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## Rules for certification of forest management

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## **FOREWORD**

The document "Rules for certification of forest management" had been developed within the standard revision process by the Technical Commission of the PEFC Czech Republic association with the participation of the main stakeholder groups.

This document was submitted to the national governing body of the Czech Forest Certification System for formal adoption. The document was adopted as TD CFCS 1002:2016 on 25. 5. 2016.

PEFC Czech Republic is the national governing body of the Czech Forest Certification System and incorporates representatives of forestry, wood processing industry and other stakeholder groups.

This document replaces technical document TD CFCS 1002:2011 Forest management certification - certification system description.

## INTRODUCTION

The basis for the Czech Forest Certification System according to PEFC is certification of the system of quality of forest management as a tool for ensuring sustainable forest management. The Czech Forest Certification System is open and accessible for all types of forest ownership in Czech Republic, which corresponds to the regional form of certification. Rules for regional forest certification reflect the conditions and structure of forestry in Czech Republic. Forestry in Czech Republic is characterised by the following factors:

- a) sustainable forest management has a historical tradition,
- b) from the viewpoint of ensuring sustainable forest management it is strongly regulated sphere from the state,
- c) highly developed system of forest management planning respects the principles of sustainability in the long term,
- d) forest ownership structure is very heterogeneous.

## 1 DOCUMENT SCOPE

This document is based on the PEFC international standard – PEFC ST 1002 : 2010 Group Forest Management Certification – Requirements. The document describes the organisation and management of regional form of forest certification. For participants in certification process it defines minimum requirements for 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 when applying for certification.

## 2 NORMATIVE REFERENCES

The provisions of the following referenced documents are the part of this document. Based on the scientific knowledge and practical experience and due to the continual improvement of the entire certification system all documents and standards are subject to revisions which take place at least every 5 years. The national governing body of the Czech Forest Certification System is the body responsible for the form and content of the revision. Therefore, the latest editions of the referenced documents apply for all participants entering into agreements on the basis of this document.

TD CFCS 1001:2016 Czech Forest Certification System - description

TD CFCS 1002:2016 Rules for certification of forest management

TD CFCS 1003:2016 Criteria and indicators of sustainable forest management

TD CFCS 1004:2016 Requirements for certification bodies operating certification of forests

CSN EN ISO/IEC 17021-1 Conformity assessment. Requirements for bodies providing audit and certification of management systems

CSN EN ISO 19011 Guidelines for quality and/or environmental management systems auditing

CSN EN ISO/IEC 17000 Conformity assessment. Vocabulary and general principles

CSN EN ISO 9000 Quality management systems. Fundamentals and vocabulary

ND CFCS 03 PEFC CR procedures for the investigation and resolution of complaints and appeals.

### 3 TERMS AND DEFINITIONS

For the purposes of this document, the terms and definitions given in CFCS 1001:2011 Czech Forest Certification System – description apply.

### 4 PRINCIPLES OF REGIONAL CERTIFICATION

Regional certification is the multi-site 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.

#### 4.2 Objectives of regional certification

Regional certification goals are as follows:

- a) ensure sustainable forest management,
- b) provide possibility for all forest owners/managers to join the regional certification regardless of the size of their forest property and regardless of ownership type,
- c) support the implementation of improved procedures and methods of sustainable forest management into practice,
- d) ensure the economic effectiveness of the certification,
- e) provide a platform for application of best practice experience of forest owners/managers with the aim to improve forest conditions,
- f) improve communication and general awareness of the public about sustainable forest management,
- g) provide other public benefit functions of forests in the interest of the citizens of the Czech Republic while respecting property rights.

