the reference to TD_SFCS_1005_2014 Annex 1 show an acceptable formulation.	Considered and wording adapted.
11.1 p. 29	For further information see Checklist VI in Annex 1.	Starting on page….	Not considered. Since the checklist VI in Annex 1 is an individual chapter which can be found in the table of contents it is not seen to be necessary to name the detailed page here.
Annex 1.4 / 36	Requ. 4.4: „The PEFC Slovakia secretariat received 18 nominations from 19 organisations9. The PEFC Slovakia Council on its meeting on 13.3.201410 recognised the nomination ...	Should read: … organisations. (*without 9 in the end*) Should read: … 13.3.2014 ... (*without additional 10 in the end*) – see also requ. 4.4 b, page 38 and requ. 5.4, page 48	Considered and corrected.
Annex 1.4 / p. 63	Requ. 6.3: The finally approved standards were punplished after their approval on 12.12.2014	Should read: … published …	Considered and corrected.

	by the PEFC Slovakia General Assembly.		
Annex 1.6 / 102	Criterion 5.3.3, Answer 2 ... a fee public access 155ort h forests 155ort he purposes of collecting forest fruits ...	Should this read "… a free public access …" Even if it is a quotation this should be corrected as "fee" is the opposite of "free" and not only a typing error.	Considered and corrected.
Annex 1.6 / 103	5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed ..... with due regard to nutrient off-take.	The due regard of nutrient off-take is not explicitly mentioned in the references – is it covered respectively in the references given?	This aspect is broadly covered in a number of scheme documents relating to maintaining vitality and health of the forest ecosystem, such as TD SFCS 1003:2014, chapter 4: "The main criteria of sustainable forest management are: … 2) Maintenance of forest ecosystem health and vitality 3) Maintenance and encouragement of productive functions of 5) Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water) …"
Annex 1.6 / 114	5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.	Is the well-being of communities really covered with the references? The first reference (TD SFCS 1003:2014, 6.3.1) deals with health and safety at forest work – and so do others. Are there any references in the scheme (not listed here) which reflect better on the requirement?	In the list of additional information provided by the scheme it is referenced that conditions of communities shall be reflected in implementation activities: "TD SFCS 1003: 2014, 6.7.4 communities and non-governmental organisations on impacts of SFM on the quality of life and ecosystems - adequate proposals shall be incorporated into implementation plans."
Annex 1.6 / 119	5.6.12 ...., and guidance and training in safe working	Does the reference "Work in the forest are carried out in accordance with the principles of safety and health at work."	Indicators 6.4.1 and 6.4.5 on training were added: "TD SFCS 1003: 2014, 6.4.1 Interrelated system of

	practices shall be provided to all those assigned to a task in forest operations.	cover the requirement for guidance and training?	professional training in forestry 6.4.5 Persons responsible for the forest production processes shall have sufficient access to information on sustainable forest management and possibilities for continuing education in this area"
Annex 1.7 / 123	Reference to requirement 3: "The certification body shall ensure that auditors demonstrate ability to apply knowledge and skills in the following areas: ...	This reference refers to auditors of the CB, does it also include the competence of the CB itself?	Considered and the requirements of TD_SFCS_1001_2014 Chapter 11.1were added which describe the competence requirements of the CB itself.
Part IV, 1.7.2, 18/129	IAF only accept national **certification** bodies.	IAF only accept national a**ccreditation** bodies. Members of IAF are accreditation bodies, not certification bodies.	Considered and misprinting corrected.
Annex 1.9 / 138	**Requirement 6.1.2** ... entity in cse of group certification will receive an individual logo usage license.	Should read: …. in case of ….	Considered and corrected.

Annex 5: Any other relevant information

Table 7: Members of Technical Committee

Sector	Category	Organisation	Name
A	Forest manager	Vojenské lesy a majetky SR, š. p.	Ing. Ján Bučan
	Forest manager	Lesy Slovenskej republiky, š.p.	Ing. Alena Ábelová
	Association of small forest owners	Združenie vlastníkov spoločenstevných a súkromných lesov BB kraja	Ing. Ján Mozola
	Association of forest owners	Združenie obecných lesov SR	Ing. Štefan Orolín
B	Wood processor	PRP s.r.o.	Ing. Daniel Ruman
	Association of small entrepreneurs	Združenie podnikateľov a živnostníkov pracujúcich v lesnom hospodárstve SR	Ing. Jozef Hano
	Wood trader	Slovwood Ružomberok, a.s.	Ing. Martin Súnok
	Wood processor	Spektrum, s.r.o.	Ing. Dušan Taška
C	Scientific and technical basis	Technická univerzita vo Zvolene	doc. Dr. Ing. Jaroslav Šálka
	State administration	Štátna ochrana prírody SR	Ing. Roman Bies, CSc.
	Scientific and technical basis	Národné lesnícke centrum	Ing. Matej Schwarz
	State administration	Ministerstvo pôdohospodárstva SR, Sekcia lesnícka	Ing. Tibor Jančok
D	Water management	Slovenský vodohospodársky podnik, š.p.	Ing. Daniel Kindernay, PhD.
	Association of municipalities	Združenie miest a obcí Slovenska	RNDr. Peter Straka, PhD
	Professional forestry organisation	Slovenská lesnícka komora	Ing. Róbert Zlocha
	NGO	OZ Zachráňme tatranského kamzíka	Ing. Marian Šturcel
	NGO	Slovenský zväz ochrancov prírody a krajiny Vysoké Tatry	