



Final Report

Providing technical support to the Thai-EU FLEGT
Secretariat Office (TEFSO) and the Legality Definition
Sub-Working Group
(CONTRACT no. 13/5043/2018)

by

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Providing technical support to the Thai-EU FLEGT Secretariat Office (TEFSO) and the Legality Definition

Sub-Working Group

Contract no. 13/5043/2018

By Pawinee Udommai

Executive Summary

Background

Based on a parliamentary mandate, Thailand officially requested to start Voluntary Partnership Agreement (VPA) negotiations with the European Union on February 18th, 2013. Both Parties formally declared the entry into the negotiation phase on September 11th, 2013. The EU FLEGT Facility hosted by EFI has engaged with stakeholders in Thailand and provided information on the VPA process. With EU-FAO FLEGT funding support, the Thai side established the Thai-EU FLEGT Secretariat Office (TEFSO), which is under the Royal Forest Department (RFD) and coordinates all FLEGT related work. RFD also established an Ad-Hoc Working Group (AHWG) to further develop the Legality Definition (LD), which involves relevant government agencies, private sector, civil society and selected experts. The AHWG meets regularly to guide the development of the legality definition, as well as to identify any need for amendment of current legislation.

In March 2015, Thailand formally submitted a draft legality definition (LD) including Principles, Criteria and Legal References to the EU, who provided comments in April 2015. From 22-24 September 2016, the LD was tested in a mini field test. The mini field test confirmed that the LD is of good quality and that a complete field test should be conducted. As a result, a comprehensive field test of the LD was conducted from 12 May until 24 November 2017. The field test report includes detailed recommendations on steps for strengthening the legality definition and the development of the TLAS. To address these recommendations, a consultant was assigned to provide technical support to TEFSO and LD Sub-Working Group to revise the LD as requested by TEFSO. The consultant was assigned to address the recommendations and other related issues in consultation with associated government agencies, LD Sub-WG, TEFSO, Ad-hoc working group and EFI. The scope of this assignment includes elaborating a work plan, making practical amendment to the LD, linking the LD with the supply chain controls (SCC) and monitoring the upcoming legal reforms to identify potential changes to the LD that will be required.

Revision process

The revision process was conducted with ongoing consultations and discussions with those who will be responsible for implementing the TLAS and other stakeholders. This process required extensive preparation by the consultant to evaluate recommendations and to propose how to address them, while identifying relevant political and technical aspects to be considered. After each discussion, it was necessary to document decisions taken and identify how to carry them out. Decisions about how to respond to the FT recommendations were made in consultation with stakeholders including the LD Sub-Working Group, TEFSO, and officials of RFD and other government institutions with mandates covered by the LD. During this process, seven Sub-Working Group meetings were convened. The consultant met with over ten different government agencies and institutions, in addition to regular consultation with relevant RFD departments and TEFSO, and participation in technical meetings. Decisions were progressively reviewed and approved by the Ad Hoc Working Group (AHWG) during five meetings.

The recommendations were prioritized and next steps identified next steps for revising the legality definition, ensuring that the requirements in the LD that pertain to other sectors accurately reflect requirements and practice, ensuring that the LD is developed in a way to appropriately relate to supply chain verification and supply chain controls, and ensuring that the LD is revised to reflect any relevant revisions in the legal framework. For recommendations related to environmental and labour requirements, the consultant first discussed priorities and, later in the process, practical ways to revise the LD with environmental and labor ministry authorities. The consultant ensured that critical issues raised through the VPA process were considered in the revision process. In particular, the consultant held numerous meetings to identify and document ongoing and proposed legal revisions that would have implications for the LD and the TLAS. Further details are provided below and in the attached Annexes.

Results of the task

A. Categorise and prioritise the FT recommendations

The first step in the process was to categorize the FT recommendations into 4 groups, by priority. The first category is recommendations for revising the LD (Group LD in the list in Annex 3). This group was the first priority for the LD revision. The SWG selected relevant and feasible recommendations for revising the LD Matrix and divided them into 2 sub-groups: LD-1) Requirements already reflected in the LD but that needed improvement (such as transport of timber requirements, a chain saw requirement) and LD-2) Legal requirements which were missing from the LD and needed to be added in the LD (such as logging from Conversion Forest, environmental and social requirement specified in the Factory Act B.E. 2535 (1992)).

The second category, Group SCC in Annex 3, is recommendations which are relevant to the Supply Chain Controls. This group is a secondary priority and these recommendations were reflected in the revisions of the LD but the linkages with the SCC have also been further developed. Annex 8 includes a detailed table presenting the structural relations between principles for each operator in the LD and the critical control points in the supply chain.

The third category, labeled as Group TLAS, is the recommendations which are not included in Group LD or Group SCC but that are relevant to the Timber Assurance System. These recommendations are important for development of the TLAS, but do not require revision of the LD or inclusion in the SCC. The recommendations in this category are thus outside the scope of this task but should be considered and further explored once the TLAS has been designed.

Finally, the fourth category, Group N (Not relevant) is the recommendations that are not relevant to Thai FLEGT VPA Process. As a result of this activity, it has been concluded that the recommendations in this group are not be considered in the Thai VPA Process because they are outside the scope and objectives for preparing the VPA. (This could only be reconsidered if the situation changes and the stakeholders decide to raise these recommendations again.

(Further details in Annex 3, Categorize and prioritize of field test recommendations.)

B. Revise the LD as per selected amendment.

After the categorization of all of the recommendations, focus turned to identifying the most effective way to carry out the recommendations identified as relevant and feasible for the LD. The Sub-WG and other government representatives, together with the consultant, reviewed each of the selected recommendations in Group LD to determine how they should be addressed. In this step in the process, it was determined that most of recommendations would be addressed but the ways to revise the LD are different from the FT report suggestions. For example, for labour and OSHE issues as well as environment and social issues, the FT recommendations identified specific requirements based on practice in the field. While these issues were considered to be among the priorities, the recommendations were impractical. In consideration of the legal requirements and further input on procedures and practice, the Sub-WG and the other government agencies, with support from the consultant, formulated practical ways to assure these concerns were appropriate reflected in the LD. In addition to addressing the selected FT recommendations, this task also addressed some issues essential for the LD revision, including incorporating new laws and regulations.

The amendments selected by the SWG and reflected in the current revisions include

1. Restructure the LD and improve the contents
2. LD covers all source of legal timber for commercial purpose
3. Improve labour requirement including OSHE
4. Improve social and environmental requirements
5. Reflect a unique requirement for rubber
6. Add new Indicators for import and export customs clearance
7. Remove the chainsaw requirement from the LD
8. Update the LD as per new laws and regulations

The SWG has reviewed and validated the revised LD. The details of how the selected amendments are addressed are in Annex 5, Conclusion of LD revision. The complete set of indicators of the revised LD is shown in Annex 6. For the revised LD please see Annex 7, Draft of LD Annex.

C. Link the LD with the SCC

The result of this task reveals that there are critical linkages between the LD and SCC at both the structural and substantive levels. (Annex 8, Linkage of the LD and SCC)

1. *The structural linkages between Operator and Critical Control Point.*

The LD Matrix includes 6 Operators which are separated by particularities of each operator's activities, while the SCC focuses on a series of critical control points. Operator 1: Public Land (National Reserved Forest), Operator 2: Public Land (other than national reserved forest and protected forest), Operator 3: Private Land and Operator 4: Imported Timber are associated with the first critical control point (CCP₁) that are sources of timber including import point, Operator 5: Processing and Production is associated with the second critical control point to the last critical control point before export stage (CCP_{2-(n-1)}) that are a processing factory and/or a trading place, and Operator 6: Export and Trade is associated with the last critical control point (CCP_n) that is an export point.

2. *Representation of SCC in the LD Matrix.*

The LD Matrix reflects a linkage of each activities in supply chain control in Principle 1: Operator Legality (including Land), Principle 2: Operator's Forest Management, Harvesting Obligations and Practices and Principle 3: Sourcing and transportation of Timber. Verifiers specified in such Principles are evidence for traceability and its Description of Verification process could be applied for the verification process of SCC.

3. *SCC of legal timber that is not presented in the LD Matrix.*

Timber sourced from private land (covering all species as per the draft revised Section 7 of Forest Act) is not regulated by any law or regulation. Timber sourced from old buildings is regulated only before demolition, and thus in case of intending to transport such timber outside the provincial boundary, no law or regulation applies.

4. *Timber permitted to harvest for personal or community use only, not for commercial purpose.*

Timber sourced from specific area of public land such as community forest cannot be sold (not in the domestic market nor for export). Therefore, the process to exclude this timber from the supply chain control must be described.

5. *Prohibited import measure and measure for transit of timber.*

When species prohibited for import are imported, this timber should be declared in order to monitor this timber and ensure that prohibited species are not mixed with legal timber supply chain. In addition, transit timber must not be mixed with the supply chain, therefore the process for transit must be described clearly in the supply chain controls.

6. *Illegal timber.*

Timber that is judged as illegal will be used to construct government buildings through a process conducted by the FIO. This means that illegal timber is not returned to the supply chain. Therefore, the process for excluding illegal timber from the supply chain must be described in the supply chain controls.

D. Monitor the legal reform.

There are some legal reforms that were publically announced before the beginning of this task. However, many more legal reforms were identified during this activity in the process of consultations with the other government agencies.

Legal reforms which are in the process include:

1. Forest Bill (No. ...) B.E. ...
2. Community Forest Bill B.E. ...
3. National Land Policy Committee Bill B.E. ...
4. Repeal and revise RFD rules on criteria, procedure, condition and permission of a utilization within the National Reserved Forest
5. Draft of the Department of Agriculture on criteria, procedure and condition of an application for register a place for growing or planting a Conserved Plant, which is a perennial, intending to export under PLANTS ACT B.E. 2518, B.E. ...
6. Revise an Announcement of the Ministry of Natural Resources and Environment on a category and size of a project or business that prepare an EIA.
7. Draft of an Announcement of the Ministry of Commerce on regulating round log, sawn timber and charcoal to apply for a permission to export and regulate a timber product derive from any species and some species of balled and burlap trees to hold a certificate to export B.E. ...

Legal reforms which may result in new regulations include:

1. Regulation on Self-declaration
2. Regulation on Due Diligence System
3. Regulation on FLEGT License

The main points of the draft laws and regulations outlined above and where the LD might be revised are specified in Annex 9.

Recommendations/Next steps (Annex 10)

1. Develop the revised LD (Short-term next step)

The revised LD prepared in this task is based on current laws and regulations. However, during the period of this activity, a number of new laws or regulations are being currently developed. The important laws and regulations that will be finalized soon are the revised Forest Act and the new regulation on DDS. These are keys requirement to examine the legality of timber. Therefore, these legal reforms will be monitored closely in order to be added into the LD once they enter into force. These areas are listed in detail in Annex 9, along with the legal instruments or provisions being revised.

Furthermore, labour, environmental and social requirement of Operator 1, 2 and 3 for non-FIO are missing from the LD because they have not been established. There is a need to develop good practice guidance appropriate for different sizes of operators. Then, how the guidance can be incorporated into the LD or TLAS should be considered further.

2. *Prepare a supply chain control (Medium-term next step)*

The supply chain control paper should be prepared to conform with Principles 1, 2 and 3 of the LD that relate to evidence for traceability and verification processes of the supply chain. For timber that is not brought into the supply chain, the process to exclude them from the supply chain will also have to be described. Furthermore, there is need to explore the supply chain controls for timber from old buildings which is a legal timber but is not regulated by any law.

3. *Monitor the legal reform (Medium-term and long-term next step)*

Need to monitor the laws and regulations specified in Annex 9 in order to develop the LD once such laws or regulations are effective. Other new laws and regulation should also be investigated continually.

4. *Develop the TLAS (Long-term next step)*

Existing voluntary measures should be considered to design TLAS such as FIO's policy and measure on sustainable forest management, A certificate of forest sustainable management under the Plantation Act. Referring to a finding in the FT report the result of this task confirms that sharing of information between various regulator/government departments is needed to design the TLAS.

Annex 1

Work plan

Work plan and scheduling for revised Legality Definition*

Task and Activity		working days	May				June				July				August				September				October			
			W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4
Task A	Preparatory activities • Lay out a work plan for carrying out the revisions of the legality definition. • Describe in the work plan how work will be coordinated with TEFSO, the AHWG, the LD Sub-WG and EFI. • Consult with TEFSO, the AHWG, the LD Sub-WG and EFI about the proposed approach for the work. • Deliver the work plan to TEFSO and EFI within 15 days of the start of the assignment	2				M1																				
Task B	Identify, consult, and make practical amendments to the legality definition	30	S1, A1				S2	A2, TC	S3							S4	A3									
Task C	Link the LD with the supply chain verification/supply chain controls	10																								
Task D	Monitor legal reform process to identify elements of the Legality Definition that may require revision	5																								
Task E	Consult other government entities about how sectoral requirements are captured in the LD and revise as necessary	10	S1, A1																							
	Final Report	3																					A4			M2
			Within 2 weeks after receiving comments from EU FLEGT Facility and RFD/TEFSO on the draft final report and																							
		60																								
Milestone																										
		M1: Deliver Work Plan with in 15 days of the start of the assignment																								
		M2: Deliver Final report to EFI by 30 October 2018																								
Activity periods																										
Consultation																										
7 May 2018		S1: Sub-WG Meeting: Work plan & selected other government entities																								
8 May 2018		A1: AHWG Meeting: Work plan & selected other government entities																								
1 Jun 2018		S2: Sub-WG Meeting: selected amendment on LD, proposed amendment on linkage between the LD and supply chain																								
18 Jun 2018		A2: AHWG Meeting: selected amendment on LD, proposed amendment on linkage between the LD and supply chain																								
19-21 Jun 2018		TC: Technical Meeting: selected amendment on LD, proposed amendment on linkage between the LD and supply chain																								
26 Jun 2018		S3: Sub-WG Meeting: draft revised LD #1																								
20 Aug 2018		S4: Sub-WG Meeting: draft revised LD #2																								
7 Sep 2018		A3: AHWG Meeting: Revised LD																								
3 Oct 2018		A4: AHWG Meeting: draft final report																								
*REMARK: An actual work is changed as appropriated																										

Actual meetings

Submitted work plan (9 days)			Unplanned (7 days)		
No.	Date	Meeting	No.	Date	Meeting
1	7 May 18	Sub-WG Meeting: Work plan & selected other government entities		√	
2	8 May 18	AHWG Meeting: Consideration on work plan & selected other government entities		√	
3	1 Jun 18	Sub-WG Meeting: Categorize and prioritize of FT recommendations, selected amendments and How LD is revised		√	
4	18 Jun 18	AHWG Meeting: Consideration on categorize and prioritize of FT recommendations, selected amendments and How LD is revised		√	
5	20 Jun 18	Technical Meeting: Comment on categorize and prioritize of FT recommendations, selected amendments and How LD is revised		√	
6	26 Jun 18	Sub-WG Meeting: Identify how LD is revised		√	
7			1	9 Jul 18	Sub-WG Meeting: LD revision#1
8			2	10 Jul 18	Sub-Committee: Progress of LD revision
9			3	17 Jul 18	JEM4: Progress of LD revision
10	20 Aug 18	Sub-WG Meeting: LD revision#2		Move to 21 Aug	
11	7 Sep 18	AHWG Meeting: Consideration on LD revision		Move to 3 Sep	
12			4	19 Sep 18	Sub-WG Meeting: LD revision#3
13			5	20 Sep 18	Sub-WG Meeting: LD revision#4
14	3 Oct 18	AHWG Meeting: Consideration on draft final report and outputs		√	
15			6	14 Nov 18	AHWG Meeting: Consideration on revised LD using for negotiation
16			7	20 Nov 18	TC Meeting: Consideration on draft final report and outputs

Annex 2

Consultations with government entities

No.	Date	Government agencies
1	18 May 18	Various RFD representatives including Forest Industries Permission Division, Non - Timber Forest Product Permission Division, Private Reforestation Division and Forest-checkpoint Division
2	3 Jul 18	Forest Industry Organization
3	6 Jul 18	Department of Labour Protection and Welfare, Ministry of Labour #1
4	20 Aug 18	RFD Legal division
5	22 Aug 18	Department of Industrial Work, Ministry of industry
6	27 Aug 18	<ol style="list-style-type: none"> 1. Department of Agriculture, Ministry of Agriculture and Cooperatives 2. Department of Labour Protection and Welfare, Ministry of Labour #2
7	28 Aug 18	<ol style="list-style-type: none"> 1. Pollution Control Department, Ministry of Natural Resources and Environment 2. Department of Environmental Quality, Ministry of Natural Resources and Environment
8	29 Aug 18	Department of Foreign Trade, Ministry of Commerce
9	30 Aug 18	RFD Legal Division
10	31 Aug 18	Thai Customs Department, Ministry of Finance
11	6 Sep 18	Department of Labour Protection and Welfare, Ministry of Labour #3
12	7 Sep 18	Environment Impact Evaluation Bureau, Ministry of Natural Resources and Environment
13	11 Sep 18	RFD Legal Division
14	14 Sep 18	RFD Legal Division
15	24 Sep 18	RFD Forest Certification Office

Annex 3

Categorize and prioritize the field test recommendations

Based on the field test recommendations, there are categorized and prioritized as following;

Group LD is a group of recommendations which is needed to revised the LD.

This group is the first priority and it must be addressed by this task. The selected recommendations applying to revised the LD Matrix divide into 2 sup-groups are

LD-1 Requirements including in the LD but there are needed to improve such as transport of timber requirements, a chain saw requirement.

LD-2 Legal requirements which are missing from the LD and need to add in the LD such as logging from Conversion Forest, environmental and social requirement specified in the Factory Act B.E. 2535 (1992).

Group SCC is a group of recommendations which is relevant to the Supply Chain Control

This group is a subordination priority and this has been realized when conduct to revise the LD. There are also in the scope of this task to identify a link of LD with SCC and provide some recommendations to develop a SCC document.

Group TLAS is a group of recommendation which is relevant to the Timber Assurance System but there are not include in Group LD or Group SCC

This group is lower priority for this task. These selected recommendations are need to reflect in some part of TLAS but not include in the LD or SCC. These are outside the scope of this task. These selected recommendations have to be considered and further explore once TLAS has been designed.

Group N (Not relevant) is a group of recommendations which is not relevant to Thai FLEGT VPA Process.

As a result of this task, there is a conclusion that the recommendations in this group are not be considered in the Thai VPA Process because there are outside the scope and objectives to preparing the VPA. Unless some situations are changed and the stakeholders intend to raise these recommendations to address again.

Finding No.	Issues	Recommendations	Group
1) Structure and content of the LD (Section 5.3 of FT report)			
	1.1) Function and purpose of the Indicators and Verifiers in the LD. The LD contains 2 fundamentally different types of Indicator and Verifier is 'based on outputs' and 'to verify that a process (or series of linked activities) has been completed properly'	Improve the I and V regarding to verify the process (or series of linked activities).	LD-1,2

Finding No.	Issues	Recommendations	Group
	Most of I and V in the LD based on outputs but not to verify the process		
4, 33	1.2) LD contains 2 Operators including 'operator who conformance with the law' and 'operator (regulator) who apply the regulation'	Analyze a different role and function of them and design a different I and V appropriately for them.	LD-1
	1.3) The LD has identified that there is currently no formal organizational mechanism or process for integrating the various regulatory functions or for sharing information: there is no centralized database or a common format for recording verification data for different operators.	How these regulatory bodies can work together and/or provide relevant verification data to a centralized control point will be explored as part of developing TLAS.	TLAS
	1.4) LD number format	Focus only the number of Principle, any number string does not exceed 2.	LD-1
2) Processes Missing from the Legality Definition (Section 5.4 of FT report)			
15a and 57	2.1) Hammer Stamping and Marking Timber	Add in the LD and TLAS	LD-2, SCC
18,46,47, 83 and 130	2.2) Processes for dealing with illegal timber or timber whose legality is uncertain	Currently none of this appears in the LD. Needs to be addressed in LD and TLAS.	SCC
34 and 43	2.3) Timber generated from the land clearing for the government project	Add in the LD and TLAS	LD-2, SCC
	2.4) Old building	Add in the LD and TLAS	LD-2, SCC
	2.5) Recycle timber (furniture, equipment, boat etc.)	Add in the LD and TLAS	N
	2.6) timber under water	Add in the LD and TLAS	LD-2, SCC
	2.7) Urban tree and timber in the roadside	Add in the LD and TLAS	LD-2, SCC
116	2.8) Verify timber account of the factory (Recordkeeping)	Add in the LD and TLAS	LD-2, SCC
71	2.9) Process for alternative document	Add in the LD and TLAS	N
40,108,129	2.10) Biofuel and Biomass	Add in the LD and TLAS	SCC
59	2.11) Animal welfare	Add in the LD and TLAS	N
3) Missing, irrelevant or ineffective Indicators or Verifiers (Section 5.5 of FT report)			
24, 25, 48, 49, 50a, 50b, 51, 53-59, 64, 72, 73, 81, 94-100	3.1) The announcement of the National Peace Board No. 106/2557 of July 21, 2557) which amended the law on forestry not reflected clearly in the current LD and there are no indicators or verifiers specific to the new requirements	Reflect this announcement in the LD.	LD-1
	3.2) Cor Tor Chor certificate is missing.	Add this V to the LD	LD-1

Finding No.	Issues	Recommendations	Group
	3.3) O1 I2.3.1 A condition of possession of a various land. (such as right to logging)	Should verify a condition of the land utilization as well.	LD-1,2
	3.4) O1 I2.3.2, Separate I and V which are duplicated.	V should be modified to ensure that it covers all types of transport permits and specifies additional types of supporting documentation	LD-1
	3.5) O1 I5.1.1 and I5.1.2, Separate I and V which are duplicated.	I need to be modified avoid duplication and repetition and make clear the different types of payment as well as clarify issues relating to Por Sor 23	LD-1
	3.6) O4 I2.1.1 Imported timber and timber product	There is a need to specify 2 verifiers. Verifiers will require different evidence: <ul style="list-style-type: none"> ● to establish true origin of the timber ● to establish legality at point of origin 	LD-1
	3.7) O5 I1.2.1 is not consistent with its Criteria and not reflect what need to verify.	Improve I	LD-1
	3.8) O5 I2.2.2 Requires clarification as to which documents are required as evidence to demonstrate: right of acquisition; right to harvest; and right to transport. The SPK certificates 13, 15 and 3 appear to be used for multiple and duplicate evidence.	Clarify that which documents use to verify which I	LD-1
	3.9) O5 I2.3.1 Some confusion was experienced during field testing relating to whether the verifiers are adequate to cover all (or some) restricted species transported from processing factories.	Clarify that which documents use to verify which I	LD-1
	3.10) O5 I4.1.1 and 4.1.2 on Labour protection requirement.	Modify to register a social security and yearly medical checks	LD-2
4) Findings related to land ownership and leasing - including issues relating to ownership of trees (Section 5.6 of FT report)			
	4.1) the first Critical Control Points are to verify the source and legality of the product on <ul style="list-style-type: none"> ● the ownership of the land (and the rights or conditions of use) 	The LD these legal requirements are broadly subdivided by land ownership and appear as Operators 1, 2 and 3. Rights related to harvesting are covered under P3 and rights to movement and transport are under P2.	LD-1,2

Finding No.	Issues	Recommendations	Group
	<ul style="list-style-type: none"> • the rights (or conditions) related to planting and growing trees • the legality of the trees that provide the timber (regulations related to: accepted species; use of exotics; potential weeds or invasiveness; tree health, pest and disease control etc) • the legality of the ownership of the trees (or timber if trees have been harvested). This may (or may not) be determined by the ownership of the land 		
44	4.2) Establishing tree ownership	Improve C and I to verify tree ownership separated from land ownership (Design a standard form of contract and Delivery Note used for sale and purchase of the timber)	LD-1
34,43,61,62	4.3) Other sources of timber	To verify tree ownership separated from land ownership	LD-2
5) 5.7 RFD as a Regulator – current verification and checkpoints (Section 5.7 of FT report)			
	5.1) The LD and or TLAS would benefit from having the procedures (as well as the Legal Requirements) made clear. Possibly a separate section could be included in the LD for RFD checkpoints; but this should definitely form a key element of TLAS.	Supporting description of process needs to accompany the LD and/or the TLAS.	SCC
6) 5.8 Other Regulatory bodies – current verification systems and related issues (Section 5.8 of FT report)			
3, 28, 39, 101, 112, 121, 125, 127, 128	6.1) Effective and credible verification requires close liaison, good communications and shared data and access between all the bodies responsible for regulation directly and real-time, and application of the laws.	Operators currently responsible for Regulation and Oversight (RFD, Customs; Ministry of Agriculture etc) would benefit from clear, documented procedures which follow a standardised and consistent format. Adopting ISO QMS systems as a suitable basis are proposed as one possible option.	TLAS
7) Findings unique to or related to FIO (Section 5.9 of FT report)			
5,26,48,50a,59,78,79,80 and 85	7.1) The FIO's unique position and mandate – FIO's authority was established by letter from cabinet authorizing FIO to manage the land.	Add V	LD-2

Finding No.	Issues	Recommendations	Group
	7.2) FIO's requirements on labour	Requirements are as specified in a law for SOE. Process to verify conducted by internal audit with internal rule.	LD-2
	7.3) Even if the conditions and requirements are equivalent (or superior) to those in the LD, it will still require an objective process of verification to establish whether FIO is in compliance with its own requirements.	Regular verification – to ensure that the FIO is in compliance with its own requirements – will be required for verification under TLAS.	TLAS
	7.4) FIO appears to follow its own rules with respect to issuing Sor Por 32 for timber sourced from their own plantations	Modify the LD	LD-1
	7.5) FIO plantation which is established by the RFD budget.	Add V	LD-2
	7.6) FIO's use of animals (elephants) for extraction and the absence of any indicators and verifiers related to their use and welfare	Add I and V	N
	7.7) Missing appropriated I on moving a timber out of FIO's sawmill or factory.	Add I and V	LD-2
	7.8) The FT identified that the transfer system for timber from FIO Plantation to FIO sawmill is simple and effective, but is outside of NSW system: it is currently not documented nor referenced in the LD. Timber is transferred from the FIO plantation timber account to the sawmill timber account using an Internal Transfer process. This is based on an Excel sheet which accompanies email transfer. Sawmill extracts and debits timber from excel spreadsheet and adds it to its own account: at the same time it is debited from the Plantations account.	The timber transfer procedure should be made basis of clear documented 'Procedure'. (See issue on Documented Procedures). This needs to be included as part of TLAS. The possibility of adopting (or extending) this system as an acceptable basis of transfer between other operators should be explored.	TLAS
8) Labour laws and requirements including Health and Safety - Principle 4 (Section 5.10 of FT report)			
28,29,39,52,91,92 and 111	8.1) During the Field Test verification of the criteria and indicators relating to labour issues proved to be very difficult to audit for FT auditors. It proved consistently difficult to establish conformance during based only on the evidence available at the Operator.	For verification under TLAS, access to records maintained by the Ministries of Labour and Industry (the regulator responsible for the current process of verification) is vital in order to assess an operator's conformance. TLAS will have to reply on	TLAS

Finding No.	Issues	Recommendations	Group
		the effective conduct of systems and inspections by other regulatory bodies and an effective means of sharing the information related to verification, in real time.	
	8.2) There are other relevant I but not include in the current LD. For example: signed contracts, documented terms and conditions; evidence of training records; evidence of medical checkups and gender-appropriate medicals, especially for dangerous or hazardous work.	Improve I and V	LD-2
	8.3) Annual Labour reports are submitted electronically. This is likely to become an increasingly common practice. But FT auditors could not locate any hard copy. For licensing and subsequent verification, verifiers will need access to Labour Records	For verification under TLAS, access to records maintained by the Ministries of Labour and Industry (the regulator responsible for the current process of verification) is vital in order to assess an operator's conformance. TLAS will have to rely on the effective conduct of systems and inspections by other regulatory bodies and an effective means of sharing the information related to verification, in real time.	TLAS
	8.4) In the event of sub-contracting which party is responsible, and for what aspects of employment. It may not be appropriate to try and cover this under the LD, but it will need to be addressed by TLAS.	Need to be addressed by TLAS	TLAS
	8.5) FT cannot to check a contract, a payment evidence etc. at the workplace.	Improve I and V	LD-2
	8.6) There are other relevant I on OSHE but not include in the current LD.	Improve I and V	LD-2
	8.7) The FT found companies employing workers with no contracts and unspecified terms and conditions or daily rates and 'lump sum payments'.	These are broader issues of compliance with legal requirements and more suited to periodic or ad hoc inspections by the regulatory authority who are seeking to ensure the legality of the enterprise, rather than a verification which establishes the trading of legal (or illegal) timber.	N