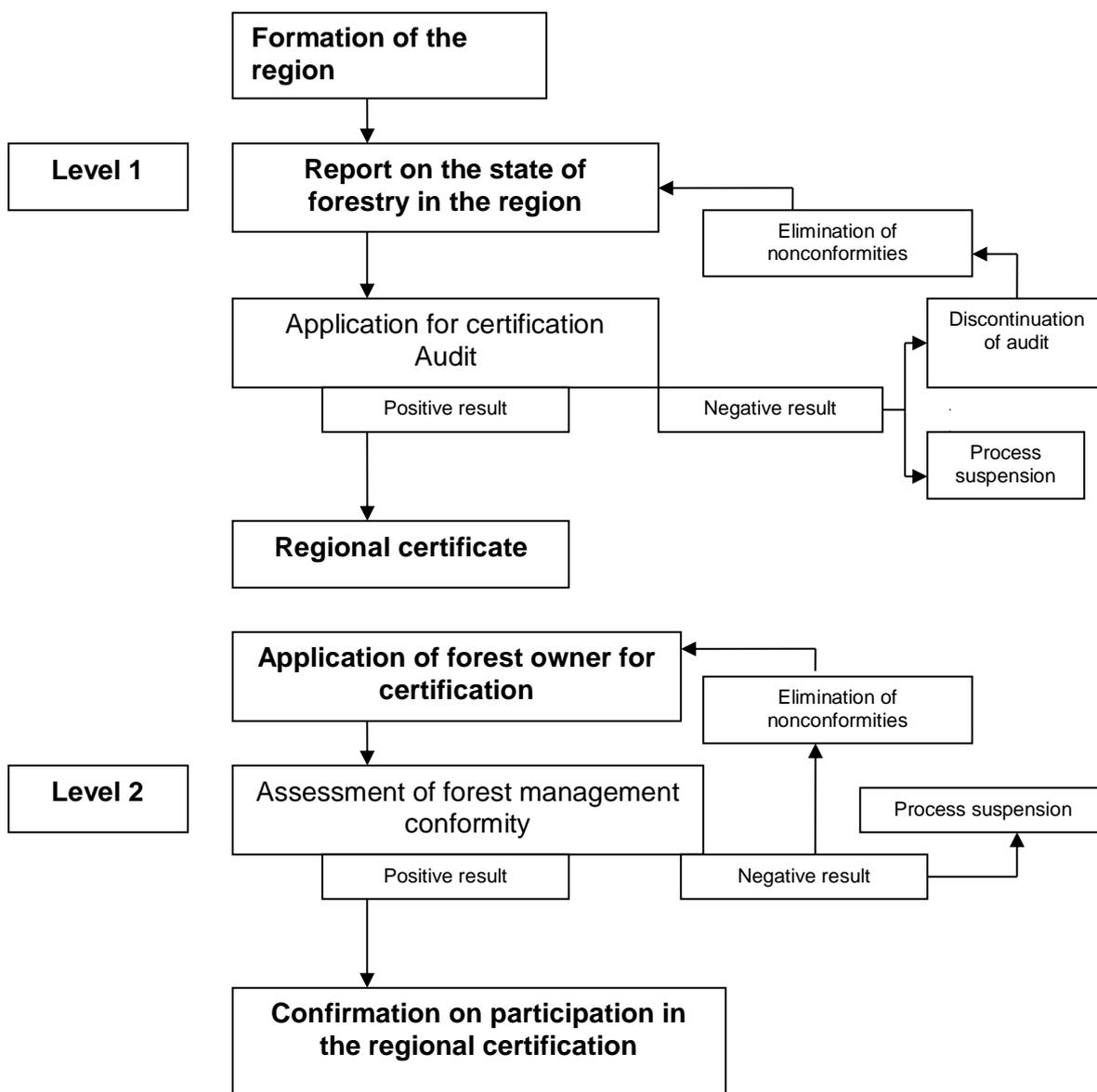
#### 4.3 System of regional certification of forest management

The regional certification of forest management in Czech Republic is carried out at the two levels (Scheme 1).

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, i.e. regional area regardless of property boundaries.

Level 2 deals with the assessment of conformity of the state of forests and the applied management system against the certification criteria at particular forest managers who applies for the participation in regional certification.

Scheme 1 Levels of regional certification



#### 4.3.1 Evaluation of region

The aim of the certification criteria applied for the region is to introduce policies and procedures that ensure fulfilment of the sub-criteria objectives as well as to determinate the indicators of the state of forest in order to monitor its development.

Assessment of the descriptive, regulative indicators at regional level (TD CFCS 1003:2016 Criteria and indicators of sustainable forest management) is aimed at the assessment of whether the aim and content of indicators are sufficient to meet the objectives of sub-criteria. Development trends of numerical regional indicators are determined from the database of participants in certification.

For the evaluation of numerical (quantitative) indicators, their trend of development is more important than their current state. The goal is to assess threats to sustainable forest management in time and to implement necessary preventive and corrective measures.

Conformity assessment (audit) with the requirements of certification criteria is carried out every 3 years within the revision of the Report on the state of forestry in the region.

Audit is carried out by an independent certification body; a third party that fulfils the qualification criteria for certification bodies as defined by TD CFCS 1004:2016 Requirements for certification bodies operating certification of forest management.

There is a shared responsibility of all forest owners/managers within the region. Serious nonconformities with the certification requirements are the reason for the withdrawal of certificate (loss of certified region status) or for the discontinuation of audit.

#### **4.3.2 Evaluation of participants in regional certification**

All forest owners/managers whose property is located in the given region can voluntarily participate in the regional certification.

Submission of application and concluding contract on accession of certification is the condition for participation in regional certification.

Conformity assessment with the criteria for individual level (TD CFCS 1003:2016 Criteria and indicators of sustainable forest management) is carried out by assessment on-site and by analysis of information of third parties.

The applicant carries out on-site (site assessment) assessment within the internal audits and the certification body within the regular and recertification audits. In first case the size of the sample is approximately 10% of the number of participants in certification. Verification on site is preferentially performed by all new participants of forest certification and all owners with suspicions of non-compliance with SFM criteria. In the case of audits performed by certification body the sample size is governed by contract with applicant for regional certification and the minimum size of all audited sites by internal audits must not fall below 12 per year.

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

The confirmation on participation in the regional certification can be issued to the participant by the applicant or other authorised body after the regional certificate has been awarded (Level 1) based on the positive result of the audit at regional level (Level 1) and after the conformity assessment of forest management has been done based at least on the analysis of information of third parties and forest owners.

Serious nonconformities in fulfilment of the requirements of certification criteria at individual level result in non-issuance of the confirmation or withdrawal of the confirmation.

## **5 REQUIREMENTS FOR THE PROCESS OF REGIONAL CERTIFICATION**

### **5.1 Region definition**

For the purposes of this document the region is defined as a unified territorial unit, which has been determined by the applicant for the purposes of sustainable forest management based on the limiting factors.

Identification 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) total forest area of the applicant exceeds 50% of the total forest area of the region.

Only the forest area of forest owners/managers participating in the regional forest certification is considered as certified area of the region.

Note: The delimitation of the region is decided by the applicant for regional certification on the basis of the limiting factors above. Since it has not developed an adequate regional structure of forest owners in the higher territorial administrative units as units of local government of the Czech Republic, it is possible for regional certification according to the CFCS to consider as a region whole Czech Republic.

## 5.2 Applicant for the regional certification

The applicant for the regional certification shall be clearly identified legal entity representing forest owners/managers of the given region with the total forest area exceeding 50% of the total forest area of the given region.

The applicant on behalf of all regional certification participants accepts commitment to comply with sustainable forest management standard and related requirements of the CFCS documentation.

The applicant performs the following activities in the process of certification:

- a) decides on the start of certification by submitting the application,
- b) carries out the selection of certification body and ensures communication with the body during audit,
- c) ensures collection of data necessary for the submission of application for certification and the assessment of forest state and system of forest management in the region,
- d) prepares documentation necessary for certification (Report on the state of forestry in the region),
- e) carries out internal monitoring program,
- f) issues confirmations on participation in the regional certification to individual forest owners/managers,
- g) keeps register of forest owners/managers participating in the regional certification,
- h) informs all participants in certification about the audit results and determined nonconformities,
- i) observes implementation of corrective and preventive measures,
- j) makes audit report summary publicly available.

Bullet points c) – i) can be assured by a third party (organisation) authorised by the applicant on the contractual basis. The authorised organisation shall fulfil the minimum requirements for quality management system defined for the applicant given in chapter 6 of this document.

### 5.3 Report on the state of forestry in the region

The Report on the state of forestry in the region (hereinafter “Report”) is the basic document providing information on the processes and results of sustainable forest management in the region with respect to the criteria and indicators of sustainable forest management for the region (TD CFCS 1003:2016 Criteria and indicators of sustainable forest management).