Finding No.	Issues	Recommendations	Group
9) Environmental and social issues – including factory and processing related requirements – Principle 6. (Section 5.11 of FT report)			
86, 87, 106	9.1) There are less relevant I in the current LD	Improve LD	LD-2
	9.2) Field test in particular under Operators 1, 2 and 3 founded that they concerned about environment and social aspect but there is a community guidance, not a legal requirement.	Guidance is not a legal requirement. So consultant could not to recommend to add in the LD	TLAS
	9.3) Identify I as specified in the Factory Act	Add relevant requirements under the Factory Act into the LD	LD-2
	9.4) The current LD is does not include I and V under the Public Health Act, B.E. 2535 Section 31, 32 and its announcement	Add to the LD	LD-2
	9.5) Verification conducted by regulator (in this case is Department of Industrial Work)	Checking for verification process of the regulation have to be developed through TLAS development.	TLAS
	9.6) The FT revealed that 2 operators demonstrated that they were part of the government’s programme to follow a 7 point plan of Corporate Social Responsibility, based on the ISO 26000 model.	This is positive and TLAS will need to explore whether this approach will be adopted more widely throughout the commercial sector of Thailand, or whether the Thai Government will promote the concept more vigorously.	TLAS
10) Community forests and small-scale initiatives (Section 5.12 of FT Report)			
8,32a,32b,38,75 และ 76	10.1) The FT founded that Community Forest and small-scale initiatives are a source of timber. As a consultation with AHWG acknowledge that it will be possible such timber will be bought into the supply chain, Nevertheless, such timber is not completed the legal requirement.	Propose a model of supply chain and monitoring and controlling system for timber from any source showed in Annex 6 of the FT report.	SCC, Legal reform
11) Findings related to Chainsaw Regulations (Section 5.13 of FT report)			
	11.1) There is not a main issue to determine a legality of timber. If the timber is harvested by a chainsaw which without a certificate, this means that timber will be identify that illegal timber or not.	Need to explore that this regulation should be a Thai legal requirement or not. But this requirement does not need to include in the LD.	LD-1
12) Chain of Custody Issues – basic issues (Section 5.14 of FT report)			
	12.1) The Field Test found well developed procedures for both the paper-based and NSW systems which were well	NSW Maintain existing systems and build additional elements as required by developing the NSW.	TLAS

Finding No.	Issues	Recommendations	Group
102,103,117,1 18,131a และ 131b	understood and executed effectively by the responsible staff (RFD).		
	12.2) Much of the most problematic timber (rubber, eucalyptus and acacia) is treated as a 'bulk crop' by the major users of this timber. Trees are purchased and sold, not as individual trees, but as tonnes of fibre. There is, therefore, no need to develop complex chain of custody systems based on identifying or tracking individual trees.	Explore the possibility of CoC and supply chain system designed around 'bulk delivery' – using weight rather than individual trees or tree volume.	SCC
	12.3) Almost all of the issues and weaknesses with the CoC systems were related to unrestricted species, imported timber and CITES-listed species.	Establish clear documented procedures for the auditing of timber registers for different types of Operator 5 – including establishing the initial baseline.	SCC
13) Chain of Custody issues – National Single Window and eTree (Section 5.15 of FT report)			
	13.1) The NSW offers a system that already links key regulators and consequently can provide the basis of, or a significant input to, TLAS.	Any additions or modifications to the existing tracking and transport system should be made through (or developed within) NSW.	TLAS
	13.2) The Plantation Registration Module of the NSW was less effective	Develop the NSW	TLAS
14) Chain of Custody Issues – Due Diligence and Risk (including import, export and domestic purchases and transfers) (Section 5.16 of FT report)			
11, 21, 22, 23, 65a, 65b, 66, 67, 70, 110, 120, 126, 88, 117, 120	14.1) Due diligence is being undertaken by importing and exporting companies, but systems of DD are not consistent and still subject to a number of problems including: <ul style="list-style-type: none"> • Reliable proof of true origin of timber • Reliable proof of legality at origin and/or point of sale • Objective, practical and consistent processes for establishing risk • Clear guidance on what are appropriate and satisfactory mitigation measures and documentary evidence that can be used for high risk sources and suppliers 	Thailand is developing its own protocols for Due Diligence which will presumably be incorporated into the TLAS. Any system developed (including TLAS) needs to take account of the role of agents.	SCC

Finding No.	Issues	Recommendations	Group
15) Chain of Custody Issues – CITES (Section 5.17 of FT report)			
65a, 68, 123, 124	15.1) There are some species in CITES-listed processed other oil-bearing which are not in timber form.	Add to LD	N
	15.2) The current LD does not reflect some requirement to verify the CITES species	Add to LD	LD-2
	15.3) The current system (and LD) for CITES-listed species is strongly reliant on CITES-these species being correctly identified or declared in the first instance but there is no sure way of identifying CITES-listed species which are NOT declared.	CITES There is a need for a clear and objective method for establishing timber species in future in order to prevent an illegal imported timber.	TLAS
	15.4) A final issue identified by the FT was the awareness regarding the need for the regulators (RFD, customs and Department of Exports) for CITES-listed species to be accompanied by an export certificate, or a re-export certificate if the timber had originally been imported with a CITES certificate.	Need for clear documented procedures.	TLAS
16) Chain of Custody issues – Unrestricted species (Section 5.18 of FT report)			
	16.1) Field Test confirmed that currently there is no reliable evidence or documentation that identifies and accompanies the purchase or sale of unrestricted species. Sometimes there are delivery notes and sometimes the location of the plantation is included, but many times this is completely absent, especially for private landowners and growers (Operator 3). Harvesting and delivery to factory gates remains a common practise and unrestricted vehicles are not required to stop at RFD checkpoints.	This revised system of CoC and control proposed under Annex 6 is recommended as a model which does incorporate supply chains with different levels of control and oversight	SCC
17) Merchants, agents and brokers (Section 5.19 of FT report)			
69,77,119	17.1) Agents, merchants and brokers have evolved and become part of the supply chains because they perform very specific functions which benefit one or more parties within the various supply chains.	This additional level of complexity needs to be understood when designing the TLAS: their roles and functions – perceived and real – need to be fully understood and factored in to the design of the TLAS.	SCC
18) Chain of Custody Issues – supply chains for fuelwood, biomass and pellets (Section 5.20 of FT report)			

Finding No.	Issues	Recommendations	Group
40, 108, 129	18.1) The Field Test identified that current verification and control systems are not designed to accommodate these products or the complex supply chains of which they are part. Ownership, species identification, traceability and tracking are not adequately covered by current LD.	Clear and simple indicators and verifiers relevant to fuelwood and biomass supply chains need to be developed and inserted into the modified LD.	SCC
19) Documentation, Procedures and Quality Management Systems (Section 5.21 of FT report)			
6, 16, 109, 132	19.1) Procedures do exist but the format adopted (a periodic 'manual' of amalgamated procedures) is not ideally suited to a QMS based system and makes subsequent verification and auditing more problematic.	TLAS must need to recognise that it will be one of a number of certification or standards-based schemes that use systematic audits or verifications to establish conformity of operators. The entire system would benefit from Thailand's management and verification systems being formulated as a series of controlled documents and procedures that follow an Internationally-recognised Quality Management System.	TLAS
	19.2) The results of the Field Test indicate that the universal adoption of a system based on Delivery Notes (which carry key data) would be a useful part of the Thai custody control system and could provide relevant and consistent information that could contribute significantly to an effective TLAS.	A standardized Delivery Note format is strongly recommended. Details and discussions of what might constitute a suitable system are described in Annex 6.	N

Annex 4 LD Revision

The Sub-WG and other government representatives, together with the consultant, reviewed each of the selected recommendations in Group LD to determine how they should be addressed.

A. LD Revision followed by the FT Recommendations.

1. Structure and content of the LD (Section 5.3)

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How ?	Added Legal Reference	Where?
1	1.1	<p>Function and purpose of the Indicators and Verifiers in the LD. The LD contains 2 fundamentally different types of Indicator and Verifier is 'based on outputs' and 'to verify that a process (or series of linked activities) has been completed properly'</p> <p>Most of I and V in the LD based on outputs but not to verify the process</p>	Improve the I and V regarding to verify the process (or series of linked activities).	LD-1,2	<ul style="list-style-type: none"> LD Matrix restructured to follow the existing supply chain. Indicators (and associated verifiers) revised to reflect the linkage of each activity in the supply chain. Missing Indicators (associated verifiers) added to achieve the LD purpose 	-	Please see Annex 6 List of all revised indicators Annex 7 Draft of LD Annex
2	1.2	LD contains 2 Operators including 'operator who conformance with the law'	Analyze a different role and function of them and design a different I and V appropriately	LD-1	<ul style="list-style-type: none"> Verification Process revised to clarify a procedure to reflect 	-	Please see Annex 7 Draft of LD Annex

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How ?	Added Legal Reference	Where?
		and 'operator (regulator) who apply the regulation'	for them.		<p>the linkage of each activity conducted by the Regulator.</p> <ul style="list-style-type: none"> • New indicators (and related elements) added to reflect a role and function of the Regulator such as RFD survey report before issuing a land utilization permission. • LD Matrix format simplified to use 		
3	1.4)	LD number format	Focus only the number of Principle, any number string does not exceed 2.	LD-1	<p>Modify as an example below;</p> <p><i>Ex. 01-1.2.3</i> '<i>01</i>' means Operator 1 '<i>1.</i>' means Principle 1 of 01 '<i>2.</i>' means Criteria 2 of Principle1 '<i>3</i>' means Indicator 3 of Criteria 2</p>	-	Please see Annex 7 Draft of LD Annex

2. Processes Missing from the Legality Definition (Section 5.4)

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	2.3, 2.6 and 2.7	Logging in the area cleared for use the land that is the government project, timber under water, urban tree and timber in the roadside.	Add in the LD and TLAS	LD-2, SCC	<ul style="list-style-type: none"> ● For the government project area (or 'Conversion Forest') <ol style="list-style-type: none"> 1. An evidence of permission to use the National Reserved Forest area (O1) is missing from the previous LD. 'Announcement of RFD DG on designing the boundary for specific administrative agencies or state organizations to use the area' is added in V column of O1-1.1.1 2. For an evidence of permission to use a Conversion Forest in O2, there are already include in the previous LD called 'Certificate of Permission for utilization in forest under section 54 of the Forestry Act' 3. Logging in Conversion 	Section 13/1 of the National Reserved Forest Act.	<ul style="list-style-type: none"> ● O1-1.1.1: V, LR, VP ● O1-2.2.2: all ● O2-2.2.2: all

No .	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					<p>Forest (both O1 and O2), only FIO is authorized to harvest timber. Add new indicators in O1-2.2.2 and O2-2.2.2</p> <ul style="list-style-type: none"> • Requirements for 'Timber under water' are subject to the type of land (O1, O2, or O3) • For 'Urban tree' and 'timber on the road side', any entity who hold an appropriated permit to use the land has an entitle to apply for a logging permit as per a regular process including in the previous 	<p>Section 19 of the National Reserved Forest Act. (for O1) RFD regulation to specify criteria, methods and conditions to use the specific area for governmental activities or other benefit of a specific administrative agency or state organization within the National Reserved Forest boundary, B.E. 2548 Clause 11 RFD regulation on the survey and logging in the area cleared for utilization of the land B.E. 2525</p>	

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					LD. No need to revise the LD anymore.		
2	2.4	Reclaimed timber from old building	Add in the LD and TLAS	LD-2, SCC	<ul style="list-style-type: none"> There is a law and a regulation to control in transport of a reclaimed timber, derived from old building, outside a province or a group of provinces where the building is located. Therefore, the location of the building (source of reclaim timber) can be verified. Add new indicators and related elements in O1, O2 and O3 Remark: There is a problem in practice to apply for a transportation document. 	Forest Act, B.E. 2484 Section 39ter. RFD regulation on transport a restricted species or a species, which is the name/kind is the same as restricted species, which are have been a building or tool transporting to outside the province B.E. 2560 Clause 5 6 and 7	<ul style="list-style-type: none"> O1-3.2.3: all O2-3.2.3: all O3-3.2.2: all
3	2.1	Hammer Stamping and Marking Timber	Add in the LD and TLAS	LD-2, SCC	<ul style="list-style-type: none"> There are related procedure for Hammer Stamping and Marking Timber as following; <ol style="list-style-type: none"> Timber from registered forest plantation under the Plantation Act. <ul style="list-style-type: none"> Before transport Descript this procedure 	The Plantation Act, B.E. 2535 Section 9 and 13	<ul style="list-style-type: none"> O1-2.2.1, O1-2.2.2, O1-3.1.1, O1-3.2.1, O1-3.2.4: VP O2-2.2.1, O2-2.2.2, O2-3.1.1, O2-3.2.1, O2-3.2.2, O2-3.2.4: VP O2-3.1.1: VP O4-3.2.4: VP O5-2.2.4: VP

No.	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					<p>in VP of the new Indicators to identify a timber ownership.</p> <p>2. Timber from non-registered forest plantation under the Plantation Act.</p> <ul style="list-style-type: none"> • Round log <ul style="list-style-type: none"> - Before harvesting - After harvesting but before dragging - Before utilization: stamp to identify that a royalty is paid or exemption (for specific logging permit type) - Before transport and/or once the timber needed to transport pass any RFD checkpoint • Processed timber <ul style="list-style-type: none"> - before transport outside a province or a group of the province. • Clarify the stamping 	<p>Related regulations specify these procedures are following (These regulations are not included in the revised LD because these are not a main legal requirements of the specific indicators)</p> <p>Ministerial regulation on asking for permission and permitting to logging of restricted species B.E. 2560 Section 6 and 8</p> <p>Ministerial regulation No. 26 (B.E. 2528) on transport of timber and forest product. Clause 3.</p> <p>RFD regulation on the survey and logging in the area cleared for use the land B.E. 2525 Clause 11</p> <p>RFD regulation on transport a restricted species or a species, which is the name/kind is the same as</p>	<ul style="list-style-type: none"> • O6-2.1.3: VP

No.	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					procedure in VP of related Indicators	restricted species, which are have been a building or tool transporting to outside the province B.E. 2560 Clause 12	
4	2.8	Verify timber account of the factory (recordkeeping)	Add in the LD and TLAS	LD-2, SCC	<ul style="list-style-type: none"> • There is a related procedure for factory recordkeeping and a warehouse recordkeeping. • Clarify the procedure in VP of related Indicators on operator legality 	A procedure is specified in the RFD regulation on controlling of timber processing B.E. 2541 (This regulation is not included in the revised LD because it is not a main legal requirements of the specific indicators)	<ul style="list-style-type: none"> • O5-1.2.1 O5-2.2.1 O5-2.2.2 O5-2.2.6: VP • O6-1.1.1 O6-2.1.1 O6-2.1.5: VP

3. Missing, irrelevant or ineffective Indicators or Verifiers (Section 5.5)

No	Refer to Annex 3	Finding	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	3.1	The announcement of the National Peace Board No. 106/2557 of July 21, 2557) which amended the law on forestry not reflected clearly in the current LD and there are no indicators or verifiers specific to the new requirements	Reflect this announcement in the LD.	LD-1	<ul style="list-style-type: none"> This announce revise Section 7 (Logging) and Section 48 (Controlling a timber processing) under the Forest Act. Section 7 and 48 are already referred in the current LD. No need to revise the LD anymore. Definition of Restricted Species include in the LD Annex 	-	-
2	3.2	Cor Tor Chor certificate is missing.	Add this V to the LD	LD-1	<ul style="list-style-type: none"> Kor Tor Chor is an acronym (in Thai) of the National Land Policy Committee. This is used to call the document issuing under a policy announced by this committee. However, the permission applied with specific laws allowing to use the land such as Sor.Por. 23 issued under the 	-	- (Please see Annex 9 Monitoring of legal reforms)

No	Refer to Annex 3	Finding	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					<p>National Reserved Forest Act.</p> <ul style="list-style-type: none"> The specific laws for issuing a permit are already included in the LD A new law designed for the National Land Policy Committee is in a process. Please see Monitoring of Legal Reform Annex 		
3	3.4, 3.5, 3.8, 3.9	<p>Separate I and V which are duplicated.</p> <ul style="list-style-type: none"> ➤ I2.3.2 of all Operators ➤ I5.1.1 and I5.1.2 of all Operators ➤ I2.2.2 of O5 ➤ I2.3.1 of O5 and O6 	Which document uses to verify which Indicator as per each operator.	LD-1	<ul style="list-style-type: none"> Legal references already include in the previous LD. Separate I and V for appropriated operators and purpose of C Improve some languages of I appropriately 	-	Please see Annex 7 Draft of LD Annex
4	3.3	A condition of possession of a various land. (such as right to logging)	Should verify a condition of the land utilization as well.	LD-1	<ul style="list-style-type: none"> Procedure to verify the legitimate document, condition to use the land and investigation in the field conducted 	A procedure is specified in the RFD regulation but there is not included in the revised LD because it is not a main legal requirements	<ul style="list-style-type: none"> O1-1.1.1, O2-1.1.1, O3-1.1.1: VP O1-2.1.1, O2-2.1.1: all O1-3.2.1, O2-3.2.1: all O1-3.2.2: all

No .	Refer to Annex 3	Finding	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					<p>by the competent officer before issuing a Logging permit or registering a plantation. Improve VP of Indicator on operator legality</p> <ul style="list-style-type: none"> • Register a plantation in public land (O1,O2) does not cover a tree which is a natural growth. Add new Indicators and related elements. • Any species from O1 and Restricted Species from O2 need to pay a royalty in order to acquire timber before utilization (except for specific Logging Permit types) Add new Indicators and related elements. • For tree planted by RFD budget, FIO pay a timber price to RFD in order to acquire timber before 	<p>of the specific indicators</p> <p>Plantation Act, B.E. 2535 Section 7</p> <p>National Reserved Forest Act, B.E. 2507 Section 5,1,5,16bis Forest Act, B.E. 2484 Section 14</p> <p>RFD regulation on criteria procedure to authorize FIO to maintain and utilize a plantation where planting by RFD budget, B.E. 2555</p>	

No	Refer to Annex 3	Finding	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					<p>utilization. Add new Indicators and related elements.</p> <ul style="list-style-type: none"> Land lease requirement is already in the previous LD 		
5	3.6	Imported timber and timber product	<p>There is a need to specify 2 verifiers. Verifiers will require different evidence:</p> <ul style="list-style-type: none"> to establish true origin of the timber to establish legality at point of origin 	LD-1	<ul style="list-style-type: none"> There is in the process to design Due Diligence System Improve a language of related Indicator to verify 2 issues as recommended This requirement need to develop once the DDS is effective. Therefore, in this task, this indicator is removed from the LD and identified in the monitoring of legal reforms annex (as agreed by AHWG) 	-	Removed from O4. (Please see Annex 9 Monitoring of legal reforms)
6	3.7	l1.2.1 is not consistent with its Criteria and not reflect what need to verify.	Improve l	LD-1	<ul style="list-style-type: none"> There is a new Ministerial regulation to clarify the detail of requirement. Improve an Indicator 	Ministerial regulation on asking for permission and issuing a permit to use the location for processing the timber from the plantation,	O5-1.1.1: all O5-1.1.2: all O5-2.1.1: all

No	Refer to Annex 3	Finding	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					as specified in the new regulation.	B.E. 2561 Clause 6	
7	3.10	O5 I4.1.1 and 4.1.2 on Labour protection requirement.	Modify to register a social security and yearly medical checks.	LD-2	<ul style="list-style-type: none"> Modify labour protection requirement please see Section 6 below 	-	Please see Section 6 below.

4. Findings related to land ownership and leasing - including issues relating to ownership of trees (Section 5.6)

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	4.1, 4.2, 4.3	Verify a legality and an ownership of land, tree and timber.	Each Operator must include C I and V to verify: <ol style="list-style-type: none"> the ownership of the land (and the rights or conditions of use) the rights (or conditions) related to planting and growing trees the legality of the trees that provide the timber (regulations related to: accepted species; use of exotics; potential weeds or invasiveness; tree health, pest and 	LD-1,2	<ol style="list-style-type: none"> the ownership of the land (and the rights or conditions of use) <ul style="list-style-type: none"> Please see Section 3(4) above. the rights (or conditions) related to planting and growing trees <ul style="list-style-type: none"> No legal requirement and need to explore for a Guidance of good 	-	Please see Section 3(4) above.

No .	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
			disease control etc) 4. the legality of the ownership of the trees (or timber if trees have been harvested)		practice. 3. the legality of the trees that provide the timber (regulations related to: accepted species; use of exotics; potential weeds or invasiveness; tree health, pest and disease control etc) • No legal requirement and need to explore for a Guidance of good practice. 4. the legality of the ownership of the trees (or timber if trees have been harvested) • Please see Section 3(4) above.		

5. Findings unique to or related to FIO (Section 5.9)

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	7.1, 7.5	FIO's utilization on a plantation by the resolution of cabinet and a plantation which planting by RFD budget.	Add V	LD-2	<ul style="list-style-type: none"> Add in O1 P1 Evidences are MOU between RFD and FIO 	Resolution of cabinet on 3 March B.E. 2535 amended by Resolution of cabinet on 9 March B.E. 2536	O1-1.1.1: V
2	7.2	FIO's requirements on labour	Requirements are as specified in a law for SOE. Process to verify conducted by internal audit with internal rule.	LD-2	<ul style="list-style-type: none"> Design a Criteria specific for FIO. For Labour protection, FIO must comply with a state enterprise minimum standard on wage, working hours, etc. For OSHE, FIO must comply with Occupational Safety, Health and Environment Act and related requirement, Indicators including <ol style="list-style-type: none"> Preparing a safety manual and monitoring that it complies with an annual OSHE workplan (and update it if 	<p>State enterprise labour relation Act, B.E. 2543 Section 27 Announcement of State enterprise labour relation committee on minimum standard of employment conditions in the state enterprise.</p> <p>Occupational Safety, Health and Environment Act B.E. 2554 Section 3,8 Regulation for designing a standard on management of OSHE B.E. 2549. Regulation for designing a standard on management of OSHE on machine, crane and boiler, B.E.2552.</p>	<p>All elements of C5.1 in O1, O2 and C4.2 in O5</p> <p>(Recommendation: Need to sharing information with various regulator under TLAS)</p>

No.	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					<p>needed.)</p> <p>2. Providing PPEs for workers.</p> <p>(Whereas the legal requirements are covered in the annual OSHE workplan and Safety manual)</p> <ul style="list-style-type: none"> The VP is conducted by its internal audit. The internal audit takes a responsibility to prepare an annual report. 		
3	7.4	FIO appears to follow its own rules with respect to issuing Sor Por 32 for timber sourced from their own plantations	Modify the LD	LD-1	<ul style="list-style-type: none"> Remove this I from the LD because there is irrelevant to verify the legality (by consulted with FIO staff) Environmental requirement please see Clause 7) 	-	-
4	7.7	Missing appropriated I on moving a timber out of FIO's sawmill or factory.	Add I and V	LD-2	Please see Section 3(4)	-	-

6. Labour laws and requirements including Health and Safety - Principle 4 (Section 5.10)

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	8.2, 8.5	There are other relevant I but not include in the current LD.	Improve I and V	LD-2	<ul style="list-style-type: none"> ● For O1 2 and 3 (non-FIO) Remove labour requirement from the LD because and need to explore to apply a Good Labour Practice designed by Department of Labour Protection and Welfare ● For O5 (non-FIO) <ul style="list-style-type: none"> ● Design specific Criteria for Welfare and Labour Protection ● This C includes 4 Indicators on <ol style="list-style-type: none"> 1. (≥ 10 employees) Conditions of employment and workplace annual report (Self-declaration) 2. (≥ 10 employees) Preparing an evidence of any wage had been paid complying with a legal minimum standard 3. No child worker 4. No illegal alien worker 	<p>Labour Protection Act, B.E. 2541 Section 44, 70, 112, 113,114, 115/1 Royal Decree on the Management of Migrant Employment B.E. 2560 Section 9</p>	<p>(Recommendation: Need to explore to apply a Good Labour Practice designed by DLPW)</p> <p>All elements of C4.2 in O5 (Recommendation: Need to sharing information with various regulator under TLAS)</p>

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
2	8.6	There are other relevant I on OSHE but not include in the current LD.	Improve I and V	LD-2	<ul style="list-style-type: none"> • For O1 2 and 3 (non-FIO) Remove labour requirement from the LD because and need to explore to apply a Good Labour Practice designed by Department of Labour Protection and Welfare • For O5 (non-FIO) <ol style="list-style-type: none"> 1. Design specific Criteria for OSHE 2. This C includes 4 Indicators on <ol style="list-style-type: none"> 1. Hazardous chemicals possession 2. PPE 3. Medical check for specific works with risk factors 4. Fire Safety Training • For FIO, please see Section 5(2) above. 	<p>Occupational Safety, Health and Environment Act B.E. 2554 Section 8</p> <p>Safety on hazardous chemical Occupational Safety, Health and Environment Act B.E. 2554 Section 2,12</p> <p>Regulation for designing a standard on management of OSHE on machine, crane and boiler, B.E.2552. Section 96,97</p> <p>Regulation for designing a standard on management of OSHE on heat, light and sound, B.E. 2559 Section 12,13</p> <p>Regulation for designing a</p>	(Recommendation: Need to sharing information with various regulator under TLAS)

No .	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
						<p>standard on management of OSHE on prevention and suppression of fire, B.E. 2555 Section 27,30</p> <p>Ministerial regulation specifying criteria and method for medical check of employee and submitting the record to labour inspector, Clause 3, 5, 6, 7</p>	

7. Environmental and social issues – including factory and processing related requirements – Principle 6. (Section 5.11)

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	9.1	There are less relevant I in the current LD	Improve LD	LD-2	<ul style="list-style-type: none"> Remove some Indicators are irrelevant and add other relevant Indicators in the LD For O1,O2 Forest inspection and a minute of a municipality or a subdistrict administrative organization meeting identifying there is not opposed by the people living in the community when issuing or renewing a permit. For O1,O2,O3 No environmental requirement on planting and maintaining the plantation. Need to explore a Good environment Practice. 	<ul style="list-style-type: none"> For O1 RFD regulation on criteria, procedure and condition to use the forest land for government activities within the Reserved Forest Land B.E. 2548 Clause 8 RFD Regulation on applying for permission to utilize or livelihood within the national reserved forest B.E. 2548 Clause 8, 11, 19 RFD Regulation on applying for permission to develop a plantation or planting trees within the national reserved forest B.E. 2548 Clause 9,17 RFD regulation on criteria, and condition to permit for utilization and livelihood in the Restored Forest Zone, B.E. 2530 For O2 Ministerial regulation on application and permission of utilization in forest area, 2013 	All elements in C4.1 and 4.2 of O1 and C4.1 of O2

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
						Section 9, 12	
2	9.3	Identify I as specified in the Factory Act	Add relevant requirements under the Factory Act into the LD	LD-2	<ul style="list-style-type: none"> ● For O5 <ul style="list-style-type: none"> ● Improve the language of Indicator on hazardous and the related elements ● Add new Indicators and the related elements on <ol style="list-style-type: none"> 1. System of management and suppression of pollution (water, air) 2. System of management, disposal, stowage and control of industrial waste 3. Protection procedure of disturbed incident, example for noise, light, quake 	<p>Factory Act, B.E. 2535 Section 8 Ministry regulation No.2 (2535) under Factory Act B.E. 2535.</p>	<ul style="list-style-type: none"> ● All elements in C3.2 of O5 (Recommendation: Need to sharing information with various regulator under TLAS)
3	9.4	The current LD is does not include I and V under the Public Health Act, B.E. 2535 Section 31, 32 and its	Add to the LD	LD-2	Improve on environmental requirement please see Section 7(2) above	-	-

No.	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
		announcement					

8. Findings related to Chainsaw Regulations (Section 5.13)

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	11.1	There is not a main issue to determine a legality of timber. If the timber is harvested by a chainsaw which without a certificate, this means that timber will be identify that illegal timber or not.	Need to explore that this regulation should be a Thai legal requirement or not. But this requirement does not need to include in the LD.	LD-1	Remove from the LD because 1. Use of illegal chainsaw does not effect to a legality of harvested timber. The timber is not confiscated. 2. The reason to announce the Chainsaw Act is improving the measure to protect a forest as per a policy of that government but, currently, a situation is changed.	-	-

9. Chain of Custody Issues – CITES (Section 5.17)

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	15.2	The current LD does not reflect some requirement to verify the CITES species	Add to LD	LD-2	<ul style="list-style-type: none"> There is a legal requirement to verify the CITES Complete all elements of this Indicator. 	<p>Plant Variety Act, B.E. 2518 Section 29ter.</p> <p>A procedure is specified in Notification of Agricultural Department on criteria, procedure and condition for import, export or transit a conserved plant and its derivatives, under Plant Variety Act, B.E. 2518, B.E. 2547 (This Notification is not included in the revised LD because it is not a main legal requirements of the specific indicators)</p>	O4-1.1.2 and O6-1.2.3

B. LD Revision as per specific issues founded in this task

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	-	To review all source of timber	-	LD-1	<ul style="list-style-type: none"> Add other legal sources of timber for commercial purpose are missing from the previous LD (Other than which are recommended by FT report) New Verifiers are O2: Kor Sor Nor 3 and Kor Sor Nor 5 O3: Sor Cor 1 	These Verifiers are issued by Land for the Livelihood Act or Land Code that referred in the LD	O2-1.1.1: V O3-1.1.1: V
2	-	To reflect specific requirements for rubber	-	LD-1,2	<ul style="list-style-type: none"> There are some specific legal requirements for rubber and other specified 13 species. These should reflect in the LD Add new Indicators: An operator who processes rubber and other specified 13 species must possess timber to process only for these 14 species. Transportation of this timber must have a specific movement document designed for these 14 species. Modify VP to reflect the different movement document. Identify an exception for rubber that can export round log or process timber without an RFD certificate for export. 	Regulation No. 11, (1972) issued under Forestry Act, 1941 on the control of the sawmills, using wood processing machinery	O5-2.2.2: all O5-2.2.3 and O6-2.1.2: VP O6-1.2.2: V O6-2.2.1: I