The Report is elaborated and approved by the applicant for the regional certification. Information of third parties is used for the assessment.

An external entity (organisation) can be authorised by the applicant to elaborate the Report.

The Report contents:

#### Main part:

- a) title, area of use, author
- b) table of contents,
- c) policy and objectives of the applicant for the regional certification regarding sustainable forest management,
- d) description of criteria/indicators and their fulfilment:
  - name of criterion, sub-criterion,
  - description of sub-criterion,
  - objectives of sub-criterion,
  - indicators for regional level (development trends),
  - description of data sources,
  - data interpretation.

#### Appendixes:

- a) documented procedure of the applicant for ensuring the participation of forest managers in the certification process,
- b) regional certification applicant’s politics and goals for sustainable forest management,
- c) list of forest owners/managers participating in regional certification,
- d) analysis of information of third parties,
- e) outcome of internal monitoring program,
- f) corrective and preventive measures.

### 5.4 Regional certificate

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 Czech Forest Certification System endorsed by the PEFC Council on February 25, 2002.*

Note: February 25, 2002 is the date of the first endorsement of the Czech Forest Certification system by the PEFC Council.

Only forests of those forest owners/managers participating in the regional certification are covered by the certificate.

Regional certificate is issued for the maximum period of 3 years.

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 contains information referring to the respective region, certificate number, validity and information on the certification body that issued the regional certificate (Annex 1).

In any case, only forest raw material coming from the forests of forest owners/managers participating in the certification can be considered as raw material originating from certified forests and only such raw material can be labelled by PEFC logo.

## **5.5 Participation of forest owners/managers in the regional certification**

The applicant for the regional certification shall allow participation in the regional certification to all forest owners/managers within the region that fulfil certification requirements.

Forest owners, governance bodies or physical and legal entities managing forests on a contractual basis can be participants in the certification process.

Forest owners/managers can also apply for the regional certification during the validity of regional certificate.

Forest owner/manager usually enters the regional certification with all his forest property located in the respective region. If the forest owner/manager enters the certification process only with a part of his forest property he shall have a system in place for registration (separation) and sales of raw material and for ensured flow of raw material in order to avoid mixing of non-certified raw material with the certified raw material. This process shall be controlled.

Forest owners/managers can participate in the regional certification on the basis of individually signed commitment. Associations of forest owners participate in the regional certification through their executive bodies. Decision on participation shall comply with the association's statute and shall be based on the majority decision.

Small forest owners under the competency of a common forest administration body or a common professional forest manager can establish associations for the purposes of certification. They act as one individual participant in the certification. An authorised representative acts on behalf of the association.

In case the forest owner/manager is divided into organisational units of forest management, these units can participate individually in the process of regional certification.

When applying for participation in certification, physical or legal entities managing forests on a contractual basis shall submit a permission of the forest owner to apply for certification.

Forest owner/manager has the right to terminate his participation in certification anytime, even during the validity of certificate.

Disputable forest property of forest owners/managers cannot be subject to certification.

## **5.6 Application for participation in the regional certification**

Forest owner/manager can enter the regional certification by submitting the written application for the regional certification.

Application for the participation in regional forest certification shall include:

- a) identification data on forest owner/manager,
- b) identification data on forest property,
- c) voluntary commitment to the fulfilment of conditions following from the certification (PEFC program objectives in sustainable forest management),
- d) authorisation for the applicant to submit the application for the regional certification,
- e) permission for conducting audit in the forest property of forest owner/manager,
- f) selected information of forest management required to assess the compliance with SFM criteria,
- g) self-assessment of the results of sustainable forest management in compliance with the indicators for individual level (self-assessment sustainable forest management questionnaire and sustainable forest management system questionnaire),
- h) permission of forest owner/manager to use information about forest management regarding his property that are registered by the state administration (mainly by state forest administration, nature conservation bodies, Czech Environmental Inspection), Forest Management Institute and other third parties for the purposes of certification,
- i) owner's permission to process and to keep personal information mentioned in the regional forest certification application for internal use according to Act No. 101/2000 Coll., on protection of personal data,
- j) declaration of fulfilling of requirements of sustainable forest management.

Bullet points a) – e) are inevitable for the authorisation of the applicant to submit the application for the regional certification and the beginning of certification process at regional level (Level 1).

Bullet points f) – i) are inevitable for conformity assessment of forest management practices of the forest owner/manager participating in certification with the certification criteria and are the condition for issuance of the confirmation on participation in the regional certification.

## 5.7 Contract on accession to the certification

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 CFCS.

Functions and responsibilities of the applicant:

- a) right to represent forest owner/manager in the process of regional certification in compliance with the CFCS 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 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 CFCS,
- 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 CFCS 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 applicant on their implementation,
- h) commitment to inform the applicant on changes in the area of certified forests,

## 5.8 Internal monitoring program

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 CFCS 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.

Objects of internal monitoring program are as follows

- a) analysis of information provided by regional forest certification participants,
- b) analysis of information of third parties (specialised state administration, local administration, municipalities, public, non-governmental organisations, associations and other professional institutions),
- c) on-site inspection assessment.

### 5.8.1 Analysis of information provided by regional forest certification participants

Regional certificate owner performed an analysis of information in the application from forest owners and every three years by renewing of participation in the regional forest certification.

The objective of the analysis is to evaluate selected information of management on forest property which was referred in the application, SFM questionnaire and declaration of SFM.

Determined nonconformities in fulfilment of certification criteria lead to:

- a) on-site assessment or,
- b) rejection of the application for participation in the regional certification or,
- c) exclusion from the regional certification.

On-site assessment does not need to be conducted in case when the individual forest owner submits the evidence on elimination of nonconformities.

### **5.8.2 Analysis of information of third parties**

The analysis is carried out on annual basis by the applicant and it applies to all forest owners/managers participating in the regional certification.

The subject of the analysis is to evaluate viewpoints of third parties.

Determined nonconformities in fulfilment of certification criteria lead to:

- d) on-site assessment or,
- e) rejection of the application for participation in the regional certification or,
- f) exclusion from the regional certification.

On-site assessment does not need to be conducted in case when the individual forest owner submits the evidence on elimination of nonconformities.

### **5.8.3 On-site assessment**

On-site assessment is carried out within internal audits by the applicant for certification in order to:

- a) assess nonconformities determined from the information of third parties and certification participants,
- b) assess self-assessment of certification participants regarding the criteria of sustainable forest management (sustainable forest management questionnaire),
- c) verify facts that cannot be verified through obtained information,
- d) verify fulfilling any correctional and preventive arrangements in case the forest manager do not submit credible evidence on their elimination (verification is conducted at expenses of forest owner/manager).

Selection of certification participants for on-site assessment is applied by sampling. The size of the sample is approximately 10% of the number of participants in certification. It is emphasised that on-site assessment is carried mainly at participants managing forest area over 100 hectares.

The size of the sample can be decreased or increased on the basis of:

- a) reliability and content of information obtained from third parties,
- b) results of assessment in the past periods and efficiency of corrective and preventive measures,
- c) demonstration of effective and reliable internal control system of certification participants.

The applicant shall carry out on-site assessment with the personnel qualified according to requirements in chapter 6.6.

Certification participant has to be informed about on-site assessment in advance so that he can participate in the assessment process.

Findings of on-site assessment have to be communicated to the certification participant before the assessment has been concluded so that he has the possibility to react to these results or immediately eliminate the determined nonconformities, respectively.

Certification participant has to have the possibility to comment on the report and introduce specific measures that have been or are planned to be taken in order to eliminate all nonconformities in management determined during the assessment.

Results and process of assessment have to be documented in the form of on-site assessment report. The on-site assessment report shall contain:

- a) identification of assessed site (forest owner/manager),
- b) date of assessment,
- c) names of persons conducting assessment,
- d) names of other participation persons,
- e) assessment results,
- f) comments on determined nonconformities in management,
- g) measures adopted to eliminate nonconformities.

### **5.9 Conformity assessment of management of newly accessing forest owners/managers during the validity of the regional certificate**

Each newly accessing forest owner/manager during the validity of the regional certificate is subject to initial audit.