No.	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
3	-	To add related requirements on Import and Export Declaration	-	LD-2	<ul style="list-style-type: none"> • There is a legal requirement to declare details and/or specific documents of any goods importing in or exporting out the Kingdom • There is a process of import round log and processed timber inspection by RFD and Custom officer • Add new Indicators for import or export declaration of timber and timber product • Modify related Indicator on transport of importing timber in order to link with the import procedure. 	Custom Act B.E. 2560 (2017) Section 51	O4-1.1.1: all O4-2.1.2: all O6-1.2.1: all

C. LD Revision as per new related laws and regulations

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
1	-	Register a plantation	-	LD-2	<ul style="list-style-type: none"> There is a new Ministerial regulation under the Plantation Act which describe more details on a registration procedure. Add new Legal Reference. Add new Indicators on a right to harvest only the tree listed in a tree list has been registered. There is a legal requirement in Plantation Act (a procedure is described in the new regulation) but not include in the previous LD. 	Ministerial regulation on register and issuing a certificate of plantation registration, B.E. 2561	O1 O2 and O3-2.1.2: all
2	-	Apply for a permission to use a specific place for processing timber from any registered forest plantation	-	LD-2	<ul style="list-style-type: none"> There is a new Ministerial regulation under the Plantation Act which describe more details on a procedure to apply for a permission. Add new indicators on an operator legality to process the timber from registered forest plantation. There is a legal requirement in Plantation Act (a procedure is described in the new regulation) but not include in the previous LD. 	Ministerial regulation on applying for permission and permitting to use the location for processing the timber from their plantation, B.E. 2561	O5-1.1.2: all O5-2.1.1: all

No	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
3	-	Certificate of Forest Sustainable Management	-	LD-2	<ul style="list-style-type: none"> There is a new Ministerial regulation under the Plantation Act. A Plantation Entrepreneur has an entitle to apply for a certificate. RFD officer take a responsibility to audit on the field. Recommend to identify somewhere in TLAS elements. 	Ministerial regulation on applying and issuing a certificate of Forest Sustainable Management, B.E. 2561	Recommend to identify somewhere in TLAS elements.
4	-	Logging of Restricted Species	-	LD-1	<ul style="list-style-type: none"> An old Ministerial regulation under the Forest Act was repealed. Update a Legal Reference Person who issuing a document: Change to 'RFD DG' only 	Ministerial regulation on applying for permission and permitting for logging of restricted species, B.E. 2560	O1 and O2-2.2.1: 'Issued by' Column
5	-	Alien Worker	-	LD-1	<ul style="list-style-type: none"> A Legal Reference referred in the previous LD was repealed. A legal requirement mentioned in the previous LD is not changed. Update the Legal Reference 	Foreign Worker Management Royal Decree B.E. 2560 (2017) Section 9	O5-4.2.3: LR
6	-	Custom Act	-	LD-1,2	<ul style="list-style-type: none"> A Legal Reference referred in the previous LD was repealed. A related legal requirement mentioned in the previous LD is not changed. 	Custom Act B.E. 2560 (2017)	O4-1.1.1, O4-2.1.2: all O4-3.2.1: LR O6-3.2.1: all O6-3.2.1: LR

No.	Refer to Annex 3	Issues	Recommendation	Type	LD Revision		
					How?	Legal Reference (Need to add in LD)	Where?
					<ul style="list-style-type: none"> Update the Legal Reference (on Import and Export duty) Add new Indicators missing from the LD. Please see Section B(3) 	Section 13 Section 51	

Annex 5

Conclusion of LD revision

Topic		How	Refer to the revised LD	Refer to FT Report
1	Restructure the LD and improve the contents	<ul style="list-style-type: none"> • LD Matrix restructured to follow the existing supply chain. • Indicators (and associated verifiers) revised to reflect the linkage of each activity in the supply chain. • Missing, irrelevant or ineffective Indicators (associated verifiers) or Verification process added to achieve the LD purpose • Verification Process revised to clarify a procedure to reflect the linkage of each activity conducted by the Regulator. • New indicators (and related elements) added to reflect a role and function of the Regulator such as RFD survey report before issuing a land utilization permission. • LD Matrix format simplified to use 	Annex 5 List of revised LD Indicators and Annex 6 Revised LD Matrix	Section 5.3 A part of Section 5.4, 5.5, 5.6, 5.9, 5.17
2	LD covers all source of legal timber for commercial purpose	<p>Add evidences for proving right to access the land that are</p> <ul style="list-style-type: none"> • Conversion forest: Add an announcement of RFD DG on designing the boundary for specific administrative agencies or state organizations to use the area for Conversion forest in O1 • Add new verifiers for missing evidences of right to access the land in O2 • Reclaimed timber from old building: Add new indicators and related elements in O1, O2 and O3 (Remark: There is a problem in practice to apply for a transportation document.) • Timber under water: Subject to type of land (O1,2,3) • Urban tree and timber on the road side: The government department who has a right to access the land 	<ul style="list-style-type: none"> • O1-1.1.1: V, LR, VP • O1-2.2.2: all • O2-2.2.2: all 	<ul style="list-style-type: none"> • A part of Section 5.4 • New finding revealed in this task
3	Labour requirements	<ul style="list-style-type: none"> • Reflect a unique FIO requirement 	<ul style="list-style-type: none"> • Criteria on a Labour 	Section 5.5, 5.10

Topic		How	Refer to the revised LD	Refer to FT Report
	including OSHE	<ul style="list-style-type: none"> Remove labour requirements in O1,O2,O3 for non-FIO. Explore that how a Good Labour Practice is applied for forest sector. Improve Indicators for O5 as regulated by associated legal requirement specified in the Laboure Protection Law and OSHE Law. 	Protection and welfare obligation. (Recommendation: Explore how a Good Labour Practice Guidance of the Ministry of Labour will be applied for a forest sector.)	
4	Environmental requirements	<ul style="list-style-type: none"> Add new Indicators for survey a forest before issuing a permit to access the land including a public hearing permission No requirement for planting and maintaining a plantation. Explore to design a guidance. Improve Indicators for O5 as regulated by Foctory Act and associated regulation. 	Criteria on environmental and social obligation. Recommendation: 1. (For FIO) Include a standard that had met by FIO. 2. Explore a guidance on social and environmental responsibility for a forest sector.	5.11
5	Reflect a unique requirement for rubber and listed 13 species	<ul style="list-style-type: none"> There are some specific legal requirements for rubber and other specified 13 species. These should reflect in the LD Add new Indicators: An operator who processes rubber and other specified 13 species must possess timber to process only for these 14 species. Transportation of this timber must have a specific movement document designed for these 14 species. Modify VP to reflect the different movement document. Identify an exception for rubber that can export round log or process timber without an RFD certificate for export. 	<ul style="list-style-type: none"> O5-2.2.2: all O5-2.2.3 and O6-2.1.2: VP O6-1.2.2: V O6-2.2.1: I 	Raised by AHWG
6	Add new Indicators	<ul style="list-style-type: none"> There is a legal requirement to declare details and/or specific 	<ul style="list-style-type: none"> O4-1.1.1: all 	Raised by Consultant

Topic		How	Refer to the revised LD	Refer to FT Report
	for import and export customs clearance	<p>documents of any goods importing in or exporting out the Kingdom</p> <ul style="list-style-type: none"> • There is a process of import round log and processed timber inspection by RFD and Custom officer • Add new Indicators for import or export declaration of timber and timber product <p>Modify related Indicator on transport of importing timber in order to link with the import procedure.</p>	<ul style="list-style-type: none"> • O4-2.1.2: all • O6-1.2.1: all 	and agreed by stakeholders
7	Remove a chainsaw requirement from the LD	<ul style="list-style-type: none"> • Remove from the LD because <ol style="list-style-type: none"> 1. Use of illegal chainsaw does not affect to a legality of harvested timber. The timber is not confiscated. 2. The reason to announce the Chainsaw Act is improving the measure to protect a forest as per a policy of that government but, currently, a situation is changed. Government policy is promoting an economic tree planting, but a procedure to ask for permission is inappropriate to support the policy. • In a number of meeting, stakeholders raised that a requirement on a limitation of a permitted area to use a chainsaw is a burden to stakeholders. Therefore, RFD should explore that how the requirement should be improved in order to facilitate a chainsaw use for an operator and in accord with the economic tree planting policy. 	-	Section 5.13 Agreed by stakeholders
8	Update the LD as per new laws and regulation.	<ul style="list-style-type: none"> • A new Ministerial regulation under the Plantation Act which describe more details on a registration procedure. Add new Legal Reference. • A new Ministerial regulation under the Plantation Act which describe more details on a procedure to apply for a permission. • A new Ministerial regulation under the Plantation Act. A Plantation Entrepreneur has an entitle to apply for a certificate. RFD officer take a responsibility to audit on the field. 	<ul style="list-style-type: none"> • O1 O2 and O3-2.1.2: all • O5-1.1.2: all • O5-2.1.1: all <p>(Recommend to identify somewhere in TLAS elements.)</p>	Revealed in this task

	Topic	How	Refer to the revised LD	Refer to FT Report
		<ul style="list-style-type: none"> • An old Ministerial regulation on logging of restricted species was repealed. Update a Legal Reference. Person who issuing a document: Change to 'RFD DG' only • Update a new Legal Reference on alien worker. • Update a new Legal Reference on Custom duty 	<ul style="list-style-type: none"> • O1 and O2-2.2.1: 'Issued by' Column • O5-4.2.3: LR • O4-1.1.1, O4-2.1.2: all • O4-3.2.1: LR • O6-3.2.1: all • O6-3.2.1: LR 	

Annex 6

List of all revised indicators

OPERATOR 1 PUBLIC LAND (NATIONAL RESERVED FOREST) OPERATORS

Revised LD-O1	Refer to the previous LD
Principle 1: Operator Legality (including Land)	P1
Criteria 1.1: Operator's right to access land	C1.1
O1-1.1.1: An operator holds a written RFD permit to utilize the land within the boundary of a national reserved forest	Revised I1.1.1
Principle 2: Operator's Forest Management, Harvesting Obligations and Practices	P3
Criteria 2.1: Right to harvest (registered plantation)	C3.1
O1-2.1.1: A plantation entrepreneur registers a plantation only for planted trees.	Added
O1-2.1.2: A plantation entrepreneur has a right to cut or fell specific species and no more than the quantity of trees registered.	Added
O1-2.1.3: Before cutting or felling timber, a plantation entrepreneur provides notice to a local chief-district officer with a list of trees intended to be cut or felled.	Revised I3.1.1
Criteria 2.2: Right to Harvest (non- registered plantation)	Combined C3.2 + C3.3
O1-2.2.1: A logging permit holder harvests only specific species and quantity of tree as permitted in a selected tree list issued with the logging permit.	Combined I3.2.1 + I3.3.1
O1-2.2.2: For FIOs logging in a conversion forest, FIO harvests only specific species and quantity of tree as permitted in a selected tree list.	Added
Principle 3: Sourcing and Transportation of Timber	P2
Criteria 3.1: For timber derived from registered plantation	C2.2
O1-3.1.1: After harvesting timber, a plantation entrepreneur must use a registered seal to stamp, or to signify its ownership onto timber derived from its registered plantation.	Revised I2.2.1
O1-3.1.2: A person transporting timber out of a registered plantation holds a transportation document referring to an acknowledged certificate, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	Revised I2.2.2
O1-3.1.3: A transferee of timber must be named in the transportation document.	Added
Criteria 3.2: For timber derived from non-registered plantation	C2.3

Revised LD-O1	Refer to the previous LD
O1-3.2.1: A logging permit holder must pay a royalty in order to acquire timber (unless a specific logging permit identifying that it has been granted a royalty exemption).	Added
O1-3.2.2: An FIO logging timber that was planted by RFD budget must pay a timber price to RFD.	Added
O1-3.2.3: Timber derived from old building which is a timber of a restricted species, or timber with a name matching that of a restricted species, has been used as a construction material or related tool and has been in such state for more than 10 years for Teak or 5 years for other species, unless the minister announces a special requirement for a specific province extending the requirement up to 20 years.	Added
O1-3.2.4: A person transporting timber holds a transportation document referring to evidence of acquisition, declaring a list of timber, indicating the place where timber was loaded and the destination, and identifying the person responsible for the timber being transported.	Revised I2.3.2
O1-3.2.5: A transferee of timber must be named in the transportation document.	Added
Principle 4: Operator's Environment and Social Obligation	P6
Criteria 4.1: Investigation of forest and land utilization	C6.1
O1-4.1.1: Permission to use an area does not contravene any measures on watershed area, mangrove forest, natural resource on land and forest, view and wildlife.	Added
O1-4.1.2: Permission for Sor Tor Kor permit allowed for a person who utilized and lived in an area of deteriorated forest before the area was designated a restored forest zone and when such area is not within the specified boundary of a river source, a steep mountain, an area that poses a risk area to a threatened ecosystem or an area to preserve.	Added
Criteria 4.2: Social responsibility	Added
O1-4.2.1: Establishment of a plantation in a permitted area is not opposed by the people living in that community and around the permitted area and was agreed by a municipality or a subdistrict administrative organization.	Added
Principle 5: Operator's Welfare and Labour Protection Obligations	P4
Criteria 5.1: For state enterprise labourers (FIO)	C4.1
O1-5.1.1: FIO must comply with an agreement between FIO and employees which follows minimum labour standards.	Added
O1-5.1.2: FIO has provided a safety manual for workers following FIO's workplan on health, safety and workplace environment.	Added
O1-5.1.3: FIO has provided standard personal protective equipment appropriate for specific work for its worker and monitors the worker's use of such personal protective equipment.	Added
Principle 6: Operator's Tax, Fee & Other Payment Obligations	P5
Criteria 6.1: Forest sector payment (non- registered plantation)	C5.1
O1-6.1.1: Before obtaining a logging permit, an operator has paid logging permit fee.	Revised I5.1.2
O1-6.1.2: Before utilization of timber, a logging permit holder has paid royalties and forest maintenance fee (unless a specific logging permit identifying that it has been granted a royalty exemption).	Revised I5.1.1
O1-6.1.3: Before obtaining a transportation permit, the owner has paid transportation permit fees.	Revised I5.1.3

OPERATOR 2 PUBLIC LAND (OTHER THAN NATIONAL RESERVED FOREST AND PROTECTED FOREST) OPERATORS

Revised LD-O2	Refer to the previous LD
Principle 1: Operator Legality (including Land)	P1
Criteria 1.1: Operator's right to access land	C1.1
O2-1.1.1: An operator sourcing timber on public land (other than national reserved forest and protected forest) has a permit for doing specified activities in the forest area or a certificate issued by any government entity.	Revised I1.1.1
Principle 2: Operator's Forest Management, Harvesting Obligations and Practices	P3
Criteria 2.1: Right to harvest (registered plantation)	C3.1
O2-2.1.1: A plantation entrepreneur registers a plantation only for planted trees.	Added
O2-2.1.2: A plantation entrepreneur has a right to cut or fell specific species and no more than the quantity of trees registered.	Added
O2-2.1.3: Before cutting or felling timber, a plantation entrepreneur provides notice to a director of Private Reforestation Division or a local chief-district officer with a list of trees intended to be cut or felled.	Revised I3.1.1
Criteria 2.2: Right to harvest (non-registered plantation)	C3.3
O2-2.2.1: A logging permit holder harvests only specific species and quantity of trees as permitted in a selected tree list issued with the logging permit.	Revised I3.3.1
O2-2.2.2: For FIOs logging in a conversion forest, FIO harvests only specific species and quantity of tree as permitted in a selected tree list.	Added
Principle 3: Sourcing and Transportation of Timber	P2
Criteria 3.1: For timber derived from registered plantation	C2.2
O2-3.1.1: After harvesting timber, a plantation entrepreneur must use a registered seal to stamp or to signify its ownership onto timber derived from its registered plantation.	Revised I2.2.1
O2-3.1.2: A person transporting timber out of a registered plantation holds a transportation document referring to an acknowledged certificate, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	Revised I2.2.2
O2-3.1.3: A transferee of timber must be named in the transportation document.	Added
Criteria 3.2: For timber derived from non-registered plantation	C2.3
O2-3.2.1: For restricted species, a Logging Permit holder must pay a royalty in order to acquire timber (unless a specific logging permit identifying that it has been granted a royalty exemption).	Revised I2.3.1
O2-3.2.2: For unrestricted species, an acquisition of timber is certified a legitimate of timber.	Revised I2.3.2

Revised LD-O2	Refer to the previous LD
O2-3.2.3: Timber derived from old building which is a timber of a restricted species, or timber with a name matching that of a restricted species, has been used as a construction material or related tool and has been in such state for more than 10 years for Teak or 5 years for other species, unless the minister announces a special requirement for a specific province extending the requirement up to 20 years.	Added
O2-3.2.4: A person transporting timber holds a transportation document referring to evidence of acquisition, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	Revised I2.3.3
O2-3.2.5: A transferee of timber must be named in the transportation document.	Added
Principle 4: Operator's Environment and Social Obligation	Added
Criteria 4.1: Investigation of forest and land utilization	Added
O2-4.1.1: Permission to use an area does not contravene any measures on watershed area, and is not for an abundant forest, an area to preserve for wildlife habitat, or an area where utilization is prohibited.	Added
Principle 5: Operator's Welfare and Labour Protection Obligations	P4
Criteria 5.1: For state enterprise labourers (FIO)	Added
O2-5.1.1: FIO must comply with an agreement between FIO and employees which follows minimum labour standards.	Added
O2-5.1.2: FIO has provided a safety manual for workers following FIO's workplan on health, safety and workplace environment.	Added
O2-5.1.3: FIO has provided standard personal protective equipment appropriate for specific work for its worker and monitors the worker's use of such personal protective equipment.	Added
Principle 6: Operator's Tax, Fee & Other Payment Obligations	P5
Criteria 6.1: Forest sector payment (non-registered plantation)	C5.1
O2-6.1.1: For restricted species, before obtaining a logging permit, the operator has paid logging permit fee.	Revised I5.1.2
O2-6.1.2: For restricted species, before utilization of timber, a logging permit holder has paid royalties and forest maintenance fee (unless a specific logging permit identifying that it has been granted a royalty exemption).	Revised I5.1.1
O2-6.1.3: For unrestricted species, an operator has paid a fee before timber arrives at the first RFD checkpoint.	Added
O2-6.1.4: Before obtaining a transportation permit, the owner has paid transportation permit fee.	Revised I5.1.3

OPERATOR 3 PRIVATE LAND OPERATORS

Revised LD-O3	Refer to the previous LD
Principle 1: Operator Legality (including Land)	P1
Criteria 1.1: Operator's right to access land	C1.1
O3-1.1.1: An operator sourcing timber on private land must be a land owner or a land tenant.	I1.1.1
Principle 2: Operator's Forest Management, Harvesting Obligations and Practices	P3
Criteria 2.1: Right to harvest (registered plantation)	C3.1
O3-2.1.1: A plantation entrepreneur has a right to cut or fell specific species and no more than the quantity of trees registered.	Added
O3-2.1.2: Before cutting or felling timber, a plantation entrepreneur provides notice to the registrar with a list of trees intended to be cut or felled.	Revised I3.1.1
Criteria 2.2: Right to harvest (non-registered plantation)	C3.2
O3-2.2.1: For restricted species, a logging permit holder harvests only specific species and quantity of trees as permitted in a selected tree list issued with the logging permit.	Revised I3.2.1
Principle 3: Sourcing and Transportation of Timber	P2
Criteria 3.1: For timber derived from registered plantation	C2.2
O3-3.1.1: After harvesting timber, a Plantation Entrepreneur must use a registered seal to stamp or to signify its ownership onto timber derived from its registered plantation.	Revised I2.2.1
O3-3.1.2: A person transporting timber out of a registered plantation holds a transportation document referring to an acknowledged certificate, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	Revised I2.2.2
O3-3.1.3: A transferee of timber must be named in the transportation document.	Added
Criteria 3.2: For timber derived from non-registered plantation	C2.3
O3-3.2.1: A logging permit holder must pay a royalty in order to acquire timber (unless a specific logging permit identifying that it has been granted a royalty exemption).	Revised I2.3.1
O3-3.2.2: Timber derived from old building which is a timber of a restricted species, or timber with a name matching that of a restricted species, has been used as a construction material or related tool and has been in such state for more than 10 years for Teak or 5 years for other species, unless the minister announces a special requirement for a specific province extending the requirement up to 20 years.	Added
O3-3.2.3: A person transporting timber holds a transportation document referring to evidence of acquisition, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	Revised I2.3.2
O3-3.2.4: A transferee of timber must be named in the transportation document.	Added
Principle 4: Operator's Tax, Fee & Other Payment Obligations	Added
Criteria 4.2: For timber derived from non-registered plantation	Added

Revised LD-03	Refer to the previous LD
O3-4.1.1: For restricted species, before obtaining a logging permit, the operator has paid a logging permit fee.	Added
O3-4.1.2: For restricted species, before utilization of timber, a logging permit holder has paid royalties and forest maintenance fee (unless a specific logging permit identifying that it has been granted a royalty exemption).	Added
O3-4.1.3: Before obtaining a transportation permit, the owner has paid transportation permit fee.	Added

OPERATOR 4 IMPORTED TIMBER OPERATORS

Revised LD-O4	Refer to the previous LD
Principle 1: Operator Legality (including Land)	Added
Criteria 1.1: Operator's right to import	Added
O4-1.1.1: An operator intending to import timber or timber products must declare a detail of importing goods and submit specified documents to the Custom Department.	Added
O4-1.1.2: Import of CITES listed species, an operator must be permitted by the Department of Agriculture.	Revised I2.1.2
Principle 2: Sourcing and Transportation of Timber	P2
Criteria 2.1: For timber derived from non-registered plantation	C2.1
O4-2.1.1: An importer must comply with import customs clearance requirements in order to demonstrate legitimate acquisition of timber.	Added
O4-2.1.2: A transporter who transports round timber or processed timber holds a transportation document referring to evidence of acquisition, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	Revised I2.3.1
Principle 3: Operator's Tax, Fee & Other Payment Obligations	P5
Criteria 3.1: Forest sector payment (non-registered plantation)	C5.1
O4-3.1.1: Before obtaining a transportation permit, the owner has paid transportation permit fees.	Revised I5.1.1
Criteria 3.2: Duty payment (non-forest sector payment)	C5.2
O4-3.2.1: Before inspection and release of cargo, an operator has paid duties on importing goods.	Revised I5.2.1

OPERATOR 5 PROCESSING AND PRODUCTION OPERATORS

Revised LD-O5	Refer to the previous LD
Principle 1: Operator Legality (including Land)	P1
Criteria 1.1: Right to process timber under the Plantation Act	C1.2
O5-1.1.1: A plantation entrepreneur has a right to process timber derived from its registered plantation without a processing permit.	Added
O5-1.1.2: A plantation entrepreneur holds a permit to use a specified place to process timber derived from any registered plantation, and prepare an updated a processing place recordkeeping.	Revised I1.2.1
Criteria 1.2: Right to process timber under the Forest Act	Added
O5-1.2.1: An operator intending to establish a processing factory has been permitted by RFD and prepares an updated a factory recordkeeping.	Revised I1.2.2
O5-1.2.2: An operator processing restricted species temporarily has a certain timber that he or she is intending to process and is permitted to process that timber for not more than 90 days per permit.	Added
Principle 2: Sourcing and Transportation of Timber	P2
Criteria 2.1: Process a timber under the Plantation Act	C2.2
O5-2.1.1: A processing place permit holder processes timber from registered plantation only.	Added
O5-2.1.2: A person transporting timber out of a registered plantation holds a transportation document referring to an acknowledged certificate, declaring a list of processed timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	Revised I2.2.2
O5-2.1.3: A transferee of timber must be named in the transportation document.	Added
Criteria 2.2: Process a timber under the Forest Act	C2.2
O5-2.2.1: A processing permit holder possesses and processes a timber with an evidence of legitimate acquisition.	Added
O5-2.2.2: For a factory to process rubber and listed species, a processing permit holder possesses and processes only rubber and listed species as specified by the law with an evidence of legitimate acquisition.	Added
O5-2.2.3: For processed timber and/or a timber product made from restricted species departing from a warehouse, a transporter holds a transportation document referring to evidence of acquisition, recording a list of a processed timber and/or timber products, indicating the place where the processed timber and/or the timber products were loaded and destination, and identifying the person responsible for the timber being transported.	Added
O5-2.2.4: For any processed timber made from non-rubber and non-listed species, that is being transported out of a boundary of province or provincial cluster, a transporter holds a transportation permit referring to evidence of acquisition, recording a list of a processed timber and/or timber product, indicating the place where a processed timber and/or timber product was loaded and destination, and the person responsible for the timber being transported.	Added
O5-2.2.5: For timber product made from unrestricted species, an operator issues an invoice recording a list of timber products being sold, conforming to a warehouse recordkeeping.	Added

Revised LD-05	Refer to the previous LD
O5-2.2.6: A transferee of processed timber and/or timber product must be named in the transportation document.	Added
Principle 3: Operator's Environment and Social Obligation	P6
Criteria 3.1: Control of hazardous substance use	C6.2
O5-3.1.1: A factory operation licensee, who possesses a hazardous substance of a kind and in the quantity specified by the law, holds a hazardous substance license and reports hazardous substance storage to the responsible regulator.	Revised I6.2.1
Criteria 3.2: Protection of environmental and social impact	Added
O5-3.2.1: A factory operation licensee installs system for controlling the discharge of waste, pollutants or anything affecting the environment as a result of the factory operation.	Added
O5-3.2.2: A factory operation licensee has in place measure to prevent distress from sound, smell and vibration that may happen to people or property in the factory or its vicinity.	Added
O5-3.2.3: A factory operation licensee has a system for controlling or eliminating of industrial waste.	Added
Criteria 3.3: Mitigation of environmental and social impact	C6.3
O5-3.3.1: A factory operation licensee who produces more than 50 tons per day of paper, cardboard, or paper fiber used for the production of construction materials, monitors a discharge of water and air pollution not more than a standard specified rate.	Revised I6.3.1
O5-3.3.2: An operator applying for a factory license who produces more than 50 tons per day of paper, prepare an Environmental Impact Assessment (EIA) report.	Revised I6.3.2
O5-3.3.3: A factory operation licensee who produces more than 50 tons per day of paper, monitors compliance with the EIA.	Revised I6.3.2
Principle 4: Operator's Welfare and Labour Protection Obligations	P4
Criteria 4.1: For state enterprise labourers (FIO)	Added
O5-4.1.1: FIO must comply with an agreement between FIO and employees which follows minimum labour standards.	Added
O5-4.1.2: FIO has provided a safety manual for workers following FIO's workplan on health, safety and workplace environment.	Added
O5-4.1.3: FIO has provided standard personal protective equipment appropriate for specific work for its worker and monitors the worker's use of such personal protective equipment.	Added
Criteria 4.2: Labour protection of private sector.	C4.1
O5-4.2.1: An operator who employs 10 or more employees has submitted a filled work condition and workplace environment form to the Department of Labour Protection and Welfare annually.	Revised I4.1.1
O5-4.2.2: An operator who employs 10 or more employees has prepare a documentation of wage and associated payments which shows a total of payment not less than a minimum wage specified in the law.	Revised I4.1.2
O5-4.2.3: An operator employs no children under the age of 15 years.	I4.2.1
O5-4.2.4: An operator employs no alien worker unless the alien holds a permit granting authorization to work.	Revised I4.3.1
Criteria 4.3: Occupational safety, health, and environment in private sector	C4.4

Revised LD-O5	Refer to the previous LD
O5-4.3.1: An employer who possesses a chemical hazard prepare a list of chemical hazards and a system for prevention and control of hazardous chemical substances in the air.	Added
O5-4.3.2: An employer prepares a standard personal protection equipment appropriately for specific work for its employees and monitors that the employees use the personal protection equipment all the time they work.	Added
O5-4.3.3: An employer provides a medical check for its employees who work with any risk factor, such as medical hazards, heat, voice or dust, at least one time per year.	Added
O5-4.3.4: An employer conducts a primary fire-fighting training and a fire safety training for its employees.	Added
Principle 5: Operator's Tax, Fee & Other Payment Obligations	P5
Criteria 5.1: Forest sector payment (non-registered plantation)	C5.1
O5-5.1.1: Before obtaining a permit for processing timber, an operator has paid a permit fee.	I5.1.1
O5-5.1.2: Before obtaining a transportation permit, the owner has paid transportation permit fee.	I5.1.2

OPERATOR 6 TRADE AND EXPORT OPERATORS

Revised LD-O6	Refer to the previous LD
Principle 1: Operator Legality (including Land)	P1
Criteria 1.1: Operator's right to trade of timber and timber product	C1.2
O6-1.1.1: An operator, trading a processed timber and/or a timber product derived from restricted species, holds a trading place permit and provides an updated warehouse recordkeeping.	Revised I1.2.1
Criteria 1.2: Operator's right to export	C1.3
O6-1.2.1: An operator intending to export timber or timber products must declare the details of goods being exported and submit specified documents to the Custom Department.	Added
O6-1.2.2: An operator intending to export round logs or processed timber as specified in the Announcement of the Ministry of Commerce must hold an export permit issued by the Department of Foreign Trade.	Revised I1.3.1
O6-1.2.3: Export of CITES listed species, an operator must be permitted by the Department of Agriculture.	Revised I1.3.2
Principle 2: Sourcing and Transportation of Timber	P2
Criteria 2.1: Sourcing and transportation of timber for trade	Combined C2.2 + C2.3
O6-2.1.1: A permit holder possesses only timber with evidence of legitimate acquisition.	Combined I2.2.1 + I2.3.1
O6-2.1.2: For any processed timber and/or a timber product made from restricted species departing from a warehouse, a transporter holds a transportation document referring to evidence of acquisition, recording a list of a processed timber and/or timber products, indicating the place where the processed timber and/or the timber products were loaded and destination, and identifying the person responsible for the timber being transported.	Combined I2.2.2 + I1.2.2
O6-2.1.3: For any processed timber made from non-rubber or non-listed species, that is being transported out of a boundary of province or provincial cluster, a transporter holds a transportation permit referring to evidence of acquisition, recording a list of a processed timber and/or timber product, indicating the place where a processed timber and/or timber product was loaded and destination, and the person responsible for the timber being transported.	Added
O6-2.1.4: For timber product made from unrestricted species, an operator issues an invoice recording a list of timber products being sold, conforming to a warehouse recordkeeping.	Added
O6-2.1.5: A transferee of processed timber and/or timber product must be named in the transportation document.	Added
Criteria 2.2: Sourcing and transportation of timber for export	Added
O6-2.2.1: An operator intending to export a round logs or processed timber as specified in the Announcement of the Ministry of Commerce (except for rubber) must be certified as a source of timber by RFD	Added
Principle 3: Operator's Tax, Fee & Other Payment Obligations	P5

Revised LD-O6	Refer to the previous LD
Criteria 3.1: Forest sector payment. (non-registered plantation)	C5.1
O6-3.1.1: Before obtaining a trading place permit, an operator has paid a permit fee.	Added
O6-3.1.2: Before obtaining a transportation permit, the owner has paid transportation permit fee.	Revised I5.1.1
Criteria 3.2: Duty Payment (non-forest sector payment)	C5.2
O6-3.2.1: Before inspection and release of cargo, an operator has paid duties on importing goods.	Revised I5.2.1

ANNEX 7

A Draft of Legality Definition of Timber Annex

Part 1: LD Guideline

To determine whether timber or timber products that are sold on the domestic market or are exported are legal, the harvesting, processing, trading and exporting of such timber and timber products must conform to laws shown in this LD matrix.

LD Components

(1) Operator

The LD matrix classifies operators engaging in the forest sector as follows:

Operator 1: Public Land (National Reserved Forest)

Operator means a person who plants and maintains trees, and logging on national reserved forest, including a person who takes timber out of land where trees grow or a place of gathering a harvested timber.

Operator 2 Public Land (other than national reserved forest and protected forest)

Operator means a person who plants and maintains trees, and logging on public land that is not national reserved forest and protected forest, including a person who takes timber out of land where trees grow or a place of gathering a harvested timber.

Operator 3 Private Land

Operator means a person who plants and maintains trees and logs on their own land and land of property right, including land with an acknowledged letter of possessive letter (Sor Cor 1) or a pre-emptive certificate (Nor Sor 2), and a person who takes timber out of land where trees grow or a place of gathering a harvested timber.

Operator 4 Imported Timber

Operator means a person who operates a business related to importing timber into the kingdom of Thailand, including a person who takes timber and timber products out of the custody of customs.

Operator 5 Processing and Production

Operator means a permit holder of establishment of a timber processing factory, a timber processing permit holder, or a plantation entrepreneur who is permitted to process plantation timber, including a person who takes processed timber and timber products out of a processing factory or a processing place.

Operator 6 Export and Trade

Operator means a permit holder of establishment of a trading place of processed timber, a trading operator of timber products, and an exporter, including a person who takes timber and timber products out of a trading place or a storing place.

(2) Principle and Criteria

Timber legality must be considered for all 6 principles comprehensively. Each operator does not need indicators for every principle, but it relies on the context of each enterprise.

Each principle subdivides criteria referring to specific legal requirements for each operation.

Principle	Criteria	O1	O2	O3	O4	O5	O6
(1) Principle 1: Operator Legality (including Land)	Operator's right to access land	√	√	√	-	-	-
	Operator's right to import/export	-	-	-	√	-	√
	Right to process timber under the Plantation Act	-	-	-	-	√	-
	Right to process timber under the Forest Act	-	-	-	-	√	-
(2) Operator's Forest Management, Harvesting Obligations and Practices	Right to harvest (registered plantation)	√	√	√	-	-	-
	Right to Harvest (non- registered plantation)	√	√	√	-	-	-
(3) Sourcing and Transportation of Timber	Requirement of the Plantation Act	√	√	√		√	√
	Requirement of the others Act.	√	√	√	√	√	√
(4) Operator's Environment and Social Obligation	Investigation of forest and land utilization	√	√	-	-	-	-
	Social responsibility	√	-	-	-	-	-
	Control of hazardous substance use	-	-	-	-	√	-
	Protection of environmental and social impact	-	-	-	-	√	-
(5) Operator's Welfare and Labour Protection Obligations	Mitigation of environmental and social impact	-	-	-	-	√	-
	For state enterprise labourers (FIO)	√	√	-	-	√	-
	Labour protection of private sector.	-	-	-	-	√	-
(6) Operator's Tax, Fee & Other Payment Obligations	Occupational safety, health, and environment in private sector	-	-	-	-	√	-
	Forest sector payment (non-registered plantation)	√	√	√	√	√	√
	Duty Payment (non-forest sector payment)	-	-	-	√	-	√

(3) Indicator and Verifier

An indicator is based on a key legal requirement to monitor any activity of an operator. They are used to verify a legality of timber in a supply chain. A verifier is used to prove that the operators follow the indicator in every case.

The indicator and the verifier must be verified by a competent officer through legal procedures and process.

(4) Verification Process

The verification processes described in the LD show the procedure, practice, and a competent officer to control and monitor indicator compliance, including frequency of verification of given indicator compliance.

Part 2: Definition

In this Annex, the following terms are defined as follows:

“Provincial Cluster” means Nonthaburi, Nakhon Pathom, Ang Thong, Pathum Thani, Phra Nakhon Si Ayutthaya, Samut Sakhon, Samut Songkhram, Samut Prakan, Sing Buri, and Bangkok.

“Logging” means cutting, chopping, pruning, felling, trimming, sawing, shaping, digging, pulling, and dragging, of timber in forest or taking out of a forest for any purposes.

“Transportation Permit” means a document for transporting timber, timber product and imported timber. It is issued by a Royal Forest Department officer or a provincial Natural and Resources and Environment officer.

“Opened forest for land use” (or **“Conversion Forest”**) means a forest permitted for a particular land use pursuant to a government agency’s control or laws when there is a governmental project or a governmental plan for land use.

“A plantation entrepreneur” means a person who receives a certificate of registered land as a plantation under the Plantation Act, including a person who submits a request for receiving a transferred registered plantation.

“Processed Timber” means timber that has been processed. The term also includes timber in the form of building material; or timber that has been used in building that does not conform to typical characteristics of building; or is used as equipment that does not conform to typical characteristics of equipment in that geographic area;

Timber in the form of a building or equipment shall not be considered processed timber for the duration it is in such form. This applies to non-teak that the owner has proven has been in that form for five years, and teak that the owner has proved has been in that form for ten years.

“Timber that has been in form of a building or equipment (including boat, cart)” (or **“Old building”**) means timber of a restricted species, or timber with a name matching that of a restricted species, that was used as building material or equipment and has been in such form for more than 10 years for Teak or 5 years for other species, unless the minister announces a special requirement for a specific province extending the requirement up to 20 years.

“Rubber and other 13 Species” (or **“rubber and listed species”**) means rubber, eucalyptus, neem, common ironwood, ironwood horsetail, earleaf acacia, brown salwood, leucaena, coconut, tamarind, rambeh , gandaria, east indian walnut, sugar palm tree.

“Restricted Species” means Teak, Yang, Ching-Chun, Ked-Daeng, E-mang, Payoong-Klap, Kra-pi, daeng-Jeen, Kha-Yoong, Chik, Kra-Sik, Kra-Sib, Pa-yoong, Mhark-Plu-Takka-Taen, Kra-Pi-Khao-Kwai, Ked-Dum, E-Thao, and Ked-Khao-Kwai regardless of where they grow in the Kingdom of Thailand and species in forest area of any provinces in the Kingdom of certain species specified in an appendix of Royal Decree on Restricted Species B.E. 2530 (1987).

“Timber Product” means a thing made from timber, not processed timber.

“Registered Plantation” means land that is registered in accordance with Plantation Act B.E. 2535 (1992) in order to plant and maintain listed trees as specified in an appendix of the Act.

“Movement Document” means a document for transporting processed timber, processed rubber (including 13 listed species), and timber products made from restricted timber. It is issued by a permit holder of establishment of a processed timber factory or a permit holder of establishment of a trading place. A legitimate movement document form must be registered with a competent officer.

“Transportation Documents” means any document for transporting timber and timber product including Transportation Permit, Movement Document, and any document issued by a seller or an authority as specified in LD matrix.

Part 3: Legality Definition Matrix

OPERATOR 1 PUBLIC LAND (NATIONAL RESERVED FOREST) OPERATORS

Principle 1: Operator Legality (including Land)			
Criteria 1.1: Operator's right to access land			
Indicator	Verifier	Issued by	Legal reference
O1-1.1.1: An operator holds a written RFD permit to utilize the land within the boundary of a national reserved forest	1) Announcement of RFD director general designing an area for a utilization of administrative agency or state organization	RFD director general	National Reserved Forest Act, 1964 Section 13/1, 16, 16 bis, 16 tres, 20 Resolution of cabinet on 3 rd March, 1992 amended by resolution of cabinet on 9 th March, 1993.
	2) The forest or tree plantation Written Permit on National Reserved Forest land (Por Sor 31)	RFD director general	
	3) Utilizing or living Written Permit on National Reserved Forest land (Por Sor 23)	RFD director general	
	4) The Written Permit for utilizing and living on deteriorated national reserved forest (Sor Tor Kor 1 Kor, Sor Tor Kor 2 Kor) The Written Permit to do forest or tree plantation on deteriorated National Reserved Forest (Sor Thor Kor 1 Khor) from RFD director general or the Council of Ministers.	RFD director general	
	5) Memorandum of understanding between RFD and FIO	RFD director general and FIO	
<p>Description of Verification Process: <i>In case of an administrative agency or state organization's utilization:</i> When logs must be logged and taken out of permitted area, an administrative agency or state organization must inform a provincial governor. A provincial governor checks that the area is consistent with the permitted area where there is a project or a plan for land use. An RFD officer further checks the area.</p> <p><i>In case of others:</i> An operator who wishes to register a plantation or requests permission for logging must show a legally-required evidence from RFD together with a request. If a competent officer finds that the evidence is legal and effective, a competent officer surveys area that is registered as a plantation or that is the subject of the request for permission for logging. (Por Sor 23 and an MoU, which uses private sector's budget to plant, between RFD and an operator cannot be registered as a plantation.)</p> <p>Verification means: 1. Documentary review</p>			<p>Verified by: Provincial Natural Resources and Environment officer</p> <p>Frequency: Per registration of plantation or application of logging</p>

2. Field inspection			
Principle 2: Operator's Forest Management, Harvesting Obligations and Practices			
Criteria 2.1: Right to harvest (registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O1-2.1.1: A plantation entrepreneur registers a plantation only for planted trees.	Report on location, land environment and species size and amount of tree naturally growing.	Provincial Natural Resources and Environment officer	Plantation Act,1992 Section 6, 7
<p>Description of Verification Process: After a request for registration is submitted, a provincial Natural Resources and Environment officer inspects the land to determine whether trees naturally grow. If yes, a list of trees growing naturally must be provided and those trees must not be registered.</p> <p>This process shows that trees registered under the Plantation Act must be planted only.</p> <p>Verification means: Field inspection</p>			<p>Verified by: Provincial Natural Resources and Environment officer</p> <p>Frequency: Per registration of plantation</p>
Indicator	Verifier	Issued by	Legal reference
O1-2.1.2: A plantation entrepreneur has a right to cut or fell specific species and no more than the quantity of trees registered.	1) Certificate of plantation registration (Sor Por 3)	Plantation registrar that is provincial governor	Plantation Act,1992 Section 6 Ministerial Regulation on an application for registering a plantation and issuing a certificate of registered plantation, 2018
	2) List of species and amount of planted and maintained trees.	Plantation entrepreneur	
	3) Notification of harvesting timber in registered plantation. (Sor Por 12)	Plantation entrepreneur	
<p>Description of Verification Process: After a registrar accepts a registration, a registrar issues a certificate of plantation registration (Sor Por 3). Additionally, a plantation entrepreneur must provide and deliver a list of trees showing species and amount of planted and maintained trees to a registrar. If there are some changes of species or amount later, a request must be submitted to a registrar. Moreover, a plantation entrepreneur has a right to fell only trees in accordance with a tree account submitted to a registrar.</p> <p>After a plantation entrepreneur submits a form of felling trees, a provincial Natural Resources and Environment officer checks whether it is consistent with a submitted account, and provides a comment to a district-chief officer.</p> <p>Verification means: Documentary review</p>			<p>Verified by: Provincial Natural Resources and Environment officer</p> <p>Frequency: Per notification of harvesting timber</p>
Indicator	Verifier	Issued by	Legal reference
O1-2.1.3: Before cutting or felling timber, a plantation entrepreneur provides notice to a local chief-district officer with a list of trees intended to be cut or felled.	Acknowledged Certificate on harvesting a tree (Sor Por 13)	Local chief-district officer	Plantation Act,1992 Section 11, 12

<p>Description of Verification Process: If a plantation entrepreneur wishes to fell trees, a plantation entrepreneur must provide a report to a district-chief officer. If a report is consistent with an account, a district-chief officer issues an acknowledged certificate on harvesting a tree from plantation. Furthermore, a plantation entrepreneur must keep the certificate at a plantation in order to show to a competent officer when getting checked.</p> <p>Verification means: Documentary review</p>			<p>Verified by: Provincial Natural Resources and Environment officer</p> <p>Frequency: Per notification of harvesting timber</p>
Criteria 2.2: Right to Harvest (non- registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O1-2.2.1: A logging permit holder harvests only specific species and quantity of tree as permitted in a selected tree list issued with the logging permit.	Logging permit with a list of selected trees to harvest	<p>For unrestricted species: provincial governor</p> <p>For restricted species in category A: RFD director general</p> <p>For restricted species in category B: Minister of Natural Resources and Environment</p>	<p>National Reserved Forest Act, 1964 Section 15</p> <p>Forest Act, 1941 Section 6,7,11</p>
<p>Description of Verification Process: Before issuing a logging permit, a competent officer and an applicant surveys only trees that need permission, marks the timber, and provides a list of selected trees to harvest. After the trees are felled and before timber is dragged to a place of gathering harvested timber, a competent officer checks whether the felled timber is consistent with a timber account attached to a permit, marks a personal marking (Tor marking), an order of number and a dragging marking on the stub of each timber, and provides a list of timber dragging in order that an authorized officer is able to calculate a royalty.</p> <p>Verification means: 1. Documentary review 2. Field inspection</p>			<p>Verified by: For unrestricted species: Provincial Natural Resources and Environment officer For restricted species: RFD officer</p> <p>Frequency: Per harvesting timber</p>
Indicator	Verifier	Issued by	Legal reference
O1-2.2.2: For FIOs logging in a conversion forest, FIO harvests only specific species and quantity of tree as permitted in a selected tree list.	Notification on informing FIO to conduct a logging with a list of selected trees to harvest	Provincial governor	<p>National Reserved Forest Act, 1964 Section 19</p> <p>RFD regulation to specify criteria, methods and conditions to use the specific area for governmental activities or other benefit of a specific administrative agency or state organization within the</p>

			National Reserved Forest boundary, 2005 Clause 11 RFD regulation on the survey and logging in the area cleared for utilization of the land, 1982
<p>Description of Verification Process: After a provincial governor is informed by an approved applicant of land use that it needs to harvest and take timber out of a forest for land use, a provincial officer informs an RFD officer to survey trees in a conversion forest, marks the timber, and provides a list of selected trees to harvest. Furthermore, a provincial governor sends a letter to FIO to authorize them to proceed felling and removing the timber, and attaches a list of selected trees to harvest. If FIO fells and takes timber out of a conversion forest, FIO must mark FIO's forest marking on timber instead of an RFD dragging marking.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: RFD officer</p> <p>Frequency: Per harvesting timber</p>
Principle 3: Sourcing and Transportation of Timber			
Criteria 3.1: For timber derived from registered plantation			
Indicator	Verifier	Issued by	Legal reference
O1-3.1.1: After harvesting timber, a plantation entrepreneur must use a registered seal to stamp, or to signify its ownership onto timber derived from its registered plantation.	1) Certificate of seal registration (Sor Por 8)	Plantation registrar that is provincial governor	Plantation Act,1992 Section 9, 13
	2) In case of a seal used through hammering, there must be a certificate of stamp (Sor Por 9)	Plantation registrar that is provincial governor	
<p>Description of Verification Process: After the trees are harvested and before timber is taken out of a plantation, timber must be marked by a registered seal of a plantation's owner which is certified by a registrar together with a marking made by a registrar in accordance with a certificate of seal registration. In case of a seal used through hammering, there must be a certificate of stamp. A transferee of timber must ensure that a plantation entrepreneur has a right to use it.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: Plantation registrar</p> <p>Frequency: Once the seal is registered and per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O1-3.1.2: A person transporting timber out of a registered plantation holds a transportation document referring to an acknowledged	1) Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber	Plantation entrepreneur	Plantation Act,1992 Section 13, 21

certificate, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	2) Acknowledged letter on harvesting timber from registered plantation (Sor Por 13) or a copy of Sor Por 13 certified by competent officer	Local chief district officer	
<p>Description of Verification Process: A plantation entrepreneur must possess an acknowledged letter of a timber derived from registered plantation (Sor Por 15) which is registered to a provincial Natural Resources and Environment officer. Moreover, a plantation entrepreneur must fill out a certificate of Sor Por 15 referring to an acknowledged letter on harvesting timber from registered plantation (Sor Por 13), declaring a list of transported timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.</p> <p>Sor Por 15 include 3 part are</p> <p>Part 1: It is attached to timber along the way of transporting and every timber must be marked to show a possession of a plantation entrepreneur.</p> <p>Part 2: A plantation entrepreneur must deliver it to a provincial Natural Resources and Environment office.</p> <p>Part 3: A plantation entrepreneur must keep it.</p> <p>A transporter is responsible for controlling all transported timber to be compliant with a list of transported timber along the way of transporting to a written destination.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O1-3.1.3: A transferee of timber must be named in the transportation document.	Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of transported timber	Plantation entrepreneur	Plantation Act,1992 Section 13, 21
<p>Description of Verification Process: Before transporting timber out of a plantation, a plantation entrepreneur must realize that who is a transferee and where timber is transferred to. A plantation entrepreneur must identify a name of a transferee with residence in Sor Por 15.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep in a transferee's place. After that, a transferee records an acquired timber in a timber recordkeeping and keeps Sor Por 15 as an evidence of legally acquiring.</p> <p>Both of Sor Por 15 and a timber recordkeeping are verified by a competent officer who inspects an operating place.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Criteria 3.2: For timber derived from non-registered plantation			
Indicator	Verifier	Issued by	Legal reference

O1-3.2.1: A logging permit holder must pay a royalty in order to acquire timber (unless a specific logging permit identifying that it has been granted a royalty exemption).	1) Receipt of royalty payment	For unrestricted species: Provincial governor For restricted species: RFD	National Reserved Forest Act, 1964 Section 5, 15, 16 bis Ministerial Regulation No. 1221, 1988 issued under the National Reserved Forest Act, 1964 Forest Act, 1941 Section 14
	2) (If a royalty is exempted) Logging permit identified that royalty exemption	For unrestricted species: Provincial governor For restricted species: RFD	
<p>Description of Verification Process: To pay a royalty, a competent officer checks whether timber is consistent with an account of dragged timber. If yes, a competent officer stamps a personal marking and royalty marking (Phor Lor Marking). However, if a royalty is exempted, a competent officer stamps a marking of exempted royalty (Aor Yor Marking) on each log. A competent officer calculates and provides a list of timber that a royalty had been paid. Moreover, an applicant is informed to pay a royalty for a receipt and the list of timber that is paid already.</p> <p>If a request for transportation permit is submitted before timber is transported, a competent officer checks whether a receipt is legal. Furthermore, a competent officer checks whether species, amount, size, quantity and marking or stamp is consistent with an account attached to a receipt of royalty. If a royalty is exempted, a competent officer must check whether all information is consistent with a list of timber attached to logging permit, and whether there is a marking of exempted royalty before issuing transportation permit.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O1-3.2.2: An FIO logging timber that was planted by RFD budget must pay a timber price to RFD.	Receipt	RFD	RFD regulation on criteria procedure to authorize FIO to maintain and utilize a plantation where planting by RFD budget, 2012
<p>Description of Verification Process: To proceed timber planted by RFD's budget, not only a royalty, but also purchasing compensation are paid by FIO. An RFD officer stamps a marking of government's selling (Ror Khor Marking), issues a receipt of purchasing compensation to FIO, and keeps a stub at RFD.</p> <p>To issue transportation permit, an RFD officer checks an evidence of timber acquisition which contains a receipt of a royalty, a receipt of purchasing compensation and a marking of government's selling.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference

<p>O1-3.2.3: Timber derived from old building which is a timber of a restricted species, or timber with a name matching that of a restricted species, has been used as a construction material or related tool and has been in such state for more than 10 years for Teak or 5 years for other species, unless the minister announces a special requirement for a specific province extending the requirement up to 20 years.</p>	<p>Report on inspection of character and generality of a building</p>	<p>Inspection committee appointed by provincial governor</p>	<p>Forest Act, 1941 Section 39 tres RFD regulation on transport a restricted species or a species, which is the name/kind is the same as restricted species, which are have been a building or tool transporting to outside the province, 2017</p>
<p>Description of Verification Process: A competent officer under an inspection committee checks accuracy and completion of documents, which are land right document, a photo, a brief map and other related documents. After that, a competent officer surveys to inspect a character and generality of a building or an appliance that is requested to demolished in order to consider whether it follows given conditions. If yes, a demolition is allowed. Moreover, a competent officer provides a list of timber composing of species, amount, size, volume, and marks a personal marking on each timber. Nevertheless, if a marking cannot be put on timber, a reason should be written as a remark on a list of timber with an inspection committee's and an applicant's signature on every page of a timber account so that RFD director general or provincial governor considers to issue a permit of timber moving (Mor Kor 4) .</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: RFD officer</p> <p>Frequency: Per demolition</p>
<p style="text-align: center;">Indicator</p>	<p style="text-align: center;">Verifier</p>	<p style="text-align: center;">Issued by</p>	<p style="text-align: center;">Legal reference</p>
<p>O1-3.2.4: A person transporting timber holds a transportation document referring to evidence of acquisition, declaring a list of timber, indicating the place where timber was loaded and the destination, and identifying the person responsible for the timber being transported.</p>	<p>1) <i>For Logs:</i> Transportation permit</p> <p>2) <i>Timber from old building:</i> Permit of timber moving (Mor Kor 4)</p>	<p>RFD or provincial Natural Resources and Environment officer</p> <p>Provincial governor</p>	<p>Forest Act, 1941 Section 38, 39, 39 tres Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5</p>
<p>Description of Verification Process: <i>Logs:</i> To request transportation permit, a competent officer checks that logs are acquired legally, so a competent officer marks a personal marking (Tor marking) on each log. If a marking cannot be put on timber, a reason should be written as a remark on transportation permit and a competent officer provides a list of transported timber attached to transportation permit. Furthermore, a previous list of timber, that a royalty had been paid, must be updated that logs are transported. An operator receives transportation permit for transportation of logs. When a transporter moves into a RFD checkpoint, a transporter must inform every checkpoint along the way in order to be checked by a competent officer. A competent officer checks whether Transportation Permit is acquired legally and whether</p>			<p>Verified by: RFD officer</p> <p>Frequency: Per shipment</p>

<p>timber is consistent with an evidence of timber acquisition. After that, a competent officer marks a personal marking (Tor marking) as a competent officer can do, records that transportation permit is informed, and issues a permit letter of passing a RFD checkpoint. In case of a RFD checkpoint as a destination, a competent officer checks timber, marks a personal marking (Tor marking), and allows timber to enter a RFD checkpoint.</p> <p><i>Timber from old building:</i> a permit of timber moving (Mor Kor 4) goes along a transportation to a given destination without informing a RFD checkpoint.</p> <p>If timber arrives a destination and continues transporting, the same transportation permit used as an evidence of timber acquisition in order to request a new transportation permit.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			
Indicator	Verifier	Issued by	Legal reference
O1-3.2.5: A transferee of timber must be named in the transportation document.	1) <i>For Logs:</i> Transportation permit	RFD or provincial Natural Resources and Environment officer	Forest Act, 1941 Section 38, 39, 39 tres Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5
	2) <i>Timber from old building:</i> Permit of timber moving (Mor Kor 4)	Provincial governor	
<p>Description of Verification Process: Before transporting timber out of a place of gathering harvested timber, a permit holder must realize that who is a transferee and where timber is transferred to. A plantation entrepreneur must identify a name of a transferee with residence in transportation document.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep in a transferee's place. After that, a transferee records an acquired timber in a timber recordkeeping and keeps transportation document as an evidence of legally acquiring.</p> <p>Transportation document and a timber account are verified by a competent officer when an operating place is inspected.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by:</p> <p>RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency:</p> <p>Per shipment</p>
Principle 4: Operator's Environment and Social Obligation			
Criteria 4.1: Investigation of forest and land utilization			
Indicator	Verifier	Issued by	Legal reference
O1-4.1.1: Permission to use an area does not contravene any measures on watershed area,	Report of forest inspection	Provincial governor	RFD regulation on criteria, procedure and condition to use the forest land for government

mangrove forest, natural resource on land and forest, view and wildlife.			<p>activities within the national reserved forest, 2005 RFD Regulation on a permission of utilization or livelihood within the national reserved forest, 2005 Clause 8,19 RFD Regulation on a permission of plantation or planting trees within the national reserved forest B.E. 2548 Clause 9,17</p>
<p>Description of Verification Process: When a person submits a request for land use on national reserved forest, a competent officer inspects a forest with an applicant, provides a report of inspection with a signature and gives a comment in order that the provincial governor further proposes to the RFD director general. However, the considered area must follow conditions as specified in RFD regulations.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per an application to use the forest land</p>
Indicator	Verifier	Issued by	Legal reference
<p>O1-4.1.2: Permission for Sor Tor Kor permit allowed for a person who utilized and lived in an area of deteriorated forest before the area was designated a restored forest zone and when such area is not within the specified boundary of a river source, a steep mountain, an area that poses a risk area to a threatened ecosystem or an area to preserve.</p>	<p>Report of forest inspection</p>	<p>Provincial governor</p>	<p>RFD regulation on criteria, and condition to permit for utilization and livelihood in the Restored Forest Zone, 1987 Clause 6,7</p>
<p>Description of Verification Process: A competent officer surveys an area to scope some area that is not suitable for allotted land. When an area as a degraded forest is announced that is a reformed under a national reserved forest, other allotted area is surveyed. People are arranged for an appointment to acknowledge criteria of allotted land. When people submit a request, each survey to recognize their own possessive area. Moreover, the area must be inspected and measured. Furthermore, a competent officer provides a report of forest inspection, signs and comments so that the provincial governor proposes to RFD director general. However, the considered area must follow conditions as specified in RFD regulation.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per an application to use the forest land</p>

Criteria 4.2: Social responsibility			
Indicator	Verifier	Issued by	Legal reference
O1-4.2.1: Establishment of a plantation in a permitted area is not opposed by the people living in that community and around the permitted area and was agreed by a municipality or a subdistrict administrative organization.	A copy of a minute of a municipality or a subdistrict administrative organization meeting	Municipality or subdistrict administrative organization	RFD regulation on criteria, procedure and condition to use the forest land for government activities within the national reserved forest, 2005 RFD Regulation on a permission of utilization or livelihood within the national reserved forest, 2005 Clause 8,19 RFD Regulation on a permission of plantation or planting trees within the national reserved forest B.E. 2548 Clause 9,17
<p>Description of Verification Process: When a person submits a request, a competent officer inspects a forest together with an applicant. Moreover, an applicant's request must be agreed by municipality or a sub-district administration office. An applicant must deliver a copy of a minute of a municipality or a subdistrict administrative organization in order that the provincial governor further comments and proposes to RFD director general.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Consult with a community 			<p>Verified by: Provincial governor</p> <p>Frequency: Per an application to use the forest land</p>
Principle 5: Operator's Welfare and Labour Protection Obligations			
Criteria 5.1: For state enterprise labourers (FIO)			
Indicator	Verifier	Issued by	Legal reference
O1-5.1.1: FIO must comply with an agreement between FIO and employees which follows minimum labour standards.	1) Employment agreement	FIO's production unit	State Enterprise Labour Relation Act, 2000 Section 27 Announcement of State enterprise labour relation committee on minimum standard of working conditions in the state enterprise.
	2) Evidence of wage payment	FIO's production unit	
	3) Report on internal audit	FIO's internal audit division	
<p>Description of Verification Process: FIO is a state enterprise. Moreover, an employee is under State Enterprise Worker Relations Act B.E. 2543 (2000) and makes an agreement on working condition following a minimum standard not over 3 years. (Additionally, if an employee and FIO do not make an agreement on a period of agreement, an agreement on working condition will be effective for 12 months.) When FIO and an employee make an agreement on working condition, a committee</p>			<p>Verified by: FIO's internal audit division</p> <p>Frequency:</p>