When conducting initial audit the applicant adequately uses the procedures given in chapter 5.7 Conformity assessment of management (internal audits).

### **5.10 Acceptance or exclusion from the certification process**

Acceptance or exclusion of forest owner/manager from the participation in the regional certification is carried out by the issuance or non-issuance/withdrawal of the confirmation on participation in the regional certification by the applicant. In case the forest owner/manager is not included to or excluded from the regional certification due to non-fulfilment of requirements of the regional certification, the applicant shall justify this fact in written to the forest owner/manager.

Forest owner/manager becomes a participant in the regional certification and is awarded the confirmation on participation in the regional certification under the following conditions:

- a) region, in which his property is situated, has been awarded the regional certificate,
- b) forest owner/manager has submitted complete application for participation in the regional certification,
- c) forest owner/manager fulfils the certification criteria for individual level,
- d) forest owner/manager concluded certification acceptance agreement with the applicant.

Validity of the confirmation on participation in the regional certification is limited to the period of validity of the regional certificate.

Conformity with the criteria for individual level is assessed annually during the validity of the certificate. Infringement of certification criteria can result in the exclusion of participant from the regional certification or suspension of participation in the regional certification until correction is done.

Forest owner/manager can appeal against the decision of the applicant on the exclusion from the regional certification through the applicant to the certification body.

## 5.11 Register of participants

The applicant shall keep and update a unified register of those forest owners/managers participating in the regional certification who were awarded the confirmation on participation in the regional certification.

The register shall consist at least of the following information:

- a) identification data on forest owner/manager,
- b) identification data on forest property,
- c) area of certified forests,
- d) type of ownership.

The applicant shall keep the updated register of participants in certification on the web page. Upon request, the applicant shall provide the register to the national governing body of the Czech Forest Certification System and to the certification body that carries out certification of forest management.

In regular time periods, the applicant informs the certification body about the changes in number of forest owners/managers participating in certification and the changes in the total certified area. A regular time period is usually once a year or in case when the total area of certified forests of forest owners/managers participating in the regional certification increases by more than 25% of the certified forest area.

## 6 MINIMAL REQUIREMENTS FOR MANAGEMENT SYSTEM

### 6.1 General requirements

The participants in the certification process shall use a management system complying with the following chapters of this document in order to ensure appropriate implementation and realisation of the process of sustainable forest management and its assessment within certification. The applied management system depends on the legal form, size and amount of performed work of each participant.

Note: Quality management system (ISO 9001:2000) or environmental management system (ISO14001:1996) implemented in organisation can be used to meet the minimum requirements for the management system defined in this document.

### 6.2 Responsibilities and authorities of the applicant

#### 6.2.1 *Management responsibilities*

- a) to define and document its commitment to implement and maintain the requirements of sustainable forest management in accordance with this document. This commitment shall

be made available to the organisation's personnel, suppliers, customers, and other interested parties.

- b) to appoint a member of the management who, irrespective of other responsibilities, shall have overall authority and responsibility for the management of the process of sustainable forest management,
- c) to carry out a regular review of the process of forest certification and its compliance with the requirements of this document.

### **6.2.2 Responsibilities and authorities for ensuring the process of forest certification**

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

### **6.2.3 Responsibilities and authorities towards the participants in forest certification**

- a) to inform forest managers about the beginning of regional certification and conditions for participation,
- b) to provide information and guidance for effective implementation of sustainable forest management standard and related CFCS requirements,
- c) to receive application for participation in the regional certification,
- d) to conclude contracts on accession to certification,
- e) to assess conformity of management with the certification criteria,
- f) to provide participants with a document confirming participation in the regional forest certification,
- g) to inform participants about results of audits and determined nonconformities (on the website),
- h) to verify methods and quality of corrective and preventive arrangements fulfillment,
- i) based on the results of audits to implement and enforce any corrective and preventive arrangements,
- j) to assess fulfilment of responsibilities and authorities of participants in certification according to this document,
- k) to exclude/suspend participation of forest owner from regional certification.