<p>of State Enterprise Relations verifies whether an agreement is consistent with a minimum standard as written in Announcement of State Enterprise Relations on Minimum Standard of working condition in State Enterprise. Internal audit division of FIO inspects and assesses overall operation of state enterprise, also controls operation to be compliant with related to laws, rules, and regulations.</p> <p>Verification means: Documentary review</p>			Annually
Indicator	Verifier	Issued by	Legal reference
O1-5.1.2: FIO has provided a safety manual for workers following FIO's workplan on health, safety and workplace environment.	1) Workplan on health, safety and workplace environment.	FIO	Ministerial Regulation for designing a standard on management of OSHE, 2005
	2) OSHE Safety manual	FIO's OSHE committee	
	3) Report on internal audit	FIO's internal audit division	
<p>Description of Verification Process: FIO prepares a workplan on health, safety and workplace environment. In addition, FIO stipulates to create an OSHE Safety manual to be consistent with that workplan in order that a worker can follow. Internal audit division of FIO inspects the OSHE Safety manual, monitor whether workers follow the OSHE Safety manual, and provides an annual report of inspection.</p> <p>Verification means: 1. Documentary review 2. Field inspection</p>			<p>Verified by: FIO's internal audit division</p> <p>Frequency: Annually</p>
Indicator	Verifier	Issued by	Legal reference
O1-5.1.3: FIO has provided a standard personal protective equipment appropriate for specific work for its worker and monitors the worker's use of such personal protective equipment.	1) Record of requisition of a personal protective equipment	FIO's production unit	<p>Occupational Safety, Health and Environment Act, 2011 Section 22</p> <p>Ministerial regulation on designing a standard for management of OSHE for working with chemical hazards, 2013 Clause 12</p> <p>Ministerial regulation on designing a standard for management of OSHE on machine, crane and boiler, 2009 Clause 96,97</p> <p>Ministerial regulation on designing a standard for</p>
	2) Report on internal audit	FIO's internal audit division	

			management of OSHE on heat, light and sound, 2016 Section 12,13
<p>Description of Verification Process: FIO provides personal protective equipment that meets standard and is suitable for types of operation, and controls workers to wear such equipment while they are operating. If workers do not have such equipment, a FIO officer brings that equipment and records a distribution of equipment.</p> <p>Internal audit division of FIO inspects a record of requisition of personal protective equipment, and operation, and provides an annual report inspection.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: FIO's internal audit division</p> <p>Frequency: Annually</p>
Principle 6: Operator's Tax, Fee & Other Payment Obligations			
Criteria 6.1: Forest sector payment (non- registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O1-6.1.1: Before obtaining a logging permit, an operator has paid logging permit fee.	Receipt	<i>For restricted species:</i> RFD <i>For unrestricted species:</i> Provincial Natural Resources and Environment officer	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act,1941 on fee rate National Reserved Forest Act, 1964 Section 5, 16 bis Ministerial Regulation No. 1221, 1988 issued under the National Reserved Forest Act, 1964
<p>Description of Verification Process: An operator pays a fee. When a logging permit is issued, a competent officer issues a receipt and keeps a stub at RFD or a provincial Natural Resources and Environment office. A logging permit indicates that a fee is paid.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per issuing a logging permit</p>
Indicator	Verifier	Issued by	Legal reference
O1-6.1.2: Before utilization of timber, a logging permit holder has paid royalties and forest maintenance fee (unless a specific	1) Receipt of royalty payment or Logging permit identified that royalty exemption	RFD or provincial Natural Resources and Environment division	Forest Act, 1941 Section 14,15 RFD regulation on checking, sealing, collecting the royalty of

logging permit identifying that it has been granted a royalty exemption).	2) Receipt of forest maintenance fee	Local forest resource management division	timber, firewood or charcoal, 1967 Clause 14 National Reserved Forest Act, 1964 Section 5, 15, 16 bis Ministerial Regulation No. 1221, 1988 issued under the National Reserved Forest Act, 1964
<p>Description of Verification Process: In case of restricted timber, a law specifies that a royalty must be paid in advance for some before an applicant receives a logging permit. The rest of a royalty must be paid after an applicant receives a logging permit. In case of non-restricted timber, a royalty and a forest maintenance fee can be paid after an applicant receives a logging permit.</p> <p>For both cases, a competent officer issues a receipt of a royalty, of a forest maintenance fee, and keeps a stub. On the other hand, if a royalty is exempted, a competent officer writes an exemption on a logging permit.</p> <p>A receipt of a royalty or an evidence of royalty exemption, and a marking of royalty or a marking of exempted royalty are verified when they are to issue transportation permit.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O1-6.1.3: Before obtaining a transportation permit, the owner has paid transportation permit fees.	Receipt	Provincial Natural Resources and Environment division or local forest resource management division	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act,1941 on fee rate
<p>Description of Verification Process: Before receiving transportation permit, an operator must pay a fee for a receipt and keep a stub of it.</p> <p>Transportation permit indicates that a fee is paid and is checked by a competent officer at every RFD checkpoint where timber passes.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>

OPERATOR 2 PUBLIC LAND (OTHER THAN NATIONAL RESERVED FOREST AND PROTECTED FOREST) OPERATORS

Principle 1: Operator Legality (including Land)			
Criteria 1.1: Operator's right to access land			
Indicator	Verifier	Issued by	Legal reference
O2-1.1.1: An operator sourcing timber on public land (other than national reserved forest and protected forest) has a permit for doing specified activities in the forest area or a certificate issued by any government entity.	1) Certificate of permission for possession of land for activity within forest area (under Section 54 of the Forest Act)	RFD Director general	Forest Act, 1941 Section 54 Land for the Livelihood Act, 1968 Section 23, 24 Agricultural Land Reform Act, 1975 Section 30 Ministerial Regulations on the criteria and processing for governing, maintaining, using, and providing the benefit of state land, 2002 Clause 23
	2) Certificate of permission on utilization of land in estate cooperative area (Kor Sor Nor 1) or Acknowledged Letter signifying a utilization of land in estate cooperative area (Kor Sor Nor 3)	Director general of Cooperative Promotion Department	
	3) Certificate of permission on utilization of self-help land settlement (Nor Cor 1) or Acknowledged Letter signifying a utilization of self-help land settlement (Nor Cor 3)	Director general of Department of Social Development and Welfare.	
	4) Certificate of Permission for activity within the agricultural land reform area (Sor Por Kor)	Agricultural Land Reform Committee.	
	5) Land Leases and other reciprocal contracts (available only Government Department)	Director general of Treasury Department	
Description of Verification Process: An operator who wishes to register a plantation or request a logging must show an evidence of approved permission or a certification of government agency together with a request. If a competent officer finds that an evidence is legal and effective, a competent officer surveys a registered plantation or area where is requested for logging. (Land where can be registered as a plantation, namely Land use Permit in a forest, Kor Sor Nor 5, Nor Cor 3, Sor Por Kor 4-01, and a lease contract or other reciprocal contract of state land where is planted by a government agency, state enterprise or other government agencies) Verification means: 1. Documentary review 2. Field inspection			Verified by: <i>Inside Bangkok:</i> RFD officer <i>Outside Bangkok:</i> Provincial Natural Resources and Environment officer Frequency: Per registration of plantation or application of logging
Principle 2: Operator's Forest Management, Harvesting Obligations and Practices			
Criteria 2.1: Right to harvest (registered plantation)			
Indicator	Verifier	Issued by	Legal reference

O2-2.1.1: A plantation entrepreneur registers a plantation only for planted trees.	Report on location, land environment and species size and amount of tree naturally growing.	<i>Inside Bangkok:</i> RFD <i>Outside Bangkok:</i> Provincial Natural Resources and Environment Division	Plantation Act,1992 Section 6, 7
<p>Description of Verification Process: After a request of registration is submitted, a provincial Natural Resources and Environment officer inspects a land whether trees naturally grow. If yes, a list of trees growing naturally must be provided and that trees must not be registered.</p> <p>This process shows that the registered trees under the Plantation Act must be planted only.</p> <p>Verification means: Field inspection</p>			<p>Verified by: <i>Inside Bangkok:</i> RFD officer <i>Outside Bangkok:</i> Provincial Natural Resources and Environment officer</p> <p>Frequency: Per registration of plantation</p>
Indicator	Verifier	Issued by	Legal reference
O2-2.1.2: A plantation entrepreneur has a right to cut or fell specific species and no more than the quantity of trees registered.	1) Certificate of plantation registration (Sor Por 3)	Plantation registrar that are for <i>inside Bangkok:</i> RFD director general for <i>outside Bangkok:</i> provincial governor	Plantation Act,1992 Section 6 Ministerial Regulation on an application for registering a plantation and issuing a certificate of registered plantation, 2018
	2) List of species and amount of planted and maintained trees.	Plantation entrepreneur	
	3) Notification of harvesting timber in registered plantation. (Sor Por 12)	Plantation entrepreneur	
<p>Description of Verification Process: After a registrar accepts a registration, a registrar issues a certificate of plantation registration (Sor Por 3). Additionally, a plantation entrepreneur must provide and deliver a list of trees showing species and amount of planted and maintained trees to a registrar. If there are some changes of species or amount later, a request must be submitted to a registrar. Moreover, a plantation entrepreneur has a right to fell only trees in accordance with a tree account submitted to a registrar.</p> <p>After a plantation entrepreneur submits a form of felling trees, a provincial Natural Resources and Environment officer checks whether it is consistent with a submitted account, and provides a comment to a district-chief officer.</p> <p>Verification means: Documentary review</p>			<p>Verified by: <i>Inside Bangkok:</i> RFD officer <i>Outside Bangkok:</i> Provincial Natural Resources and Environment officer</p> <p>Frequency: Per notification of harvesting timber</p>
Indicator	Verifier	Issued by	Legal reference
O2-2.1.3: Before cutting or felling timber, a plantation entrepreneur provides notice to a director of Private Reforestation Division or a	Acknowledged Certificate on harvesting a tree (Sor Por 13)	<i>Inside Bangkok:</i> Director of Private Reforestation Division <i>Outside Bangkok:</i> Local chief-district officer	Plantation Act,1992 Section 11, 12

local chief-district officer with a list of trees intended to be cut or felled.			
<p>Description of Verification Process: If a plantation entrepreneur wishes to fell trees, a plantation entrepreneur must provide a report to a district-chief officer. If a report is consistent with an account, a district-chief officer issues an acknowledged certificate on harvesting a tree from plantation. Furthermore, a plantation entrepreneur must keep the certificate at a plantation in order to show to a competent officer when getting checked.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per notification of harvesting timber</p>
Criteria 2.2: Right to harvest (non-registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O2-2.2.1: A logging permit holder harvests only specific species and quantity of trees as permitted in a selected tree list issued with the logging permit.	Logging permit with a list of selected trees to harvest	<p><i>For restricted species in category A:</i> RFD director general</p> <p><i>For restricted species in category B:</i> Minister of Natural Resources and Environment</p>	Forest Act, 1941 Section 6,7,11
<p>Description of Verification Process: In case of restricted timber, before issuing a logging permit, a competent officer and an applicant surveys only trees that need a permission, marks on timber, and provides a list of selected trees to harvest. After the trees are felled and before timber is dragged to a place of gathering harvested timber, a competent officer checks whether the felled timber is consistent with a timber account attached to a permit, marks a personal marking (Tor marking), an order of number and a dragging marking on the stub of each timber, and provides a list of timber dragging in order that an authorized officer is able to calculate a royalty.</p> <p>Verification means: 1. Documentary review 2. Field inspection</p>			<p>Verified by: RFD officer</p> <p>Frequency: Per harvesting timber</p>
Indicator	Verifier	Issued by	Legal reference
O2-2.2.2: For FIOs logging in a conversion forest, FIO harvests only specific species and quantity of tree as permitted in a selected tree list.	Notification on informing FIO to conduct a logging with a list of selected trees to harvest	RFD officer	<p>Ministerial regulation on application and permission of utilization in forest area, 2013 Section 24</p> <p>RFD regulation on survey and logging in the opened forest to use the land, 1982</p>

<p>Description of Verification Process: If there is a need to fell and take timber out of permitted area for utilization in a forest in accordance with Section 54 of the Forest Act, an approved applicant informs a letter to an RFD officer. After an RFD officer is informed by an approved applicant of land that there is a need to fell and take timber out of forest for land use, an RFD informs an FIO to participate a trees survey in a conversion forest and mark a selected timber to harvest, and provides a list of selected timber to harvest.</p> <p>If FIO fells and takes timber out of a conversion forest, FIO must mark FIO's forest marking on timber instead of an RFD dragging mark.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: RFD officer</p> <p>Frequency: Per harvesting timber</p>
Principle 3: Sourcing and Transportation of Timber			
Criteria 3.1: For timber derived from registered plantation			
Indicator	Verifier	Issued by	Legal reference
O2-3.1.1: After harvesting timber, a plantation entrepreneur must use a registered seal to stamp or to signify its ownership onto timber derived from its registered plantation.	1) Certificate of seal registration (Sor Por 8)	Plantation registrar that are for <i>inside Bangkok</i> : RFD director general, for <i>outside Bangkok</i> : provincial governor	Plantation Act,1992 Section 9, 13
	2) In case of a seal used through hammering, there must be a certificate of stamp (Sor Por 9)	Plantation registrar that are for <i>inside Bangkok</i> : RFD director general, for <i>outside Bangkok</i> : provincial governor	
<p>Description of Verification Process: After the trees are harvested and before timber is taken out of a plantation, timber must be marked by a registered seal of a plantation's owner which is certified by a registrar together with a marking made by a registrar in accordance with a certificate of seal registration. In case of a seal used through hammering, there must be a certificate of stamp. A transferee of timber must ensure that a plantation entrepreneur has a right to use it.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: Plantation registrar</p> <p>Frequency: Once the seal is registered and per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O2-3.1.2: A person transporting timber out of a registered plantation holds a transportation document referring to an acknowledged	1) Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber	Plantation entrepreneur	Plantation Act,1992 Section 13, 21

certificate, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	2) Acknowledged letter on harvesting timber from registered plantation (Sor Por 13) or a copy of Sor Por 13 certified by competent officer	<i>Inside Bangkok:</i> Director of Private Reforestation Division <i>Outside Bangkok:</i> Local chief-district officer	
<p>Description of Verification Process: A plantation entrepreneur must possess an acknowledged letter of a timber derived from registered plantation (Sor Por 15) which is registered by a provincial Natural Resources and Environment officer. Moreover, a plantation entrepreneur must fill out a certificate of Sor Por 15 referring to an acknowledged letter on harvesting timber from registered plantation (Sor Por 13), declaring a list of transported timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.</p> <p>Sor Por 15 include 3 part are</p> <p>Part 1: It is attached to timber along the way of transporting and every timber must be marked to show a possession of a plantation entrepreneur.</p> <p>Part 2: A plantation entrepreneur must deliver it to a provincial Natural Resources and Environment office.</p> <p>Part 3: A plantation entrepreneur must keep it.</p> <p>A transporter is responsible for controlling all transported timber to be compliant with a list of transported timber along the way of transporting to a written destination.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O2-3.1.3: A transferee of timber must be named in the transportation document.	Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of transported timber	Plantation entrepreneur	Plantation Act,1992 Section 13, 21
<p>Description of Verification Process: Before transporting timber out of a plantation, a plantation entrepreneur must identify who is a transferee and where timber will be transferred to. A plantation entrepreneur must identify a name of a transferee with residence in a Sor Por 15.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep the Sor Por 15 in a transferee's possession. place After that, a transferee records an acquired timber in a timber recordkeeping and keeps Sor Por 15 as an evidence of legally acquiring.</p> <p>Both of Sor Por 15 and a timber recordkeeping are verified by a competent officer who inspects an operating place.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Criteria 3.2: For timber derived from non-registered plantation			
Indicator	Verifier	Issued by	Legal reference

O2-3.2.1: For restricted species, a Logging Permit holder must pay a royalty in order to acquire timber (unless a specific logging permit identifying that it has been granted a royalty exemption).	1) Receipt of royalty payment	RFD	Forest Act, 1941 Section 14
	2) (If a royalty is exempted) Logging permit identified that royalty exemption	RFD	
<p>Description of Verification Process: To pay a royalty, a competent officer checks whether timber is consistent with a list of dragged timber. If yes, a competent officer stamps a personal marking and royalty marking (Phor Lor Marking). However, if there is an exemption from paying the royalty, a competent officer stamps a marking of exempted royalty (Aor Yor Marking) on each log. A competent officer calculates and provides a list of timber that a royalty had been paid.</p> <p>If a request for a transportation permit is submitted before timber is transported, a competent officer checks whether the receipt is legal. Furthermore, a competent officer checks whether species, amount, size, quantity and marking or stamp is consistent with an account attached to a receipt of payment of the royalty. If there is an exemption to paying the royalty, a competent officer must check whether all information is consistent with a list of timber attached to logging permit, and whether there is a marking of exempted royalty before issuing transportation permit.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O2-3.2.2: For unrestricted species, an acquisition of timber is certified a legitimate of timber.	1) Record of harvested timber inspection and a brief forest map	<i>Inside Bangkok:</i> Director of Private Reforestation Division <i>Outside Bangkok:</i> Local chief-district officer	Forest Act, 1941 Section 25 Circular Notice of RFD, No. Gor Sor 0704.3/540 issuing on 23 January 2003 Clause 1, 3, 4
	2) Transportation document for moving timber leave a tree stump	<i>Inside Bangkok:</i> Director of Private Reforestation Division <i>Outside Bangkok:</i> Local chief-district officer	
<p>Description of Verification Process: When an operator who wishes to take timber (logs), which is non-restricted timber, out of public land, a competent officer surveys and marks a personal marking (Tor marking) and an order of number on each timber and a stub of each timber (same as a dragging marking), and provides an inspection report of timber list and a brief forest map. Moreover, a competent officer must sign so that a district-chief officer or a RFD officer can sign as well. Provincial governor or RFD director general issues transportation permit to take timber out of public land and an inspected timber list is attached the to transportation document</p> <p>When timber arrives at the first RFD checkpoint and a transporter wishes to continue transporting, above documents are required to issue a transportation permit. Moreover, a competent officer checks whether species, amount, size, quantity and marking or stamp is complete and consistent with a timber list before transportation permit is further issued.</p>			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>

Verification means: 1. Documentary review 2. Timber inspection			
Indicator	Verifier	Issued by	Legal reference
O2-3.2.3: Timber derived from old building which is of a restricted species, or timber with a name matching that of a restricted species, has been used as a construction material or related tool and has been in such state for more than 10 years for Teak or 5 years for other species, unless the minister announces a special requirement for a specific province extending the requirement up to 20 years.	Report on inspection of character and generality of a building	Inspection committee appointed by provincial governor or RFD director general	Forest Act, 1941 Section 39 tres RFD regulation on transport a restricted species or a species, which is the name/kind is the same as restricted species, which are have been a building or tool transporting to outside the province, 2017
Description of Verification Process: A competent officer under an inspection committee checks accuracy and completeness of documents, which include a land right document, a photo, a brief map and other related documents. After that, a competent officer surveys to inspect the character and generality of a building or a piece of equipment that is requested to be demolished in order to consider whether it follows given conditions. If yes, demolition is allowed. Moreover, a competent officer provides a list of timber, including species, amount, size, volume, and marks a personal marking on each piece of timber. Nevertheless, if a marking cannot be put on timber, a reason should be written as a remark on the list of timber with an inspection committee's and an applicant's signature on every page of a timber account so that RFD director general or provincial governor considers to issue a permit for timber transportation (Mor Kor 4) .			Verified by: RFD officer Frequency: Per demolition
Verification means: 1. Documentary review 2. Field inspection			
Indicator	Verifier	Issued by	Legal reference
O2-3.2.4: A person transporting timber holds a transportation document referring to evidence of acquisition, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	1) <i>For Logs:</i> Transportation permit	<i>Inside Bangkok:</i> RFD officer <i>Outside Bangkok:</i> Provincial Natural Resources and Environment officer	Forest Act, 1941 Section 38, 39, 39 tres Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5
	2) <i>Timber from old building:</i> Permit of timber movement moving (Mor Kor 4)	<i>Inside Bangkok:</i> RFD director general <i>Outside Bangkok:</i> Provincial governor	
Description of Verification Process: <i>Logs:</i> To request transportation permit, a competent officer checks that logs are acquired legally, so a competent officer marks a personal marking (Tor marking) on each log. If a marking cannot be put on timber, a			Verified by:

<p>reason should be written as a remark on transportation permit and a competent officer provides a list of transported timber attached to transportation permit. Furthermore, a previous list of timber, that a royalty had been paid, must be updated that logs are transported. An operator receives transportation permit for transportation of logs.</p> <p>When a transporter moves into a RFD checkpoint, a transporter must inform every checkpoint along the way in order to be checked by a competent officer. A competent officer checks whether Transportation Permit is acquired legally and whether timber is consistent with an evidence of timber acquisition. After that, a competent officer marks a personal marking (Tor marking) as a competent officer can do, records that transportation permit is informed, and issues a permit letter of passing a RFD checkpoint. In case of a RFD checkpoint as a destination, a competent officer checks timber, marks a personal marking (Tor marking), and allows timber to enter a RFD checkpoint.</p> <p><i>Timber from old building:</i> a permit of timber moving (Mor Kor 4) goes along a transportation to a given destination without informing a RFD checkpoint.</p> <p>If timber arrives a destination and continues transporting, the same transportation permit used as an evidence of timber acquisition in order to request a new transportation permit.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O2-3.2.5: A transferee of timber must be named in the transportation document.	1) <i>For Logs:</i> Transportation permit	<i>Inside Bangkok:</i> RFD officer <i>Outside Bangkok:</i> Provincial Natural Resources and Environment officer	Forest Act, 1941 Section 38, 39, 39 tres Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5
	2) <i>Timber from old building:</i> Permit of timber moving (Mor Kor 4)	<i>Inside Bangkok:</i> RFD director general <i>Outside Bangkok:</i> Provincial governor	
<p>Description of Verification Process: Before transporting timber out of a place of gathering harvested timber, a permit holder must identify who is the transferee and where timber will be transferred to. A plantation entrepreneur must identify a name of a transferee with residence in transportation document.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep in a transferee's place. After that, a transferee records an acquired timber in a timber recordkeeping and keeps transportation document as an evidence of legally acquiring.</p> <p>Transportation document and a timber account are verified by a competent officer when an operating place is inspected.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>

Principle 4: Operator's Environment and Social Obligation			
Criteria 4.1: Investigation of forest and land utilization			
Indicator	Verifier	Issued by	Legal reference
O2-4.1.1: Permission to use an area does not contravene any measures on watershed area, and is not for an abundant forest, an area to preserve for wildlife habitat, or an area where utilization is prohibited.	Report of forest inspection	Provincial governor	Ministerial regulation on application and permission of utilization in forest area, 2013 Section 9, 12
Description of Verification Process: When a person submits a request for land use on forest area, a competent officer inspects a forest with an applicant, provides a report of forest inspection with a signature and gives a comment in order that the provincial governor further proposes to the RFD director general. However, the considered area must follow conditions as specified in RFD regulation.			Verified by: RFD officer and provincial Natural Resources and Environment officer
Verification means: 1. Documentary review 2. Field inspection			Frequency: Per an application to use the forest land
Principle 5: Operator's Welfare and Labour Protection Obligations			
Criteria 5.1: For state enterprise labourers (FIO)			
Indicator	Verifier	Issued by	Legal reference
O2-5.1.1: FIO must comply with an agreement between FIO and employees which follows minimum labour standards.	1) Employment agreement	FIO's production unit	State Enterprise Labour Relation Act, 2000 Section 27 Announcement of State enterprise labour relation committee on minimum standard of working conditions in the state enterprise.
	2) Evidence of wage payment	FIO's production unit	
	3) Report on internal audit	FIO's internal audit division	
Description of Verification Process: FIO is a state enterprise. Moreover, an employee is under State Enterprise Worker Relations Act B.E. 2543 (2000) and makes an agreement on working condition for not more than 3 years, following a minimum standard. (Additionally, if FIO and an employer do not agree on the time period of agreement, an agreement on working condition will be effective for 12 months.) When FIO and an employee make an agreement on working condition, a committee of State Enterprise Relations verifies whether an agreement is consistent with a minimum standard as written in Announcement of State Enterprise Relations on Minimum Standard of working condition in State Enterprise. Internal audit division of FIO inspects and assesses overall operation of state enterprise, also controls operation to be compliant with related to laws, rules, and regulations.			Verified by: FIO's internal audit division
Verification means: Documentary review			Frequency: Annually

Indicator	Verifier	Issued by	Legal reference
O2-5.1.2: FIO has provided a safety manual for workers following FIO's workplan on health, safety and workplace environment.	1) Workplan on health, safety and workplace environment.	FIO	Ministerial Regulation for designing a standard on management of OSHE, 2005
	2) OSHE Safety manual	FIO's OSHE committee	
	3) Report on internal audit	FIO's internal audit division	
<p>Description of Verification Process: FIO prepares a workplan on health, safety and workplace environment. In addition, FIO stipulates to create an OSHE Safety manual to be consistent with that workplan in order that a worker can follow. Internal audit division of FIO inspects the OSHE Safety manual, monitor whether workers follow the OSHE Safety manual, and provides an annual report of inspection.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: FIO's internal audit division</p> <p>Frequency: Annually</p>
Indicator	Verifier	Issued by	Legal reference
O2-5.1.3: FIO has provided a standard personal protective equipment appropriate for specific work for its worker and monitors the worker's use of such personal protective equipment.	1) Record of requisition of a personal protective equipment	FIO's production unit	<p>Occupational Safety, Health and Environment Act, 2011</p> <p>Section 22</p> <p>Ministerial regulation on designing a standard for management of OSHE for working with chemical hazards, 2013 Clause 12</p> <p>Ministerial regulation on designing a standard for management of OSHE on machine, crane and boiler, 2009 Clause 96,97</p> <p>Ministerial regulation on designing a standard for management of OSHE on heat, light and sound, 2016 Section 12,13</p>
	2) Report on internal audit	FIO's internal audit division	
<p>Description of Verification Process: FIO provides personal protective equipment that meets standards and is suitable for relevant types of operation, and takes measures to ensure that workers to wear such equipment while they are operating. If workers do not have such equipment, a FIO officer brings that equipment and records a distribution of equipment.</p>			<p>Verified by: FIO's internal audit division</p>

Internal audit division of FIO inspects a record of requisition of personal protective equipment, and operation, and provides an annual report inspection.			Frequency: Annually
Verification means: 1. Documentary review 2. Field inspection			
Principle 6: Operator's Tax, Fee & Other Payment Obligations			
Criteria 6.1: Forest sector payment (non-registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O2-6.1.1: For restricted species, before obtaining a logging permit, the operator has paid logging permit fee.	Receipt	RFD	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act, 1941 on fee rate
Description of Verification Process: An operator pays a fee. When a logging permit is issued, a competent officer issues a receipt and keeps a stub at RFD. A logging permit indicates that a fee is paid.			Verified by: RFD officer and provincial Natural Resources and Environment officer
Verification means: Documentary review			Frequency: Per issuing a logging permit
Indicator	Verifier	Issued by	Legal reference
O2-6.1.2: For restricted species, before utilization of timber, a logging permit holder has paid royalties and forest maintenance fee (unless a specific logging permit identifying that it has been granted a royalty exemption).	1) Receipt of royalty payment	RFD or provincial Natural Resources and Environment division	Forest Act, 1941 Section 14,15 RFD regulation on checking, sealing, collecting the royalty of timber, firewood or charcoal, 1967 Clause 14
	2) Receipt of forest maintenance fee	Local forest resource management division	
Description of Verification Process: In case of restricted timber, a law specifies that an applicant can pay a the royalty partially before receiving a logging permit. The rest of the royalty must be paid after an applicant receives a logging permit. A competent officer issues a receipt of a royalty, and of a forest maintenance fee, and keeps stubs. A receipt of royalty and a marking of royalty are verified when they are to issue transportation permit. In case of non-restricted timber, permission from a competent officer is not requested and a royalty and a forest maintenance fee is not paid.			Verified by: RFD officer
Verification means: 1. Documentary review 2. Timber inspection			Frequency: Per shipment

Indicator	Verifier	Issued by	Legal reference
O2-6.1.3: For unrestricted species, an operator has paid a fee before timber arrives at the first RFD checkpoint.	Receipt	Provincial Natural Resources and Environment division or local forest resource management division	Forest Act, 1941 Section 25
<p>Description of Verification Process: An operator pays a fee when timber enters the first RFD checkpoint. Furthermore, a provincial Natural Resources and Environment office or a local Forest Resources Management office issues a receipt and keeps a stub. A receipt of a royalty is verified when it is to issue transportation permit.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O2-6.1.4: Before obtaining a transportation permit, the owner has paid transportation permit fee.	Receipt	Provincial Natural Resources and Environment division or local forest resource management division	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act, 1941 on fee rate
<p>Description of Verification Process: Before receiving a transportation permit, an operator must pay a fee for a receipt and keep a stub of it. Transportation permit indicates that a fee is paid and is checked by a competent officer at every RFD checkpoint where timber passes.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>

OPERATOR 3 PRIVATE LAND OPERATORS

Principle 1: Operator Legality (including Land)

Criteria 1.1: Operator's right to access land

Indicator	Verifier	Issued by	Legal reference
O3-1.1.1: An operator sourcing timber on private land must be a land owner or a land tenant.	1) Title deed	Department of Land	Land Code Civil and Commercial Code Part 3 Specific Contract type 4: Lease
	2) Certificate of possessive right (Nor Sor 3, Nor Sor 3Kor, Nor Sor 3Khor)	Department of Land	
	3) Acknowledged letter of possessive letter (Sor Cor 1)	Head of district cluster, district-chief officer or deputy district chief	
	4) Pre-emptive certificate (Nor Sor 2)	Head of district cluster, district-chief officer or deputy district chief	
	5) Land lease agreement or Letter of permission for land utilization of the land type outlined in 1) – 4) above	Lessors who has an ownership or possessive right	
<p>Description of Verification Process: An operator who wishes to register a plantation must submit evidence of land use and a request. If a competent officer checks that the evidence is legal and effective, a competent officer surveys the area for further plantation registration.</p> <p>An operator who wishes to register a plantation or request permission to log must show evidence of land ownership or possessive right together with a request. If a competent officer finds that an evidence is legal and effective, a competent officer surveys a registered plantation or area where is requested for logging.</p> <p>For unrestricted species is not regulated by the Forest Act for logging, therefor there are no need to apply for a logging permit and a transportation of timber.</p> <p>(For Sor Cor 1, Nor Sor 2 and its land lease agreement or letter of permission for land utilization, an operator cannot be registered as a plantation)</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by:</p> <p><i>Inside Bangkok:</i> RFD officer</p> <p><i>Outside Bangkok:</i> Provincial Natural Resources and Environment officer</p> <p>Frequency:</p> <p>Per registration of plantation or application of logging</p>
Principle 2: Operator's Forest Management, Harvesting Obligations and Practices			
Criteria 2.1: Right to harvest (registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O3-2.1.1: A plantation entrepreneur has a right to cut or fell specific species and no more than the quantity of trees registered.	1) Certificate of plantation registration (Sor Por 3)	Plantation registrar that are for <i>inside Bangkok</i> : RFD director general	Plantation Act, 1992 Section 6 Ministerial Regulation on an application for registering a

		for <i>outside Bangkok</i> : provincial governor	plantation and issuing a certificate of registered plantation, 2018
	2) List of species and amount of planted and maintained trees.	Plantation entrepreneur	
	3) Notification of harvesting timber in registered plantation. (Sor Por 12)	Plantation entrepreneur	
<p>Description of Verification Process: After a registrar accepts a registration, a registrar issues a certificate of plantation registration (Sor Por 3). Additionally, a plantation entrepreneur must provide and deliver a list of trees showing species and amount of planted and maintained trees to a registrar. If there are some changes of species or amount later, a request must be submitted to a registrar. Moreover, a plantation entrepreneur has a right to fell only trees in accordance with a tree account submitted to a registrar.</p> <p>After a plantation entrepreneur submits a form of felling trees, a provincial Natural Resources and Environment officer checks whether it is consistent with a submitted account, and provides a comment to a district-chief officer.</p> <p>Verification means: Documentary review</p>			<p>Verified by: <i>Inside Bangkok</i>: RFD officer <i>Outside Bangkok</i>: Provincial Natural Resources and Environment officer</p> <p>Frequency: Per notification of harvesting timber</p>
Indicator	Verifier	Issued by	Legal reference
O3-2.1.2: Before cutting or felling timber, a plantation entrepreneur provides notice to the registrar with a list of trees intended to be cut or felled.	Acknowledged Certificate on harvesting a tree (Sor Por 13)	<i>Inside Bangkok</i> : Director of Private Reforestation Division <i>Outside Bangkok</i> : Local chief-district officer	Plantation Act, 1992 Section 11, 12
<p>Description of Verification Process: If a plantation entrepreneur wishes to fell trees, a plantation entrepreneur must provide a report to a district-chief officer. If a report is consistent with an account, a district-chief officer issues an acknowledged certificate on harvesting a tree from plantation. Furthermore, a plantation entrepreneur must keep the certificate at a plantation in order to show to a competent officer when getting checked.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per notification of harvesting timber</p>
Criteria 2.2: Right to harvest (non-registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O3-2.2.1: For restricted species, a logging permit holder harvests only specific species and quantity of trees as permitted in a selected tree list issued with the logging permit.	Logging permit with a list of selected trees to harvest	RFD director general	Forest Act, 1941 Section 6,7,11

<p>Description of Verification Process: In case of restricted timber, before issuing a logging permit, a competent officer and an applicant surveys only trees that need a permission, marks on timber, and provides a list of selected trees to harvest. After the trees are felled and before timber is dragged to a place of gathering harvested timber, a competent officer checks whether the felled timber is consistent with a timber account attached to a permit, marks a personal marking (Tor marking), an order of number and a dragging marking on the stub of each timber, and provides a list of timber dragging in order that an authorized officer is able to calculate a royalty.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: RFD officer</p> <p>Frequency: Per harvesting timber</p>
Principle 3: Sourcing and Transportation of Timber			
Criteria 3.1: For timber derived from registered plantation			
Indicator	Verifier	Issued by	Legal reference
O3-3.1.1: After harvesting timber, a Plantation Entrepreneur must use a registered seal to stamp or to signify its ownership onto timber derived from its registered plantation.	1) Certificate of seal registration (Sor Por 8)	Plantation registrar that are for <i>inside Bangkok</i> : RFD director general for <i>outside Bangkok</i> : provincial governor	Plantation Act,1992 Section 9, 13
	2) In case of a seal used through hammering, there must be a certificate of stamp (Sor Por 9)	Plantation registrar that are for <i>inside Bangkok</i> : RFD director general for <i>outside Bangkok</i> : provincial governor	
<p>Description of Verification Process: After the trees are harvested and before timber is taken out of a plantation, timber must be marked by a registered seal of a plantation's owner which is certified by a registrar together with a marking made by a registrar in accordance with a certificate of seal registration. In case of a seal used through hammering, there must be a certificate of stamp. A transferee of timber must ensure that a plantation entrepreneur has a right to use the timber.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: Plantation registrar</p> <p>Frequency: Once the seal is registered and per shipment</p>
Indicator	Verifier	Issued by	legal reference
O3-3.1.2: A person transporting timber out of a registered plantation holds a transportation document referring to an acknowledged certificate, declaring a list of timber, indicating the place where timber was loaded	1) Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber	Plantation entrepreneur	Plantation Act,1992 Section 13, 21
	2) Acknowledged letter on harvesting timber from registered plantation (Sor Por	<i>Inside Bangkok</i> : Director of Private Reforestation Division	

and destination, and identifying the person responsible for the timber being transported.	13) or a copy of Sor Por 13 certified by competent officer	<i>Outside Bangkok:</i> Local chief-district officer	
<p>Description of Verification Process: A plantation entrepreneur must possess a signed list of timber derived from registered plantation (Sor Por 15) which is registered to a provincial Natural Resources and Environment officer. Moreover, a plantation entrepreneur must fill out a certificate of Sor Por 15 referring to an acknowledged letter on harvesting timber from registered plantation (Sor Por 13), declaring a list of transported timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.</p> <p>Sor Por 15 include 3 part are</p> <p>Part 1: It is attached to timber along the way of transporting and every timber must be marked to show a possession of a plantation entrepreneur.</p> <p>Part 2: A plantation entrepreneur must deliver it to a provincial Natural Resources and Environment office.</p> <p>Part 3: A plantation entrepreneur must keep it.</p> <p>A transporter is responsible for controlling all transported timber to be compliant with a list of transported timber along the way of transporting to a written destination.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O3-3.1.3: A transferee of timber must be named in the transportation document.	Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of transported timber	Plantation entrepreneur	Plantation Act, 1992 Section 13, 21
<p>Description of Verification Process: Before transporting timber out of a plantation, a plantation entrepreneur must identify who is a transferee and where timber will be transferred to. A plantation entrepreneur must identify a name of a transferee with residence in Sor Por 15.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep in a transferee's place. After that, a transferee records an acquired timber in a timber recordkeeping and keeps Sor Por 15 as an evidence of legally acquiring.</p> <p>Both of Sor Por 15 and a timber recordkeeping are verified by a competent officer who inspects an operating place.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Criteria 3.2: For timber derived from non-registered plantation			
Indicator	Verifier	Issued by	Legal reference
O3-3.2.1: A logging permit holder must pay a royalty in order to acquire timber (unless a	1) <i>For logging in the land of Sor Cor 1 and Nor Sor 2:</i> Receipt of royalty payment	RFD	Forest Act, 1941 Section 14, 14 bis

specific logging permit identifying that it has been granted a royalty exemption).	2) <i>For logging in the land of title deed and certificate of possessive right:</i> Logging permit identified that royalty exemption	RFD	
<p>Description of Verification Process: To pay a royalty, a competent officer checks whether timber is consistent with a list of dragged timber. If yes, a competent officer stamps a personal marking and royalty marking (Phor Lor Marking). However, if a royalty is exempted, a competent officer stamps a marking of exempted royalty (Aor Yor Marking) on each log. A competent officer calculates and provides a list of timber that a royalty had been paid. Moreover, an applicant is informed to pay a royalty for a receipt and the list of timber that is paid already.</p> <p>If a request for transportation permit is submitted before timber is transported, a competent officer checks whether a receipt is legal. Furthermore, a competent officer checks whether species, amount, size, quantity and marking or stamp is consistent with an account attached to a receipt of royalty. If a royalty is exempted, a competent officer must check whether all information is consistent with a list of timber attached to logging permit, and whether there is a marking of exempted royalty before issuing transportation permit.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O3-3.2.2: Timber derived from old building which is a timber of a restricted species, or timber with a name matching that of a restricted species, has been used as a construction material or related tool and has been in such state for more than 10 years for Teak or 5 years for other species, unless the minister announces a special requirement for a specific province extending the requirement up to 20 years.	Report on inspection of character and generality of a building	Inspection committee appointed by provincial governor or RFD director general	<p>Forest Act, 1941 Section 39 tres</p> <p>RFD regulation on transport a restricted species or a species, which is the name/kind is the same as restricted species, which are have been a building or tool transporting to outside the province, 2017</p>
<p>Description of Verification Process: A competent officer under an inspection committee checks accuracy and completion of documents, which are land right document, a photo, a brief map and other related documents. After that, a competent officer surveys to inspect a character and generality of a building or an appliance that is requested to demolished in order to consider whether it follows given conditions. If yes, a demolition is allowed. Moreover, a competent officer provides a list of timber, including species, amount, size, volume, and marks a personal marking on each timber. Nevertheless, if a marking cannot be put on timber, a reason should be written as a remark on a list of timber with an inspection committee's and an applicant's signature on every page of a timber account so that RFD director general or provincial governor considers to issue a permit of timber moving (Mor Kor 4) .</p>			<p>Verified by: RFD officer</p> <p>Frequency: Per demolition</p>

Verification means: 1. Documentary review 2. Field inspection			
Indicator	Verifier	Issued by	Legal reference
O3-3.2.3: A person transporting timber holds a transportation document referring to evidence of acquisition, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	1) <i>For Logs</i> : Transportation permit	<i>Inside Bangkok</i> : RFD officer <i>Outside Bangkok</i> : Provincial Natural Resources and Environment officer	Forest Act, 1941 Section 38, 39, 39 tres Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5
	2) <i>Timber from old building</i> : Permit of timber moving (Mor Kor 4)	<i>Inside Bangkok</i> : RFD director general <i>Outside Bangkok</i> : Provincial governor	
Description of Verification Process: <i>Logs</i> : To request transportation permit, a competent officer checks that logs were acquired legally, so a competent officer marks a personal marking (Tor marking) on each log. If a marking cannot be put on timber, a reason should be written as a remark on transportation permit and a competent officer provides a list of transported timber attached to transportation permit. Furthermore, a previous list of timber, that a royalty had been paid, must be updated that logs are transported. An operator receives transportation permit for transportation of logs. When a transporter moves into a RFD checkpoint, a transporter must inform every checkpoint along the way in order to be checked by a competent officer. A competent officer checks whether Transportation Permit is acquired legally and whether timber is consistent with an evidence of timber acquisition. After that, a competent officer marks a personal marking (Tor marking) as a competent officer can do, records that transportation permit is informed, and issues a permit letter of passing a RFD checkpoint. In case of a RFD checkpoint as a destination, a competent officer checks timber, marks a personal marking (Tor marking), and allows timber to enter a RFD checkpoint. <i>Timber from old building</i> : a permit of timber moving (Mor Kor 4) goes along a transportation to a given destination without informing a RFD checkpoint. If timber arrives a destination and continues transporting, the same transportation permit used as an evidence of timber acquisition in order to request a new transportation permit.			Verified by: RFD officer and provincial Natural Resources and Environment officer Frequency: Per shipment
Indicator	Verifier	Issued by	Legal reference
O3-3.2.4: A transferee of timber must be named in the transportation document.	1) <i>For Logs</i> : Transportation permit	<i>Inside Bangkok</i> : RFD officer <i>Outside Bangkok</i> : Provincial Natural Resources and Environment officer	Forest Act, 1941 Section 38, 39, 39 tres Ministerial Regulation No. 26 (1985) issued under the Forest

	2) <i>Timber from old building</i> : Permit of timber moving (Mor Kor 4)	<i>Inside Bangkok</i> : RFD director general <i>Outside Bangkok</i> : Provincial governor	Act, 1941 on moving of timber or forestry products, Clause 2,5
<p>Description of Verification Process: Before transporting timber out of a place of gathering harvested timber rest, a permit holder must realize that who is a transferee and where timber is transferred to. A plantation entrepreneur must identify a name of a transferee with residence in transportation document.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep in a transferee's place. After that, a transferee records an acquired timber in a timber recordkeeping and keeps transportation document as an evidence of legally acquiring.</p> <p>Transportation document and a timber account are verified by a competent officer when an operating place is inspected.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Principle 4: Operator's Tax, Fee & Other Payment Obligations			
Criteria 4.1: Forest sector payment (non-registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O3-4.1.1: For restricted species, before obtaining a logging permit, the operator has paid a logging permit fee.	Receipt	RFD	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act, 1941 on fee rate
<p>Description of Verification Process: An operator pays a fee. When a logging permit is issued, a competent officer issues a receipt and keeps a stub at RFD.</p> <p>A logging permit indicates that a fee is paid.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per issuing a logging permit</p>
Indicator	Verifier	Issued by	Legal reference
O3-4.1.2: For restricted species, before utilization of timber, a logging permit holder has paid royalties and forest maintenance fee (unless a specific logging permit identifies that it has been granted a royalty exemption).	1) <i>For logging in the land of Sor Cor 1 and Nor Sor 2</i> : Receipt of royalty payment	RFD	Forest Act, 1941 Section 14,14 bis, 15 RFD regulation on checking, sealing, collecting the royalty of timber, firewood or charcoal, 1967 Clause 14
	2) <i>For logging in the land of title deed and certificate of possessive right</i> : Logging permit identified that royalty exemption	RFD	

<p>Description of Verification Process: In case of restricted timber, a law specifies that a royalty must be paid in advance for some before an applicant receives a logging permit. The rest of a royalty must be paid after an applicant receives a logging permit. A competent officer issues a receipt of a royalty, and of a forest maintenance fee, and keeps stubs. A receipt of royalty and a marking of royalty are verified when they are to issue transportation permit. In case of non-restricted timber, a permission from a competent officer is not be requested and a royalty and a forest maintenance is not paid.</p> <p>Verification means: 1. Documentary review 2. Timber inspection</p>			<p>Verified by: RFD officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O3-4.1.3: Before obtaining a transportation permit, the owner has paid transportation permit fee.	Receipt	Provincial Natural Resources and Environment division or local forest resource management division	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act,1941 on fee rate
<p>Description of Verification Process: Before receiving transportation permit, an operator must pay a fee for a receipt and keep a stub of it. Transportation permit indicates that a fee is paid and is checked by a competent officer at every RFD checkpoint where timber passes.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>

OPERATOR 4 IMPORTED TIMBER OPERATORS

Principle 1: Operator Legality (including Land)			
Criteria 1.1: Operator's right to import			
Indicator	Verifier	Issued by	Legal reference
O4-1.1.1: An operator intending to import timber or timber products must declare a detail of importing goods and submit specified documents to the Custom Department.	1) Bill of Lading	Shipper	Customs Act, 2017 Section 51 Rule of ministry of commerce on an appointment of customhouse relating to import of timber into the kingdom of Thailand (No.2), 2003
	2) Invoice	Exporter of an exporting country	
	3) Packing List	Exporter of an exporting country	
	4) Lading Summary	Exporter of an exporting country	
	5) <i>For import at Thailand-Myanmar boundary and Thailand-Cambodia boundary: Certificate of Origin or evidence of permission on export</i>	Government agency of an exporting country	
	6) Import entry declaration	Thai Customs Department	
	7) <i>For log and processed timber: Record of co-inspection</i>	Thai Customs officer and RFD officer	
<p>Description of Verification Process: An operator who wishes to import timber and timber products must deliver information for import entry declaration into Thai Customs Department's computer system, including other related documents. The system calculates tax so that an importer pays tax. After tax is paid, the risk management system declares whether cargo needs to be opened for checking. After inspection, import entry declaration is numbered before cargo is released from the customs custody.</p> <p><i>Importation of logs and processed timber:</i> Before cargo is released from the customs custody, a customs officer collaborates with an RFD officer to open and inspect cargo in every case. Officers inspect legality of logs and processed timber, information declaring on import entry declaration and other related documents, and provides a report of co-inspection. If information is accurate, a customs officer approves of releasing cargo on a computer system.</p> <p>Verification means: Documentary review</p>			<p>Verified by: Thai customs officer and RFD officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O4-1.1.2: Import of CITES listed species, an operator must be permitted by the Department of Agriculture.	1) Letter of export permission	Government agency of an exporting country	Plant variety Act, 1975 Section 29 tres
	2) Letter of import permission	Director general of the Department of Agriculture	
<p>Description of Verification Process: When an operator imports a CITES listed species, an operator must submit a request for import permission to a competent officer of Department of Agriculture. A competent officer checks a letter of export permission issued by a government agency of an exporting country. Moreover, classification of conservative species needs to</p>			<p>Verified by: Department of Agriculture officer and RFD officer</p>

<p>be checked whether it is consistent with the letter of export permission. Therefore, a competent officer issues a letter of import permission.</p> <p>To inspect an imported cargo (co-inspect) and to verify timber for Transportation Permit, a RFD officer verifies species. If the species is a CITES listed species, attached letter of import permission is verified as well.</p> <p>Verification means: Documentary review</p>			<p>Frequency: Per shipment</p>
Principle 2: Sourcing and Transportation of Timber			
Criteria 2.1: For timber derived from non-registered plantation			
Indicator	Verifier	Issued by	Legal reference
O4-2.1.1: An importer must comply with import customs clearance requirements in order to demonstrate legitimate acquisition of timber.	1) Import entry declaration	Thai Customs Department	Customs Act, 2017 Section 51
	2) Receipt of duty payment	Thai Customs Department	
<p>Description of Verification Process: A customs clearance for importation is a verification process of imported timber acquired in the Kingdom of Thailand. Issuing Import entry declaration and a receipt of duty confirms that acquisition of timber and timber products is legal.</p> <p>In case of logs and processed timber, an importer must show Import entry declaration and a receipt of duty for Transportation Permit. An RFD officer checks whether Import entry declaration and a receipt of duty are legal before issuing transportation permit.</p> <p>Verification means: 1. Documentary review 2. Timber inspection</p>			<p>Verified by: Thai customs officer and RFD officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O4-2.1.2: A transporter who transports round timber or processed timber holds a transportation document referring to evidence of acquisition, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.	Transportation permit	RFD	Forest Act, 1941 Section 38, 39
<p>Description of Verification Process: To request transportation permit, a competent officer checks that timber is acquired legally and marks a personal marking (Tor marking) on each log. If a marking cannot be put on timber, a reason should be written as a remark on transportation permit and a competent officer provides a list of transported timber attached to transportation permit. Furthermore, a lading summary must be updated that timber are transported. An operator keeps transportation permit for transportation of timber.</p>			<p>Verified by: Thai customs officer and RFD officer</p> <p>Frequency:</p>

<p>Transportation Permit is checked by a customs officer who controls releasing logs and processed timber out of custom custody. When a transporter moves into a RFD checkpoint, a transporter must inform every checkpoint along the way in order to be checked by a competent officer. A competent officer checks whether transportation permit is acquired legally and whether timber is consistent with an evidence of timber acquisition. After that, a competent officer marks a personal marking (Tor marking) as a competent officer can do, records in transportation permit that RFD checkpoint officer is informed on transportation of such timber, and issues a permit letter of passing a RFD checkpoint. In case of a RFD checkpoint as a destination, a competent officer checks timber, marks a personal marking (Tor marking), and allows timber to enter a RFD checkpoint area.</p> <p>If timber arrives a destination and continues transporting, the same Transportation Permit is used as an evidence of timber acquisition in order to request a new transportation permit.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			Per shipment
Principle 3: Operator's Tax, Fee & Other Payment Obligations			
Criteria 3.1: Forest sector payment (non-registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O4-3.1.1: Before obtaining a transportation permit, the owner has paid transportation permit fees.	Receipt	RFD	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act, 1941 on fee rate
<p>Description of Verification Process: An operator pays a fee. When a transportation permit is issued, a competent officer issues a receipt and keeps a stub at RFD.</p> <p>A transportation permit indicates that a fee is paid.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer</p> <p>Frequency: Per shipment</p>
Criteria 3.2: Duty payment (non-forest sector payment)			
Indicator	Verifier	Issued by	Legal reference
O4-3.2.1: Before inspection and release of cargo, an operator has paid duties on importing goods.	Receipt of duty payment	Thai Customs Department	Customs Act, 2017 Section 13 The Customs Tariff Decree, 1987 Section 4
<p>Description of Verification Process: When an importer delivers information in order to create an import entry declaration in a computer system, a system checks information of cargo and calculates duty. The importer must pay for duty at an account and duty division of a customshouse. Thai Customs Department issues a receipt and keeps a stub. Therefore, an evidence of duty payment shows on a system of Customs Department.</p> <p>A receipt is verified by an RFD officer when an importer requests a transportation permit.</p>			<p>Verified by: RFD officer</p> <p>Frequency: Per shipment</p>

Verification means: Documentary review	
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OPERATOR 5 PROCESSING AND PRODUCTION OPERATORS

Principle 1: Operator Legality (including Land)			
Criteria 1.1: Right to process timber under the Plantation Act			
Indicator	Verifier	Issued by	Legal reference
O5-1.1.1: A plantation entrepreneur has a right to process timber derived from its registered plantation without a processing permit.	1) Certificate of plantation registration (Sor Por 3)	Plantation registrar that are for <i>inside Bangkok</i> : RFD director general for <i>outside Bangkok</i> : provincial governor	Plantation Act,1992 Section 10
	2) Acknowledged certificate on harvesting a tree (Sor Por 13)	<i>Inside Bangkok</i> : Director of Private Reforestation Division <i>Outside Bangkok</i> : Local chief-district officer	
<p>Description of Verification Process: A plantation entrepreneur who receives an acknowledged certificate on harvesting a tree (Sor Por 13) is able to process timber in his or her own plantation without permission, in accordance with Plantation Act and Forestry Act.</p> <p>When a plantation entrepreneur wishes to take processed timber out of a plantation, a plantation entrepreneur must provide an acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber and deliver Part 2 of Sor Por 15 to RFD or provincial Natural Resources and Environment office. Moreover, a competent officer verifies whether a list of timber accompanied with Sor Por 15 is consistent with a list of timber in Sor Por 13.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O5-1.1.2: A plantation entrepreneur holds a permit to use a specified place to process timber derived from any registered plantation, and prepare an updated a processing place recordkeeping.	1) Permit on processing place to process timber from registered plantation	Plantation registrar that are for <i>inside Bangkok</i> : RFD director general for <i>outside Bangkok</i> : provincial governor	Plantation Act,1992 Section 10/1 Ministerial regulation on asking for permission and issuing a permit on processing place to process timber from registered plantation, 2018
	2) Timber recordkeeping and/or timber product recordkeeping	Permit holder of processing place to process timber from registered plantation	
<p>Description of Verification Process: A plantation entrepreneur must submit a request for a place of processing plantation timber that contains a certificate of plantation registration and an acknowledged certificate on harvesting a tree (Sor Por 13) without a permission of processing timber in accordance with Forestry Act.</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p>

<p>A plantation entrepreneur who is a permit holder must provide a list of timber referred to a source of origin, quantity of acquired timber, quantity of sold timber and the quantity of timber remaining in a processing place. An RFD officer or a provincial Natural Resources and Environment officer checks to ensure that the timber come from a registered plantation.</p> <p>Verification means: 1. Documentary review 2. Field inspection</p>			<p>Frequency: Once asking for permission</p>
Criteria 1.2: Right to process timber under the Forest Act			
Indicator	Verifier	Issued by	Legal reference
<p>O5-1.2.1: An operator intending to establish a processing factory has been permitted by RFD and prepares an updated a factory recordkeeping.</p>	<p>1) Permit on establishment of processing factory</p>	<p><i>Inside Bangkok:</i> RFD director general <i>Outside Bangkok:</i> provincial governor</p>	<p>Forest Act, 1941 Section 48, 50, 51 Ministerial Regulation No. 25 (1976) issued under Forest Act, 1941 on processing timber and possessing processed timber Clause 6, 7 Regulation No. 11, 1972, issued under Forest Act, 1941 on the control of the sawmills, using wood processing machinery Resolution of cabinet on 25th January, 1994 on establishment of processing factory (sawmill) to produce a processed timber or woodchip from rubber and listed 13 species</p>
	<p>2) Timber recordkeeping and/or timber product recordkeeping</p>	<p>Permit holder</p>	
<p>Description of Verification Process: To receive a permit for establishment of a processing factory, an operator must submit a request to RFD director general (inside Bangkok) or a district-chief officer (outside Bangkok), a permit holder must provide a timber recordkeeping include a log recordkeeping, a processed timber recordkeeping and/or a timber products recordkeeping, and update a list of acquired timber of a factory, quantity of acquired timber, quantity of processed timber, quantity of the rest and quantity of sold timber. In addition, log and processed timber record of factory must be provided and a total of each species of log and processed timber that are acquired and sold in a month must be updated in the record as well. A permit must be extended every year. To submit a request to extend a permit, an approved applicant must show a timber recordkeeping of a factory to a competent officer in order to be checked and stamped. Moreover, a competent officer checks a timber recordkeeping and verifies whether an operator possesses a permit for the early period. However, a competent officer</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Once asking for permission (and at least once a year)</p>

inspects a factory at least once a year to verify whether an operator possesses a permit and whether a timber recordkeeping is consistent with possessive timber in a factory.			
Verification means:			
1. Documentary review			
2. Field inspection			
Indicator	Verifier	Issued by	Legal reference
O5-1.2.2: An operator processing restricted species temporarily has a certain timber that he or she is intending to process and is permitted to process that timber for not more than 90 days per permit.	1) Permit on processing timber	<i>Inside Bangkok:</i> RFD director general <i>Outside Bangkok:</i> provincial governor	Forest Act, 1941 Section 48
	2) Timber recordkeeping	Permit holder	
<p>Description of Verification Process: An operator who wishes to process timber temporarily must provide a list of existing timber by identifying species, amount and volume of timber for processing. A timber that will be processed needs an evidence of timber acquisition to request for a permission.</p> <p>A competent officer checks whether a document is accurate and legal, and considers a permission with reasons and temporary need. A permit is valid not over 90 days.</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Once asking for permission</p>
Principle 2: Sourcing and Transportation of Timber			
Criteria 2.1: Process a timber under the Plantation Act			
Indicator	Verifier	Issued by	Legal reference
O5-2.1.1: A processing place permit holder processes timber from registered plantation only.	1) Acknowledged Certificate on harvesting a tree (Sor Por 13)	Plantation registrar that are for <i>inside Bangkok:</i> RFD director general for <i>outside Bangkok:</i> provincial governor	Plantation Act, 1992 Section 11, 13
	2) <i>In case of timber taken from others plantation entrepreneur:</i> Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber	Plantation entrepreneur	
<p>Description of Verification Process: A permit holder of a processing place to process timber from registered plantation must provide a list of existing timber by identifying species, amount and quantity and show an evidence of timber acquisition to request for a permission.</p>			<p>Verified by:</p>

<p>A competent officer checks that document is legal and timber comes from a plantation in order to consider a permission for processing timber. A permit is valid not over 180 days.</p> <p>Verification means: Documentary review</p>			<p>RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Once asking for permission</p>
Indicator	Verifier	Issued by	Legal reference
<p>O5-2.1.2: A person transporting timber out of a registered plantation holds a transportation document referring to an acknowledged certificate, declaring a list of processed timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported.</p>	<p>1) Acknowledged Certificate on harvesting a tree (Sor Por 13)</p>	<p>Plantation registrar that are for <i>inside Bangkok</i>: RFD director general for <i>outside Bangkok</i>: provincial governor</p>	<p>Plantation Act,1992 Section 13</p>
	<p>2) Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber</p>	<p>Plantation entrepreneur</p>	
<p>Description of Verification Process: Processed timber or timber products under Plantation Act needs an acknowledged letter of a timber derived from registered plantation (Sor Por 15) form that is registered with RFD or provincial Natural Resources and Environment office.</p> <p>Before timber is transported out of a processing place, a plantation entrepreneur or a permit holder of processing place must fill out a certificate of plantation timber account (Sor Por 15) referred to an acknowledged Certificate on harvesting a tree (Sor Por 13), declaring a list of processed timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being transported. Sor Por 15 contains 3 part are</p> <p>Part 1: It is attached to timber along the way of transporting and every timber must be marked to show a possession of a plantation entrepreneur.</p> <p>Part 2: A plantation entrepreneur must deliver it to a provincial Natural Resources and Environment office.</p> <p>Part 3: A plantation entrepreneur must keep it.</p> <p>A transporter is responsible for controlling all transported timber to be compliant with a list of transported timber accompanied with Sor Por 15 along the way of transporting to a written destination.</p> <p>Verification means: 1. Documentary review 2. Timber inspection</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
<p>O5-2.1.3: A transferee of timber must be named in the transportation document.</p>	<p>1) Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber</p>	<p>Plantation entrepreneur</p>	<p>Plantation Act,1992 Section 13, 21</p>