## **6.3 Responsibilities and authorities of participants in certification**

- a) to conclude contract on accession to certification,

- b) to comply with the sustainable forest management standard and related CFCS requirements,
- c) to keep the evidence of legal documents that prove their relation to managed property,
- d) to implement and make publicly available the own policy of SFM
- e) to appoint a person responsible for fulfilment of sustainable forest management standard requirements and related CFCS requirements,
- f) to create appropriate organisational arrangement with description of processes, competencies and control mechanism for fulfilment of SFM policy, Note: this applies to legal entities only,
- g) to organise and direct management of forests according to the authorised plan,
- h) to evidently ensure the fulfilment of certification criteria (TD CFCS 1003:2016 Criteria and indicators of sustainable forest management) by individual contractors performing forest operations on the contractual basis with forest owner/manager. This means that the forest owner/manager is directly responsible for compliance of performance of contracted service with the SFM requirements.
- i) to provide full cooperation and assistance in responding effectively to all requests from the applicant or certification body for relevant data, documentation or other information; to allow access to the forest and other facilities whether in connection with formal audits, on-site surveys or otherwise,
- j) to separate wood mass coming from non-certified and controversial sources,
- k) to elaborate a self-assessment of compliance of forest management with the sustainable forest management standard and related CFCS requirements,
- l) to implement control mechanisms to monitor fulfilment of CFCS requirements,
- m) to adopt preventive and corrective arrangements and to control their realisation,
- n) to fulfil corrective and preventive arrangements assigned by the applicant.

## 6.4 Documented procedures

Administrative documents of the participants in certification process shall be approved, updated and registered in order to avoid unintentional use of invalid documents.

### 6.4.1 Documentation of the applicant

Documentation minimally consist of:

- a) organisational structure, responsibilities and authorities regarding the certification process,
- b) policy and objectives of sustainable forest management,
- c) procedures for ensuring participation of forest owners/authorised entities in the process of regional certification,
- d) information and guidance for effective implementation of sustainable forest management standard and related CFCS requirements,
- e) procedures leading to the fulfilment of the goals of CFCS certification criteria at regional level that are not subject to legislation of the CR,

- f) procedures for acceptance or exclusion of forest owner/manager from the certification process,
- g) procedures for elimination of nonconformities, adoption of corrective and preventive measures,
- h) procedures for resolution complaints, appeals and disputes.

#### **6.4.2 Documentation of the participant in certification**

Documentation of certification participant minimally consist of:

- a) policy and objectives of SFM,
- b) description of organisational arrangement, procedures, competencies and control mechanisms for fulfilment of the policy of SFM,
- c) authorised plans of forestry activities.

### **6.5 Record keeping**

Participants in certification process shall establish, maintain and provide evidence of records and documents of conformity with the requirements of Czech 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**

Applicants' records minimally consist of:

- a) application forms for participation in regional forest certification,
- b) contracts on accession to certification,
- c) records of compliance with the sustainable forest management standard and related CFCS requirements:
  - I. interested parties viewpoints,
  - II. internal monitoring program reports,
  - III. certification body audit reports,
  - IV. records of assigned corrective and preventive arrangements,
  - V. reports on fulfilment of assigned corrective and preventive arrangements
- d) management revision reports,
- e) decisions on exclusion from the certification process,
- f) records of participants in certification,
- g) other documentation regarding the certification process.

#### **6.5.2. Records of the participant in certification**

Records of certification participant minimally consist of:

- a) decisions and viewpoints of interested parties regarding the objectives of certification criteria for individual level,
- b) records of audits carried out by the applicant or certification body, adopted measures and their fulfilment,
- c) records of own internal audits, adopted measures and their fulfilment,
- d) reports on fulfilment of assigned corrective and preventive arrangements,
- e) self-assessment questionnaire,
- f) records of flow of raw wood material coming from non-certified and controversial sources,
- g) records of delivery and taking over a work place from service providers.

## **6.6 Human resources**

Participant in the certification process is obliged to ensure that all personnel responsible for the management of forestry activities and certification of SFM shall be competent, adequately qualified, participated in educational programs on regional SFM certification organized by PEFC CR and to ensure they dispose of adequate skills and experiences.

Qualification shall correspondent at least to the level of completed secondary education in forestry. Forestry qualification can be substituted by working experiences in management of forestry activities for a minimum period of 5 years.