<p>Description of Verification Process: Before transporting timber out of a plantation, a plantation entrepreneur must realize that who is a transferee and where timber is transferred to. A plantation entrepreneur must identify a name of a transferee with residence in Sor Por 15.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep in a transferee's place. After that, a transferee records an acquired timber in a timber recordkeeping and keeps Sor Por 15 as an evidence of legally acquiring.</p> <p>Both of Sor Por 15 and a timber recordkeeping are verified by a competent officer who inspects an operating place.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Criteria 2.2: Process a timber under the Forest Act			
Indicator	Verifier	Issued by	Legal reference
O5-2.2.1: A processing permit holder possesses and processes a timber with an evidence of legitimate acquisition.	1) <i>Timber from registered plantation:</i> Acknowledged Certificate on harvesting a tree (Sor Por 13) and Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber	<i>Sor Por 13:</i> Plantation registrar that are for <i>inside Bangkok:</i> RFD director general, for <i>outside Bangkok:</i> provincial governor <i>Sor Por 15:</i> Plantation entrepreneur	Forest Act, 1941 Section 49 bis, 51 Plantation Act, 1992 Section 21
	2) <i>Logs harvested with a permission:</i> Transportation permit	RFD officer and provincial Natural Resources and Environment officer	
	3) <i>Processed timber:</i> Movement document or transportation permit	<i>Movement document:</i> Permit holder on processing timber <i>Transportation permit:</i> RFD officer or provincial Natural Resources and Environment officer	
	4) <i>Imported timber:</i> Transportation permit	RFD officer or provincial Natural Resources and Environment officer	
	5) <i>For timber unregulated by any law:</i> Evidence of legitimate acquisition	Seller	
<p>Description of Verification Process: When a permit holder takes timber into a processing factory, an operator must check whether evidence of timber acquisition is legal and whether acquired timber is consistent with a list of transported timber</p>			<p>Verified by:</p>

<p>accompanied by the evidence of timber acquisition. Additionally, the evidence must be kept and a timber recordkeeping of a factory must be updated.</p> <p>The timber recordkeeping is verified by a competent officer when a permit for establishment of a timber processing factory is extended. Furthermore, a competent officer inspects an operating place in order to check timber in a factory, an evidence of timber acquisition, and a timber recordkeeping at least once a year.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per issuing a permit (and at least once a year)</p>
Indicator	Verifier	Issued by	Legal reference
O5-2.2.2: For a factory to process rubber and listed species, a processing permit holder possesses and processes only rubber and listed species as specified by the law with an evidence of legitimate acquisition.	Evidence of legitimate acquisition	Seller	<p>Forest Act, 1941 Section 49 bis, 51</p> <p>Regulation No. 11, 1972, issued under Forest Act, 1941 on the control of the sawmills, using wood processing machinery</p>
<p>Description of Verification Process: When a permit holder takes timber into a processing factory, an operator must check whether an evidence of rubber and listed species acquisition is legal and whether acquired timber is consistent with a list of transported rubber and listed species accompanied by the evidence of rubber and listed species acquisition. Additionally, the evidence must be kept and the rubber and listed species recordkeeping of a factory must be updated.</p> <p>Rubber and listed species recordkeeping is verified by a competent officer when a permit for establishment of a rubber and listed species processing factory is extended. Furthermore, a competent officer inspects an operating place in order to check rubber and listed species in a factory, an evidence of timber acquisition, and a rubber and listed species recordkeeping at least once a year.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per issuing a permit (and at least once a year)</p>
Indicator	Verifier	Issued by	Legal reference
O5-2.2.3: For processed timber and/or a timber product made from restricted species departing from a warehouse, a transporter holds a transportation document referring to evidence of acquisition, recording a list of a processed timber and/or timber products, indicating the place where the processed timber and/or the timber products were	<p>Movement document of processed timber or</p> <p>Movement document of processed rubber or</p> <p>Movement document of timber product made from restricted species</p>	<p>Permit holder on processing timber or Permit holder on trading place</p>	<p>Ministerial Regulation No. 27 (1987) issued under Forest Act, 1941 on trade or possession for commercial purposes, product, or any of those made from restricted species Clause 6</p>

loaded and destination, and identifying the person responsible for the timber being transported.			Regulation No. 11, 1972 , issued under Forest Act, 1941 on the control of the sawmills, using wood processing machinery Clause 9
<p>Description of Verification Process: A permit holder of establishment of a timber processing factory must issue a movement document of processed timber, a movement document of processed rubber or a movement document of timber products made from restricted species which is registered to a competent officer. Before taking processed timber or timber products out of a factory, a permit holder must fill out a movement document referring to evidence of timber acquisition, provide a list of transported timber, and indicating the place where the processed timber and/or the timber products were loaded and destination, and identifying the person responsible for the timber being transported. <i>A movement document of processed timber</i> contains 3 parts: Part 1 is attached to timber along the way of transportation. Part 2 must be delivered to provincial governor or RFD. Part 3 is kept by a permit holder. However, a movement document is used for transportation in the same province/provincial cluster only. If a permit holder wishes to transport out of provincial/provincial cluster area, a movement document of processed timber is used to request transportation permit. <i>A movement document of processed rubber and a movement document of timber products</i> made from restricted species contain 2 parts: Part 1 is attached to timber along the way of transportation. Part 2 is kept by a permit holder A transporter of processed timber or timber products is responsible for controlling all transported timber to be consistent with a list of transported timber along the way of transportation to a written destination.</p> <p>Verification means: 1. Documentary review 2. Timber or timber product inspection</p>			<p>Verified by: RFD officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O5-2.2.4: For any processed timber made from non-rubber and non-listed species, that is being transported out of a boundary of province or provincial cluster, a transporter holds a transportation permit referring to evidence of acquisition, recording a list of a processed timber and/or timber product, indicating the place where a processed timber and/or timber product was loaded and destination, and the person responsible for the timber being transported.	Transportation permit	RFD officer or provincial Natural Resources and Environment officer	Forest Act, 1941 Section 38,39 Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5

<p>Description of Verification Process: When a transporter transports processed non-rubber and processed non-listed species timber out of province or provincial cluster, a transporter must bring a movement document of processed timber to request transportation permit to a provincial Natural Resources and Environment officer or a RFD officer. A competent officer checks whether a movement document of processed timber is legal and whether timber is consistent with a list of transported timber. A competent officer marks a personal marking (Tor marking) on each timber. Nevertheless, if a marking cannot be put on timber, a reason should be written as a remark on transportation permit. Moreover, a timber account attached to transportation permit must be provided and a timber account attached to a movement document of processed timber must be updated to show that the processed timber is transported. A transporter keeps transportation permit for transportation. When a transporter moves into an RFD checkpoint, a transporter must inform every checkpoint along the way of transportation in order to be checked by a competent officer. A competent officer checks whether transportation permit is acquired legally and processed timber is consistent with an informed evidence. After that, a competent officer marks a personal marking (Tor marking), records that transportation permit is informed, and issues a permit letter of passing a forest checkpoint. In case of a forest checkpoint as a destination, a competent officer checks timber, marks a personal marking (Tor marking), and allows timber to enter an RFD checkpoint area. If timber arrives a destination and continues transporting, the same transportation permit is used as timber acquisition evidence and an operator proceeds as above.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O5-2.2.5: For timber products made from unrestricted species, an operator issues an invoice recording a list of timber products being sold, conforming to a warehouse recordkeeping.	Invoice	Seller	Forest Act, 1941 Section 48
<p>Description of Verification Process: In case of timber products made from unrestricted species, it is not compulsory to issue a movement document. However, to process timber for producing a timber product, a permit holder must provide a timber product recordkeeping of a factory. When a permit holder as a seller must issue an invoice to a purchaser, a list of timber products on an invoice must be consistent with a list on timber product recordkeeping of a factory.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber product inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
	1) <i>Processed timber</i> : Movement document or Transportation permit	Movement document: Permit holder on processing timber	Forest Act, 1941 Section 38, 39, 39 tres

<p>O5-2.2.6: A transferee of processed timber and/or timber product must be named in the transportation document.</p>		<i>Transportation permit:</i> RFD officer or provincial Natural Resources and Environment officer	Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5
	2) <i>Timber product made from restricted species:</i> Movement document	Permit holder on trading place	
	3) <i>Timber product made from unrestricted species:</i> Invoice	Seller	
<p>Description of Verification Process: Before transporting timber out of a trading place, a permit holder must identify who is a transferee and where timber will be transferred to. A plantation entrepreneur must identify a name of a transferee with residence in transportation document.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep in a transferee's place. After that, a transferee records an acquired timber on a timber recordkeeping and keeps transportation document as an evidence of legally acquiring.</p> <p>Transportation document and a timber recordkeeping are verified by a competent officer when an operating place is inspected.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber and timber product inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Principle 3: Operator's Environment and Social Obligation			
Criteria 3.1: Control of hazardous substance use			
Indicator	Verifier	Issued by	Legal reference
<p>O5-3.1.1: A factory operation licensee, who possesses a hazardous substance of a kind and in the quantity specified by the law, holds a hazardous substance license and reports hazardous substance storage to the responsible regulator.</p>	1) Possessive License of hazardous substance	Government agency controlling specific hazardous substance	Factory Act, 1992 Section 16 Announcement of Ministry of Industry on a storage of hazardous substance in a responsibility of the Department of Industrial works, 2008
	2) Annual report of safety on storage of hazardous substance	Factory operation licensee	
	3) Report of factory inspection (Inspection Form 2)	Department of industrial works officer	
<p>Description of Verification Process: A competent officer inspects an operating place. Moreover, the competent officer inspects the type of hazardous substance and how much there is. If it is a hazardous substance that requires a possessive license, the competent officer checks that the permit, related documents and storing procedure are consistent with laws. In addition, report of factory inspection is provided.</p> <p>A competent officer inspects when a factory license is extended in accordance with an annual plan, or when there is a suspicion or a claim.</p>			<p>Verified by: Department of Industrial works officer</p> <p>Frequency: Once asking for factory license (every five years) and as per</p>

Verification means: 1. Documentary review 2. Field inspection			annual plan of Department of Industrial works to inspect a factory
Criteria 3.2: Protection of environmental and social impact			
Indicator	Verifier	Issued by	Legal reference
O5-3.2.1: A factory operation licensee installs a system for controlling the discharge of waste, pollutants or anything affecting the environment as a result of the factory operation.	Report of factory inspection (Inspection Form 2)	Department of industrial works officer	Factory Act, 1992 Section 8 Ministry regulation No.2 (2535) under Factory Act B.E. 2535 Announcement of Ministry of Industry on designing a quantity of impurities in the air discharged from factory, 2006
Description of Verification Process: A competent officer inspects a production process causing pollution, and measures quantity of pollution, pollution management and type of pollution before both pre-production process and post-production process in an operating factory. Moreover, the competent officer provides a report of factory inspection, including a diagram of waste treatment and sample collecting point of pollution. A competent officer inspects when factory license is extended in accordance with an annual plan, or when there is a suspicion or a claim. Verification means: 1. Documentary review 2. Field inspection			Verified by: Department of Industrial works officer Frequency: Once asking for factory license (every five years) and as per annual plan of Department of Industrial works to inspect a factory
Indicator	Verifier	Issued by	Legal reference
O5-3.2.2: A factory operation licensee has in place measures to prevent distress from sound, smell and vibration that may happen to people or property in the factory or its vicinity.	Report of factory inspection (Inspection Form 2)	Department of industrial works officer	Factory Act, 1992 Section 8 Ministry regulation No.2 (2535) under Factory Act B.E. 2535
Description of Verification Process: A competent officer inspects a production process causing a difficulty, sound, odor, and vibration, including protection measures in an operating place, and provides a report of factory inspection. A competent officer inspects when a factory license is extended in accordance with an annual plan, or when there is a suspicion or a claim. Verification means: 1. Documentary review 2. Field inspection			Verified by: Department of Industrial works officer Frequency: Once asking for factory license (every five years) and as per annual plan of Department of

			Industrial works to inspect a factory
Indicator	Verifier	Issued by	Legal reference
O5-3.2.3: A factory operation licensee has a system for controlling or eliminating of industrial waste.	Report of factory inspection (Inspection Form 2)	Department of industrial works officer	Factory Act, 1992 Section 8 Announcement of Ministry of Industry on disposing of waste, 2005
<p>Description of Verification Process: A competent officer inspects a production process causing waste, inspects the waste and the quantity, including any waste or non-used material disposal in an operating place, and provides a report of factory inspection.</p> <p>A competent officer inspects when a factory license is extended in accordance with an annual plan, or when there is a suspicion or a claim.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: Department of Industrial works officer</p> <p>Frequency: Once asking for factory license (every five years) and as per annual plan of Department of Industrial works to inspect a factory</p>
Criteria 3.3: Mitigation of environmental and social impact			
Indicator	Verifier	Issued by	Legal reference
O5-3.3.1: A factory operation licensee who produces more than 50 tons per day of paper, cardboard, or paper fiber used for the production of construction materials, monitors a discharge of water and air pollution not more than a standard specified rate.	1) Six-monthly report on water pollution discharge (Ror Wor 2 Form)	Government laboratory or registered private laboratory	Announcement of Department of Industrial Works on designing type or kind of factory preparing a report on kind and quantity of discharged pollutions, 2010 Clause 5, 13
	2) Six-monthly report on air pollutant discharge (Ror Wor 3 Form)	Government laboratory or registered private laboratory	
<p>Description of Verification Process: Pollutant discharge must be measured by a government laboratory or private laboratory that is registered with the Department of Industrial Works. A report must be delivered to Department of Industrial Works through an electronic system two times so that a competent officer can check.</p> <p>Period 1: Inspection in January to June and report delivery on 31 July of the same year.</p> <p>Period 2: Inspection in July to December and report delivery on 31 January of the next year.</p> <p>A copy of documents needs a signature of an environmental manager of the factory or a factory operation licensee. Moreover, it must be kept and a competent officer checks at any time.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: Department of Industrial works officer</p> <p>Frequency: Six-monthly</p>

3. Laboratory analysis			
Indicator	Verifier	Issued by	Legal reference
O5-3.3.2: An operator applying for a factory license who produces more than 50 tons per day of paper, prepares an Environmental Impact Assessment (EIA) report.	Environmental Impact Assessment (EIA) report	Permitted third-party	The Enhancement and Conservation of National Environmental Quality Act, 1992 Section 48, 50 Announcement of Ministry of Natural Resources and Environment on setting the type and size of the project or activity must prepare a report on the environmental impact assessment regulations and procedures and guidelines for the preparation of the environmental impact assessment Clause 4
<p>Description of Verification Process: An operator proposes an EIA report to the Department of Industrial Works and Natural Resources and Environment Policy and Plan Office. The Department of Industrial Works officer waits for the permission of factory operation until the report is approved or is deemed to be approved from a professional committee. Moreover, the Natural Resources and Environment Policy and Plan Office also informs a decision on the EIA report to the operator. To consider the EIA report, Natural Resources and Environment Policy and Plan Office checks the proposed EIA report and other related documents. If a report is accurate and complete or is amended to be accurate and complete, Natural Resources and Environment Policy and Plan Office makes a primary opinion in order that the professional committee further considers.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: Professional committee appointed by National Environmental Committee</p> <p>Frequency: Once asking for a factory license or for extending a factory capacity</p>
Indicator	Verifier	Issued by	Legal reference
O5-3.3.3: A factory operation licensee who produces more than 50 tons per day of paper, monitors compliance with the EIA.	Monitoring report	Permitted third-party	The Enhancement and Conservation of National Environmental Quality Act, 1992 Section 51/5
<p>Description of Verification Process: A factory operation licensee must provide a report of compliance of measure on environmental impact protection and solution and an EIA monitoring report, and submit both reports to Department of</p>			<p>Verified by:</p>

<p>Industrial Works and Natural Resources and Environment Policy and Plan Office twice a year. First period is January to June, with a report in July. Second period is July to December, with a report the next January.</p> <p>The Natural Resources and Environment Policy and Plan Office must gather the reports, provide a report of compliance measures with its supporting opinion to the National Environmental Committee for the NEC to make a decision. If a factory operation licensee avoids or fails to follow given measures in an EIA report that are a condition of permission or the permit for factory operation extension, the Natural Resources and Environment Policy and Plan Office informs the Department of Industrial Works in order that the Department of Industrial Works compels the factory operation licensee to follow applicable measures.</p> <p>Verification means: Documentary review</p>			<p>National Environmental Committee</p> <p>Frequency: Six-monthly</p>
Principle 4: Operator's Welfare and Labour Protection Obligations			
Criteria 4.1: For state enterprise labourers (FIO)			
Indicator	Verifier	Issued by	Legal reference
O5-4.1.1: FIO must comply with an agreement between FIO and employees which follows minimum labour standards.	1) Employment agreement	FIO's production unit	State Enterprise Labour Relation Act, 2000 Section 27 Announcement of State enterprise labour relation committee on minimum standard of working conditions in the state enterprise.
	2) Evidence of wage payment	FIO's production unit	
	3) Report on internal audit	FIO's internal audit division	
<p>Description of Verification Process: FIO is a state enterprise. Moreover, an FIO employee is subject to the State Enterprise Worker Relations Act B.E. 2543 (2000) and makes an agreement on working condition for not more than 3 years, following a minimum standard. (If an employee and FIO do not make an agreement on the period of the agreement, it will be effective for 12 months.) When the FIO and an employee make an agreement on working conditions, a committee of State Enterprise Relations verifies whether the agreement is consistent with minimum standards as written in the Announcement of State Enterprise Relations on Minimum Standard of working condition in State Enterprises. Internal audit division of FIO inspects and assesses overall operation of state enterprise, also monitors compliance with relation to applicable laws, rules, and regulations.</p> <p>Verification means: Documentary review</p>			<p>Verified by: FIO's internal audit division</p> <p>Frequency: Annually</p>
Indicator	Verifier	Issued by	Legal reference
O5-4.1.2: FIO has provided a safety manual for workers following FIO's workplan on health, safety and workplace environment.	1) Workplan on health, safety and workplace environment.	FIO	Ministerial Regulation for designing a standard on management of OSHE, 2005
	2) OSHE Safety manual	FIO's OSHE committee	
	3) Report on internal audit	FIO's internal audit division	

<p>Description of Verification Process: FIO prepares a workplan on health, safety and workplace environment. In addition, FIO creates an OSHE Safety manual to be consistent with that workplan in order that a worker can follow. Internal audit division of FIO inspects the OSHE Safety manual, monitor whether workers follow the OSHE Safety manual, and provides an annual report of inspection.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: FIO's internal audit division</p> <p>Frequency: Annually</p>
Indicator	Verifier	Issued by	Legal reference
O5-4.1.3: FIO has provided standard personal protective equipment appropriate for specific work for its worker and monitors the worker's use of such personal protective equipment.	1) Record of requisition of a personal protective equipment	FIO's production unit	<p>Occupational Safety, Health and Environment Act, 2011 Section 22</p> <p>Ministerial regulation on designing a standard for management of OSHE for working with chemical hazards, 2013 Clause 12</p> <p>Ministerial regulation on designing a standard for management of OSHE on machine, crane and boiler, 2009 Clause 96,97</p> <p>Ministerial regulation on designing a standard for management of OSHE on heat, light and sound, 2016 Section 12,13</p>
	2) Report on internal audit	FIO's internal audit division	
<p>Description of Verification Process: FIO provides personal protective equipment that meets standards and is suitable for the relevant types of operation, and monitors that workers wear such equipment while they are operating. If workers do not have such equipment, a FIO officer brings that equipment and records a distribution of equipment. Internal audit division of FIO inspects a record of requisition of personal protective equipment, and operation, and provides an annual report inspection.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: FIO's internal audit division</p> <p>Frequency: Annually</p>
Criteria 4.2: Labour protection of private sector.			

Indicator	Verifier	Issued by	Legal reference
O5-4.2.1: An operator who employs 10 or more employees has submitted a filled work condition and workplace environment form to the Department of Labour Protection and Welfare annually.	Working condition and working environment declaration (Cor Ror 11 Form)	Employer	Labour Protection Act, 1998 Section 115/1
<p>Description of Verification Process: A working condition and working environment declaration (Cor Ror 11 Form) aims that an employer self-declares information of employment in an operating place every year. When a document is submitted, a labour inspector checks working conditions and working environment in accordance with information written in Cor Ror 11 Form in an operating place that an employer pays at least the minimum wage and that there are no under-15-year-old employees.</p> <p>Verification means: Documentary review</p>			<p>Verified by: Labour inspector</p> <p>Frequency: Annually</p>
Indicator	Verifier	Issued by	Legal reference
O5-4.2.2: An operator who employs 10 or more employees has prepared documentation of wages and associated payments which shows a total of payment not less than a minimum wage specified in the law.	Evidence of wage payment	Employer or Bank	Labour Protection Act, 1998 Section 70, 114
<p>Description of Verification Process: A labour inspector asks both the employer and the employee for truth. If a labour inspector finds that there is a legal relation of employment between an employer and an employee, the following documents of wage need to be checked:</p> <ol style="list-style-type: none"> 1. In case of paying wage as cash: related documents of paying wage 2. In case of paying wage by transferring through a bank account: documents of transferring <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Interview an employee 			<p>Verified by: Labour inspector</p> <p>Frequency: As per annual plan of the Department of Welfare and Labour Protection and by a complaint or a critical circumstance</p>
Indicator	Verifier	Issued by	Legal reference
O5-4.2.3: An operator employs no children under the age of 15 years.	1) Employee registration	Employer	Labour Protection Act, 1998 Section 44,112, 113
	2) Identification document signifying an age of employee such as identification card, worker permit, and a worker permit according to the Forestry Act	Thai government agency	

<p>Description of Verification Process: A labour inspector asks both the employer and the employee for truth. If a labour inspector finds that there is a legal relation of employment between an employer and an employee, the following documents of age need to be checked:</p> <ol style="list-style-type: none"> 1. In case of Thai worker: Check an identification card or a worker permit according to the Forestry Act together with employee registration 2. In case of alien workers: Check personal documents showing age that is issued by any Thai government agency <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Interview an employee 3. Field inspection 			<p>Verified by: Labour inspector</p> <p>Frequency: As per annual plan of the Department of Welfare and Labour Protection and by a complaint or a critical circumstance</p>
Indicator	Verifier	Issued by	Legal reference
O5-4.2.4: An operator employs no alien worker unless the alien holds a permit granting authorization to work.	1) Employee registration	Employer	Royal Decree on the Management of Migrant Employment, 2017 Seciton 9
	2) Working permit	Alien working committee	
<p>Description of Verification Process: An employer who employs alien workers must ensure that they possess work permits. A labour inspector is appointed pursuant to the Royal Decree on the Management of Migrant Employment, 2017 to be a competent officer. Therefore, a labour inspector also inspects alien working conditions in addition to compliance with Labour Protection Act, 1998 and Occupational Safety, Health and Environment Act, 2011.</p> <p>If there is any suspicion of illegal employment of alien workers, a labour inspector then informs a Department of Employment officer to take a legal action.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Interview an employee 3. Field inspection 			<p>Verified by: Labour inspector and Department of Employment officer</p> <p>Frequency: As per annual plan of the Department of Welfare and Labour Protection and by a complaint or a critical circumstance</p>
Criteria 4.3: Occupational safety, health, and environment in private sector			
Indicator	Verifier	Issued by	Legal reference
O5-4.3.1: An employer who possesses a chemical hazard prepares a list of chemical hazards and a system for prevention and control of hazardous chemical substances in the air.	1) List of hazardous chemical substances and its details of safety (Sor Or 1)	Employer	Occupational Safety, Health and Environment Act, 2011 Section 8 Ministerial regulation on designing a standard for management of OSHE for working with hazardous chemical substances, 2013
	2) Record of a concentration of hazardous chemical substances inspection (Sor Or 3)	Listed third-parties or any person permitted by the Department of Welfare and Labour Protection	

<p>Description of Verification Process: Within January, an employer must provide a list of hazardous chemical substances and details of safety of the hazardous chemical substances including information of the chemical substances and hazardous indicators, protection and hazardous management measures, and storing and controlling, to the Department of Welfare and Labour Protection.</p> <p>An employer must measure and analyze the intensity of hazardous chemical substances in a workplace and a hazardous-chemical-substances storing place's atmosphere. A listed third-party or any person who permitted by the Department of Welfare and Labour Protection measures and analyzes a laboratory result. Moreover, an operator provides a measuring and analyzing report of intensity of hazardous chemical substances that is certified by a measurer and analyzer, and delivers the report to the Department of Welfare and Labour Protection at least once a year.</p> <p>In addition, a safety inspector checks security of actual working conditions on an annual schedule of the Department of Welfare and Labour Protection. When there is a claim or special situation whether an operator uses or possesses hazardous chemical substances, a competent officer checks documents of legal compliance, diffusion in air, storing, protection measure, and personal protective equipment providing, and provides a report of safety inspection.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 3. laboratory analysis 			<p>Verified by: Safety inspector</p> <p>Frequency: Annually</p>
Indicator	Verifier	Issued by	Legal reference
O5-4.3.2: An employer prepares standard personal protective equipment appropriate for specific work for its employees and monitors that the employees use the personal protective equipment all the time they work.	Report of safety inspection	Safety inspector	<p>Occupational Safety, Health and Environment Act, 2011 Section 22</p> <p>Ministerial regulation on designing a standard for management of OSHE for working with chemical hazards, 2013 Clause 12</p> <p>Ministerial regulation on designing a standard for management of OSHE on machine, crane and boiler, 2009 Clause 96,97</p> <p>Ministerial regulation on designing a standard for management of OSHE on heat, light and sound, 2016 Section 12,13</p>

<p>Description of Verification Process: In an operating place, a safety inspector checks types of work and clothes of an employee who works with a machine. An employee must wear personal protective equipment that meets a standard and is appropriate to the characteristics of work such as a hazardous chemical substance, a machine, heat, light, and sound, and provide a report of safety inspection.</p> <p>Verification means: Field inspection</p>			<p>Verified by: Safety inspector</p> <p>Frequency: As per annual plan of the Department of Welfare and Labour Protection and by a complaint or a critical circumstance</p>
Indicator	Verifier	Issued by	Legal reference
O5-4.3.3: An employer provides a medical check for its employees who work with any risk factor, such as medical hazards, heat, voice or dust, at least one time per year.	1) Record of medical check	Doctor	<p>Ministerial regulation specifying criteria and procedures for medical checking of employee and submitting a record to a labour inspector, 2004 Clause 3, 9</p>
	2) personal health book recording a result of medical check by doctor	Employer	
	3) Report of safety inspection	Safety inspector	
<p>Description of Verification Process: For medical check of employee, a doctor must record detail of check-up result and comment a health condition that affects or troubles working or assignment of employees, and sign on a personal health book. Moreover, an employer records a result on a personal health book and keeps a record and a personal health book at an operating place. A safety inspector checks whether there are risk factors in an operating place. Additionally, a report of check-ups and other related documents must be checked and a report of safety inspection must be provided.</p> <p>Verification means: 1. Documentary review 2. Interview an employee</p>			<p>Verified by: Safety inspector</p> <p>Frequency: As per annual plan of the Department of Welfare and Labour Protection and by a complaint or a critical circumstance</p>
Indicator	Verifier	Issued by	Legal reference
O5-4.3.4: An employer conducts a primary fire-fighting training and a fire safety training for its employees.	1) Record of primary fire-fighting training	Person permitted by Department of Welfare and Labour Protection	<p>Occupational Safety, Health and Environment Act, 2011 Section 8</p> <p>Ministerial regulation on designing a standard on management of OSHE on prevention and suppression of fire, 2012 Section 2, 4, 27, 30</p>
	2) Record of annual fire safety training	Employer approved by Department of Welfare and Labour Protection or Person permitted by Department of Welfare and Labour Protection	
	3) Report of safety inspection	Safety inspector	
<p>Description of Verification Process: If there are more than 10 employees in an operating place, an employer must provide primary fire-fighting training to at least 40 percent of all employees in each operating place. A trainer must receive a permit</p>			<p>Verified by: Safety inspector</p>

<p>from the Department of Welfare and Labour Protection. Moreover, firefighting training and evacuation fire drills must be provided for every trainee at least once a year. A trainer must be a employer or any person permitted by the Department of Welfare and Labour Protection. A record of training must be submitted to Department of Welfare and Labour Protection as well.</p> <p>A safety inspector asks at least two employees for information and assesses risk of fire in an operating place. Moreover, a safety inspector checks documents for legal compliance, measure, and fire protection and suppression system, and provides a report of safety inspection.</p> <p>Verification means: Documentary review</p>			<p>Frequency: As per annual plan of the Department of Welfare and Labour Protection and by a complaint or a critical circumstance</p>
Principle 5: Operator's Tax, Fee & Other Payment Obligations			
Criteria 5.1: Forest sector payment (non-registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O5-5.1.1: Before obtaining a permit for processing timber, an operator has paid a permit fee.	Receipt	<i>Inside Bangkok:</i> RFD officer <i>Outside Bangkok:</i> Provincial Natural Resources and Environment officer	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act,1941 on fee rate
<p>Description of Verification Process: Before receiving a permit on establishment of a processing factory or a permit of processing timber, an operator must pay a fee. A competent officer issues a receipt to the operator (permit holder) and keeps a stub of it. A permit on establishment of a processing factory is valid for one year. A permit on processing timber is valid not over 90 days. A permit indicates that a fee is paid.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per issuing a permit</p>
Indicator	Verifier	Issued by	Legal reference
O5-5.1.2: Before obtaining a transportation permit, the owner has paid transportation permit fee.	Receipt	Provincial Natural Resources and Environment division or local forest resource management division	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act,1941 on fee rate
<p>Description of Verification Process: Before receiving transportation permit, an operator must pay a fee for a receipt and keep a stub of it. Transportation permit indicates that a fee is paid and is checked by a competent officer at every forest checkpoint where timber passes.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>