Personnel of the applicant (employees) participating in the process of regional certification shall have completed a first level university education in forestry.

## **7 CONFORMITY CONTROL**

At least annually, the applicant shall carry out internal audit of all requirements of this document and, if necessary, to adopt corrective and preventive measures.

Audit report shall be reviewed by the top management at least annually.

Audit 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.

## **8 APPEALS, COMPLAINTS AND DISPUTES SETTLEMENT**

Resolution of appeals, complaints and disputes within the certification body carrying out certification is based on CSN EN ISO/IEC 17021-1.

The certification body shall deal with the appeals, complaints and disputes submitted to the certification body by the applicant for forest certification, individual forest owners participating in certification or by other parties.

The certification body shall:

- a) keep records of all appeals, complaints, disputes and corrective measures regarding the certification,
- b) adopt adequate corrective and preventive measures,
- c) document adopted measures and assess their efficiency.

With respect to the particular issue the certification body cooperates with the national governing body when dealing with appeals, complaints or disputes.

Complaints regarding the activities of the certification body can be submitted to the national accreditation according to CSN EN ISO/IEC 17021-1.

For the purposes of complaint and dispute settlement the national governing body shall have established, on a permanent basis, an impartial and independent dispute settlement and interpretation body. Procedures for this body are given in the guideline ND CFCS 03 PEFC CR procedures for the investigation and resolution of complaints and appeals.

In case of forest certification, this body will deal with the complaints regarding the implementation of certification scheme into practice, interpretation of certification requirements (i.e. complaints and disputes regarding the interpretation of CFCS documentation) provided the interested parties do not come to dispute settlement or if the complaints are outside the scope of competence of certification or accreditation bodies. The results will represent findings of the national governing body that are obligatory for all certification bodies. The national governing body keeps the register of findings on the web page.



CONFIRMATION ON THE PARTICIPATION IN REGIONAL OR GROUP CERTIFICATION BASED ON THE CZECH FOREST CERTIFICATION SYSTEM AND ANNEX 7 OF THE PEFC TECHNICAL DOCUMENT APPROVED BY PEFC

## CONFIRMATION OF PARTICIPATION IN FOREST CERTIFICATION

THIS CERTIFICATE NO. *XXXX/RRRR* CONFIRMS THAT

***Forest owner (user, manager)***  
***ID number***  
***Street, No.***  
***Zip, City***

HAS AGREED TO MANAGE HIS/HER FOREST IN ACCORDANCE WITH THE REQUIREMENTS IN THE CERTIFICATION CRITERIA AS DEFINED IN THE DOCUMENT OF THE "CZECH FOREST CERTIFICATION SYSTEM" (CFCS 1003:2011), WHICH HAS BEEN ENDORSED BY THE PEFC AS MEETING THE PEFC REQUIREMENTS ON *dd.mm.yyyy*.

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 CZECH FOREST CERTIFICATION SYSTEM ENDORSED BY THE PEFC COUNCIL ON AUGUST DD.MM.YYYY.

CERTIFICATE REGISTRATION NUMBER: *XXXXXX*

CERTIFICATE HOLDER: *Organisation name*  
*Street, No*  
*Zip, City*

ISSUED BY: *Name of certification body*  
*Street, No*  
*Zip, City*

VALID UNTIL: *dd.mm.yyyy*

THIS CERTIFICATE HAS BEEN ISSUED BY

*Organisation name*  
*Street, No.*  
*Zip, City*

AND IS VALID UNTIL *dd.mm.yyyy* (AS LONG AS THE REGIONAL CERTIFICATE IS VALID).

.....  
*Name and Surname*  
*Name of regional certificate applicant*

.....  
*Name and Surname*  
*Name of the organisation issuing this diploma*

*Place, date dd.mm.yyyy.*

*To obtain further details on the certificate referred to in this diploma, please, contact the certification body or representative of regional applicant mentioned above. Please note that this document is not a certificate. It is only a confirmation that the forest holding of the above-mentioned forest owner belongs to the certified region. It does not give the holder any rights to use the PEFC logo. Each participant in regional certification shall apply for PEFC logo licence individually at the national governing body of PEFC in Czech Republic.*