OPERATOR 6 TRADE AND EXPORT OPERATORS

Principle 1: Operator Legality (including Land)			
Criteria 1.1: Operator's right to trade of timber and timber product			
Indicator	Verifier	Issued by	Legal reference
O6-1.1.1: An operator, trading processed timber and/or a timber product derived from restricted species, holds a trading place permit and provides an updated warehouse recordkeeping.	1) <i>For trading of processed timber:</i> Permit on establishment of trading place (except for trading a timber within the same location as processing factory or processing place and trading a processed timber under the Plantation Act)	<i>Inside Bangkok:</i> RFD director general <i>Outside Bangkok:</i> provincial governor	Forest Act, 1941 Section 48, 53 tres Ministerial Regulation No. 25 (1976) issued under Forest Act, 1941 on processing timber and possessing processed timber Clause 8 Ministerial Regulation No. 27 (1987) issued under Forest Act, 1941 on trade or possession for commercial purposes, product, or any of those made from restricted species Clause 6 Regulation No. 11, 1972 , issued under Forest Act, 1941 on the control of the sawmills, using wood processing machinery Clause 9
	2) <i>For timber product derived from restricted species:</i> Permit on establishment of timber product trading place	<i>Inside Bangkok:</i> RFD director general <i>Outside Bangkok:</i> provincial governor	
	3) Timber recordkeeping or timber product recordkeeping	Permit holder	
Description of Verification Process: An operator who wishes to operate a trade of timber and/or restricted timber products must submit a request to RFD Director general (inside Bangkok) or a district-chief officer (outside Bangkok). A permit holder must provide a timber recordkeeping or a timber product recordkeeping that shows incoming and selling species and amount of timber, the quantity of timber remaining. A permit must be extended every year. Once a permit holder asking for a new permit, the permit holder must show a timber recordkeeping or a timber product recordkeeping of a factory to a competent officer in order to be checked and stamped. Furthermore, a competent officer inspects an operating place at least once a year to check the timber recordkeeping or the timber products recordkeeping, and verifies that the operator possesses a valid permit.			Verified by: RFD officer and Provincial Natural Resources and Environment officer Frequency: Per issuing a permit (and at least once a year)
Verification means: 1. Documentary review 2. Field inspection			
Criteria 1.2: Operator's right to export			

Indicator	Verifier	Issued by	Legal reference
O6-1.2.1: An operator intending to export timber or timber products must declare the details of goods being exported and submit specified documents to the Custom Department.	1) Invoice	Exporter	Customs Act, 2017 Section 51 Announcement of the Ministry of Commerce on designing a timber must be asked for permission to export, 2012 Clause 3, 4 Rule of Ministry of Commerce on criteria, procedures and conditions of export of logs and processed timber, 2006 Clause 3
	2) Packing List	Exporter	
	3) <i>For logs and processed timber as specified in the Announcement of the Ministry of Commerce: Export permit</i>	Department of Foreign Trade	
	4) Cargo Permit	Thai Customs Department	
	5) Export entry declaration with evidence of duty payment	Thai Customs Department	
<p>Description of Verification Process: An operator who wishes to export timber and timber products must deliver information for a cargo permit and export entry declaration into Thai Customs Department's computer system, including other related documents. The system calculates duty owed so that an operator pays duty. After the duty is paid, the system declares whether the cargo needs to be opened for checking. In case the cargo is logs and processed timber, they require checking through an x-ray machine. If there is a suspicion, a customs officer collaborates with an RFD officer to open and check cargo. If cargo is consistent with export entry declaration on the computer system, logs and processed timber go through a customs clearance at a border checkpoint or general checkpoint in order to further export.</p> <p>An exporter or an agency submits export entry declaration to a customs officer at a customhouse for checking. A customs officer at a customhouse checks whether the amount of cargo is consistent with export entry declaration on a computer system and whether cargo completes customs clearance on exportation. If yes, cargo is permitted and passes the customhouse. Furthermore, a customs officer records cargo acquisition on customs' computer system. Cargo permit is kept as evidence for further checking.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: Thai customs officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O6-1.2.2: An operator intending to export round logs or processed timber as specified in the Announcement of the Ministry of Commerce must hold an export permit issued by the Department of Foreign Trade.	1) Timber and timber product certificate (except for rubber)	RFD	Announcement of the Ministry of Commerce on designing a timber must be asked for permission to export, 2012 Clause 3, 4 Rule of Ministry of Commerce on criteria, procedures and conditions of export of logs
	2) Invoice	Exporter	
	3) Export permit	Director general of the Department of Foreign Trade	

			and processed timber, 2006 Clause 3
<p>Description of Verification Process: To export logs and processed timber in accordance with given species and criteria, an operator must submit a request for an export permit to the Department of Foreign Trade. A Department of Foreign Trade officer checks that the operator receives an RFD certificate of timber and timber product (except for rubber), including a cargo delivery note to show that logs or processed timber are sold.</p> <p>After that, a Department of Foreign Trade officer checks whether the species and quantity of timber written on the cargo delivery note is consistent with requirements for an RFD certificate of timber or timber product. If yes, an export permit for timber and timber products is issued as requested.</p> <p>Export permit is checked by a customs officer at a port of export.</p> <p>Verification means: Documentary review</p>			<p>Verified by: Department of Foreign Trade officer and Thai customs officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O6-1.2.3: Export of CITES listed species, an operator must be permitted by the Department of Agriculture.	1) <i>For imported timber:</i> Letter of import permission	Director general of the Department of Agriculture	Plant variety Act, 1975 Section 29 tres
	2) <i>For domestic timber:</i> Certificate of plantation registration.	Director general of the Department of Agriculture	
	3) Letter of export permission	Director general of the Department of Agriculture	
<p>Description of Verification Process: When an operator exports CITES listed species, an operator must submit a request with evidence of source of origin, a method of waste transport, or a document number of a registered plantation to a competent officer. A competent officer issues and signs a letter of export permission. Before an exportation is proceeded, a competent officer checks whether conservative species that is exported is consistent with a letter of export permission, and signs for completion.</p> <p>Verification means: Documentary review</p>			<p>Verified by: Department of Agriculture officer</p> <p>Frequency: Per shipment</p>
Principle 2: Sourcing and Transportation of Timber			
Criteria 2.1: Sourcing and transportation of timber for trade			
Indicator	Verifier	Issued by	Legal reference
O6-2.1.1: A permit holder possesses only timber with evidence of legitimate acquisition.	1) <i>Timber from registered plantation:</i> Acknowledged Certificate on harvesting a tree (Sor Por 13) and Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber	<i>Sor Por 13:</i> Plantation registrar that are for <i>inside Bangkok:</i> RFD director general, for <i>outside Bangkok:</i> provincial governor	Forest Act, 1941 Section 49 bis, 51 Plantation Act, 1992 Section 21

		<i>Sor Por 15</i> : Plantation entrepreneur	
	2) <i>Logs harvested with a permission</i> : Transportation permit	RFD officer and provincial Natural Resources and Environment officer	
	3) <i>Processed timber</i> : Movement document or transportation permit	<i>Movement document</i> : Permit holder on processing timber <i>Transportation permit</i> : RFD officer or provincial Natural Resources and Environment officer	
	4) <i>Imported timber</i> : Transportation permit	RFD officer or provincial Natural Resources and Environment officer	
	5) <i>For timber unregulated by any law</i> : Evidence of legitimate acquisition	Seller	
<p>Description of Verification Process: When a permit holder takes timber into a processing factory, an operator must check whether evidence of timber acquisition is legal and whether acquired timber is consistent with the list of transported timber accompanied by the evidence of timber acquisition. Additionally, the evidence must be kept and a timber recordkeeping of a factory must be updated.</p> <p>A timber recordkeeping is verified by a competent officer when a permit for establishment of a timber processing factory is extended. Furthermore, a competent officer inspects an operating place in order to check timber in a factory, evidence of timber acquisition, and a timber recordkeeping at least once a year.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Field inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per issuing a permit (and at least once a year)</p>
Indicator	Verifier	Issued by	Legal reference
O6-2.1.2: For any processed timber and/or a timber product made from restricted species departing from a warehouse, a transporter holds a transportation document referring to evidence of acquisition, recording a list of a processed timber and/or timber products, indicating the place where the processed timber and/or the timber products were loaded and destination, and identifying the	Movement document of processed timber or Movement document of processed rubber or Movement document of timber product made from restricted species	Permit holder on processing timber or Permit holder on trading place	Ministerial Regulation No. 27 (1987) issued under Forest Act, 1941 on trade or possession for commercial purposes, product, or any of those made from restricted species Clause 6 Regulation No. 11, 1972 , issued under Forest Act, 1941 on the control of the sawmills, using

person responsible for the timber being transported.			wood processing machinery Clause 9
<p>Description of Verification Process: A permit holder of establishment of a timber processing factory must issue a movement document for processed timber, a movement document of processed rubber or a movement document of timber products made from restricted species which is registered to a competent officer. Before taking processed timber or timber products out of a factory, a permit holder must fill out a movement document referring to evidence of timber acquisition, provide a list of transported timber, and indicating the place where the processed timber and/or the timber products were loaded and destination, and identifying the person responsible for the timber being transported.</p> <p><i>A movement document of processed timber</i> contains 3 parts: Part 1 is attached to timber along the way of transportation. Part 2 must be delivered to provincial governor or RFD. Part 3 is kept by a permit holder. However, a movement document is used for transportation in the same province/provincial cluster only. If a permit holder wishes to transport out of provincial/provincial cluster area, a movement document of processed timber is used to request transportation permit.</p> <p><i>A movement document of processed rubber and a movement document of timber products made from restricted species</i> contain 2 parts: Part 1 is attached to timber along the way of transportation. Part 2 is kept by a permit holder</p> <p>A transporter of processed timber or timber products is responsible for controlling all transported timber to be consistent with a list of transported timber along the way of transportation to a written destination.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Verified by: RFD officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O6-2.1.3: For any processed timber made from non-rubber or non-listed species that is being transported out of a boundary of province or provincial cluster, a transporter holds a transportation permit referring to evidence of acquisition, recording a list of a processed timber and/or timber product, indicating the place where a processed timber and/or timber product was loaded and destination, and the person responsible for the timber being transported.	Transportation permit	RFD officer or provincial Natural Resources and Environment officer	Forest Act, 1941 Section 38,39 Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5
<p>Description of Verification Process: When a transporter transports processed non-rubber and processed non-listed species timber out of province or provincial cluster, a transporter must bring a movement document of processed timber to request transportation permit to a provincial Natural Resources and Environment officer or a RFD officer. A competent officer checks whether a movement document of processed timber is legal and whether timber is consistent with a list of transported timber.</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p>

<p>A competent officer marks a personal marking (Tor marking) on each timber. Nevertheless, if a marking cannot be put on timber, a reason should be written as a remark on transportation permit. Moreover, a timber account linked with the transportation permit must be provided and a timber account linked with the movement document of processed timber must be updated to show that the processed timber is transported. A transporter keeps the transportation permit for transportation.</p> <p>When timber is taken into an area of responsibility of any RFD checkpoint, When the transporter moves into an RFD checkpoint, the transporter must inform every checkpoint along the way of transportation in order to be checked by a competent officer. A competent officer checks whether the transportation permit is acquired legally and processed timber is consistent with evidence. After that, a competent officer marks a personal marking (Tor marking), records that transportation permit is informed, and issues a permit letter of passing a forest checkpoint. In case of a forest checkpoint as a destination, a competent officer checks timber, marks a personal marking (Tor marking), and allows timber to enter an RFD checkpoint area. If timber arrives at a destination and then is transported further, the same transportation permit is used as timber acquisition evidence and an operator proceeds as above.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber inspection 			<p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
O6-2.1.4: For timber product made from unrestricted species, an operator issues an invoice recording a list of timber products being sold, conforming to a warehouse recordkeeping.	Invoice	Seller	Forest Act, 1941 Section 48
<p>Description of Verification Process: In case of timber products made from unrestricted species, it is not compulsory to issue a movement document. However, to process timber for producing a timber product, a permit holder must provide a timber product recordkeeping of a factory. When a permit holder as a seller must issue an invoice to a purchaser, a list of timber products on an invoice must be consistent with a list on timber product recordkeeping of a factory.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber product inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Indicator	Verifier	Issued by	Legal reference
	1) <i>Processed timber</i> : Movement document or Transportation permit	Movement document: Permit holder on processing timber	Forest Act, 1941 Section 38, 39, 39 tres

<p>O6-2.1.5: A transferee of processed timber and/or timber product must be named in the transportation document.</p>		<i>Transportation permit:</i> RFD officer or provincial Natural Resources and Environment officer	Ministerial Regulation No. 26 (1985) issued under the Forest Act, 1941 on moving of timber or forestry products, Clause 2,5
	2) <i>Timber product made from restricted species:</i> Movement document	Permit holder on trading place	
	3) <i>Timber product made from unrestricted species:</i> Invoice	Seller	
<p>Description of Verification Process: Before transporting timber out of a trading place, a permit holder must identify who is a transferee and where timber will be transferred to. A plantation entrepreneur must identify a name of a transferee with residence in transportation document.</p> <p>When timber is transported to a destination, a transferee must check that all timber is consistent with a list of transported timber and keep in a transferee's place. After that, a transferee records an acquired timber on a timber recordkeeping and keeps transportation document as an evidence of legally acquiring.</p> <p>Transportation document and a timber recordkeeping are verified by a competent officer when an operating place is inspected.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber and timber product inspection 			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Criteria 2.2: Sourcing and transportation of timber for export			
Indicator	Verifier	Issued by	Legal reference
<p>O6-2.2.1: An operator intending to export round logs or processed timber as specified in the Announcement of the Ministry of Commerce (except for rubber) must be certified as a source of timber by RFD.</p>	1) <i>Timber from registered plantation:</i> Acknowledged letter of a timber derived from registered plantation (Sor Por 15) with a list of timber	Plantation entrepreneur	<p>Announcement of the Ministry of Commerce on designing a timber must be asked for permission to export, 2012 Clause 3, 4</p> <p>Rule of Ministry of Commerce on criteria, procedures and conditions of export of logs and processed timber, 2006 Clause 3</p> <p>Rule of RFD on Certificate timber, timber product and charcoal for exportation, 2009</p>
	2) <i>Logs or processed timber:</i> transportation permit or movement document	<i>Transportation permit:</i> RFD officer or provincial Natural Resources and Environment officer <i>Movement document:</i> Permit holder on processing timber	
	3) <i>Imported timber:</i> Transportation permit	RFD officer or provincial Natural Resources and Environment officer	
	4) <i>Timber product made from restricted species:</i> Movement document	Permit holder on trading place	
	5) Certificate of timber or timber product.	RFD	

<p>Description of Verification Process: When an operator wishes to export timber or timber products whose type and species are permitted, an operator must submit a request for an RFD certificate. An RFD officer verifies whether the document of timber acquisition is legal and whether timber is consistent with the document of acquisition. If yes, a certificate is issued. The certificate is verified by a competent officer of the Department of Foreign Trade in order that export permit is issued. For non-specified species and timber products, an RFD certificate of timber or timber products can be voluntarily requested from RFD.</p> <p>Verification means:</p> <ol style="list-style-type: none"> 1. Documentary review 2. Timber and timber product inspection 			<p>Verified by: RFD officer</p> <p>Frequency: Per shipment</p>
Principle 3: Operator's Tax, Fee & Other Payment Obligations			
Criteria 3.1: Forest sector payment. (non-registered plantation)			
Indicator	Verifier	Issued by	Legal reference
O6-3.1.1: Before obtaining a trading place permit, an operator has paid a permit fee.	Receipt	<i>Inside Bangkok:</i> RFD officer <i>Outside Bangkok:</i> Provincial Natural Resources and Environment officer	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act,1941 on fee rate
<p>Description of Verification Process: To receive a permit for establishment of a trading place, an operator must pay a fee and the permit is valid for 1 year. A competent officer issues a receipt to a permit holder (operator) and keeps a stub of it. A permit for establishment of trading place indicates that the fee was paid.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per issuing a permit</p>
Indicator	Verifier	Issued by	Legal reference
O6-3.1.2: Before obtaining a transportation permit, the owner has paid transportation permit fee.	Receipt	Provincial Natural Resources and Environment division or local forest resource management division	Forest Act, 1941 Section 75 Ministerial Regulations no. 23 (1975) issued under Forest Act,1941 on fee rate
<p>Description of Verification Process: Before receiving transportation permit, an operator must pay a fee for a receipt and keep a stub of it. Transportation permit indicates that a fee is paid and is checked by a competent officer at every forest checkpoint where timber passes.</p> <p>Verification means: Documentary review</p>			<p>Verified by: RFD officer and Provincial Natural Resources and Environment officer</p> <p>Frequency: Per shipment</p>
Criteria 3.2: Duty Payment (non-forest sector payment)			

Indicator	Verifier	Issued by	Legal reference
O6-3.2.1: Before inspection and release of cargo, an operator has paid duties on importing goods.	Receipt of duty payment	Thai Customs Department	Customs Act, 2017 Section 13 The Customs Tariff Decree, 1987 Section 4
<p>Description of Verification Process: When an exporter delivers information to create an export entry declaration in the computer system, the system checks the cargo information and calculates duty. The exporter must pay the duty at an accounting and duty division of a customshouse. Thai Customs Department issues a receipt and keeps a stub. Therefore, evidence of duty payment shows on a system of Customs Department.</p> <p>Export entry declaration and a receipt of duty payment is checked when cargo is released from custody of customs.</p> <p>Verification means: Documentary review</p>			<p>Verified by: Thai customs officer</p> <p>Frequency: Per shipment</p>

Annex 8

Linkage of the LD and SCC

1. Structural relationship of LD and SCC

The LD is framed around six separate operators. Principles 1, 2 and 3 (legality, forest management and harvesting practices, and sourcing and transportation of timber, respectively) reflect critical supply chain control points. The SCC also reflect additional critical control points (CCP) that are sources of timber and import point, any processing factory and export point.

The table below shows a structural relation of LD and SCC

Operators		O1: PUBLIC LAND (NATIONAL RESERVED FOREST) OPERATORS	O2: PUBLIC LAND (OTHER THAN NATIONAL RESERVED FOREST AND PROTECTED FOREST) OPERATORS	O3: PRIVATE LAND OPERATORS	O4: IMPORTED TIMBER OPERATORS	O5: PROCESSING AND PRODUCTION OPERATORS	O6: TRADE AND EXPORT OPERATORS	
Critical Control Points: CCP		Source	Source	Source	Import Point	Processing Factory	Trading Place	Export Point
Principles that link to SCC	P1 Operator Legality (including Land)	CCP1				CCP2 – CCP(n-1)		CCPn
	P2 Operator’s Forest Management, Harvesting Obligations and Practices							
	P3 Sourcing and Transportation of Timber							

2. SCC appearing in the LD

2.1 Evidences for traceability appearing in the LD Matrix

Principle	Law	O1	O2	O3	O4	O5	O6
		CCP ₁			CCP _{2-(n-1)}	CCP _n	
P1 Operator Legality (including Land)	Plantation Act	Land use evidences, Title deed, Contact/MOU				Permit, timber recordkeeping, timber product recordkeeping	
	Others			Import Declaration, CITES permit	Permit, timber recordkeeping, timber product recordkeeping	Export Declaration, CITES permit, Export permit	
P2 Operator's Forest Management, Harvesting Obligations and Practices	Plantation Act	Sor Por 3, Sor Por 13		-	-	-	
	Others	Logging permit		-	-	-	
P3 Sourcing and Transportation of Timber							
(3.1) Sourcing	Plantation Act	Sor Por 13		-	Sor Por 13, Sor Por 15	-	
	Others	Sor Por 15, Transportation permit	Transportation permit, Import Declaration		Sor Por 15, Transportation permit, Movement document	-	
(3.2) Transportation	Plantation Act	Sor Por 13		-	Sor Por 13, Sor Por 15	-	
	Others	Transportation permit	Transportation permit, Import Declaration		Sor Por 15, Transportation permit, Movement document, Invoice	-	

2.2 SCC process appearing in the LD Matrix

Principle	Law	O1	O2	O3	O4	O5	O6
		CCP ₁			CCP _{2-(n-1)}	CCP _n	
P1 Operator Legality (including Land)	Plantation Act	Process to verify a legitimate of a land use evidence and inspect a field and a land boundary before accept to register a plantation/permit to logging	-	Process to inspection and Release of Cargo	Process to verify a timber or timber product recordkeeping	Process to inspection and Release of Cargo	
	Others						
P2 Operator's Forest Management, Harvesting Obligations and Practices	Plantation Act	Process to prepare a recordkeeping of timber intending to register under the plantation Act and remove a list of timber informed to harvest	-	-	-		
	Others	Process to stamp trees permitted to harvest and stamp timber intended to drag.	-	-	-		
P3 Sourcing and Transportation of Timber							
(3.1) Sourcing	Plantation Act	Process to signify a timber ownership by a registered seal.	-	Process to verify a list of timber applied for a permit of timber processing	-		
	Others	Process to stamp signified that the royalty is paid or exempted.	Due Diligence System	Process to record an evidence of acquisition in the timber recordkeeping	To verify a source of timber in order to issue an RFD certificate for export		
(3.2) Transportation	Plantation Act	Process to use a registered Sor Por 15 form and submit a	-	Process to use a registered Sor Por 15	-		

Principle	Law	O1	O2	O3	O4	O5	O6
		CCP ₁				CCP _{2-(n-1)}	CCP _n
		copy of used Sor Por 15 form to a registrar.				form and submit a copy of used Sor Por 15 form to a registrar.	
	Others	Process to stamp a timber in order to issue a transportation permit and stamp the timber once the timber is transported into the responsible area of each RFD checkpoint.			Timber or processed timber: Process to stamp in order to issue a transportation permit and stamp the timber once the timber is transported into the responsible area of each RFD checkpoint. Timber product: Process to inspection and Release of Cargo also applied for a verification for transportation. Importing timber product are no need to visit an RFD checkpoint	Process to issue and/or verify an appropriated transportation document including movement document, invoice or transportation permit for transport processed timber from restricted species outside the province or the province cluster.	

3. Associated SCC processes that are not appearing in the LD Matrix

Topic	Issue	Link to SCC
3.1 SCC of legal timber harvested for commercial purpose but there are not appearing in the LD Matrix (Some activities in the supply chain are not regulated by the law)	<ul style="list-style-type: none"> • Logging in private land • Timber product produced by timber from old building. 	These timber and timber product are described in the SCC control.
3.2 Timber permitted for personal/community use only (Not for commercial purpose)	<ul style="list-style-type: none"> • Logging in a community forest. 	Timber harvested from the community forest cannot be brought to the supply chain control. Therefore, the SCC paper should be described how such timber is controlled in order to exclude from the SCC.
3.3 Prohibited import and transit measures of timber	<ul style="list-style-type: none"> • Prohibited species from specific countries • Transit timber 	The SCC paper should be described how such timber is controlled in order to exclude from the SCC.
3.4 Illegal timber control	Illegal timber	Timber has judged that is an illegal timber will be processed by specific FIO's factory. The illegal timber is used to construct a governmental building. The illegal timber cannot be brought to the supply chain control. Therefore, the SCC paper should be described how such timber is controlled in order to exclude from the SCC.

Annex 9

Monitoring of related legal reforms

1. Draft Laws and Regulations which may affect to the LD

No.	Laws/Regulations	Key issues	Where the LD might be revised.
1	Forest Bill (No. ...) B.E. ...	(1) (Repeal and revise Section 4(5) (Definition) as per the revised Section 7	-
		(2) (Revised Section 7) Repeal the requirement of restricted species in the land with title deed and processor right.	<p>Remove the indicator and related elements below from the LD.</p> <ul style="list-style-type: none"> • O3-3.2.1: An operator must hold an evidence of legitimate acquisition of timber indicating the source of timber. • O3-3.2.1: A logging permit holder must pay a royalty in order to acquire timber (unless a specific logging permit identifying that it has been granted a royalty exemption). • All indicators in Principle 4: Operator’s Tax, Fee & Other Payment Obligations <p>Improve Verifiers referring to Transportation Permit in indicators following;</p> <ul style="list-style-type: none"> • O3-3.2.3: A person transporting timber holds a transportation document referring to evidence of acquisition, declaring a list of timber, indicating the place where timber was loaded and destination, and identifying the person responsible for the timber being

No.	Laws/Regulations	Key issues	Where the LD might be revised.
			<p>transported.</p> <ul style="list-style-type: none"> • O3-3.2.4: A transferee of timber must be named in the transportation document.
		(3) (Add Section 18/1) Regulate to issue a certificate of timber that grows on land with title deed and processor right (Voluntary)	Should add to TLAS
		(4) (Add Section 18/2) Issuing a timber certificate for export (Voluntary)	Should add to TLAS
		(5) (Add Section 51(6)) A permit holder possesses timber with a certificate as issued under Section 18/1 and 18/2 or timber with an evidence of legality acquisition (Current Section 51 not include such certificate)	<p>Add new verifier in indicator following;</p> <ul style="list-style-type: none"> • O5-2.2.1: A processing permit holder possesses and processes a timber with an evidence of legitimate acquisition.
2	Community Forest Bill B.E. ...	Establishment of Community Forest	<p>There is not affect to the LD because the govern allow to log for personal/community use only. There is not to harvest for commercial purpose.</p> <p>Indicator relating to this bill is</p> <ul style="list-style-type: none"> • O1-1.1.1: An operator holds a written RFD permit to utilize the land within the boundary

No.	Laws/Regulations	Key issues	Where the LD might be revised.
			of a national reserved forest'
3	National Land Policy Committee Bill B.E. ...	Establishment of National Land Policy Committee performing to design a policy and a management plan for soil resource and land (Cor Tor Chor Policy)	No need to revise the LD because the written permit issued under the exiting regulation included in the LD
4	Repeal and revise RFD rules on criteria, procedure, condition and permission of a utilization within the National Reserved Forest	To improve criteria, procedure, condition and permission of a utilization within the National Reserved Forest. New rules will give a precedence on an environmental and social impact assessment and a compensation measure.	Review indicators following; O1-4.1.1: Permission to use an area does not contravene any measures on watershed area, mangrove forest, natural resource on land and forest, view and wildlife. O1-4.1.2: Permission for Sor Tor Kor permit allowed for a person who utilized and lived in an area of deteriorated forest before the area was designated a restored forest zone and when such area is not within the specified boundary of a river source, a steep mountain, an area that poses a risk area to a threatened ecosystem or an area to preserve.

No.	Laws/Regulations	Key issues	Where the LD might be revised.
5	Draft of the Department of Agriculture on criteria, procedure and condition of an application for register a place for growing or planting a Conserved Plant, which is a perennial, intending to export under PLANTS ACT B.E. 2518, B.E. ...	Regulate to register a place for register a place for growing or planting a Conserved Plant, which is a perennial, intending to export	Need to see a final requirement and procedure and then explore whether to revise O1, O2 and O3.
6	Revise an Announcement of the Ministry of Natural Resources and Environment on a category and size of a project or business that prepare an EIA.	Review a category and size of a project or business that prepare an EIA.	<p>Need to see a final requirement that there are related to a timber business or not.</p> <p>Indicators relating to this bill are</p> <p>O5-3.3.2: An operator applying for a factory license who produces more than 50 tons per day of paper, prepare an Environmental Impact Assessment (EIA) report.</p> <p>O5-3.3.3: A factory operation licensee who produces more than 50 tons per day of paper, monitors a compliance of EIA.</p>
7	Draft of an Announcement of the Ministry of Commerce on regulating round log, sawn timber and charcoal to apply for a permission to export and regulate a timber product derive from any species and some species of balled and burlap trees to hold a certificate to export B.E. ...	<p>Repeal a current announcement. The new announcement changing some key requirement as follows;</p> <ol style="list-style-type: none"> 1. Any exporter can export such timber and timber product. (Currently, exporting on round long and sawn timber limited for FIO) 2. Application for an export permit or an RFD certificate will open for more 	<p>Review indicators and related elements following;</p> <p>O6-1.2.2: An operator intending to export round logs or processed timber as per species and criteria outlined in the law must hold an export permit issued by the Department of Foreign Trade.</p> <p>O6-2.1.1: A permit holder possess only timber with an evidence of legitimate acquisition.</p>

No.	Laws/Regulations	Key issues	Where the LD might be revised.
		<p>category, and species of timber and timber product other than specified in current announcement.</p> <p>3. Submit an application to RFD (Currently, there is submitted to the Department of Foreign Trade)</p>	

2. Be possible to legislate law/regulation affecting to the LD

No.	Issues	Where the LD might be revised.
1	Self-Declaration	<p>Once the new Section 7 of the Forest Act is entering into force, logging on private land is not regulated by law. Therefore, there are need to improve the LD as referred above.</p> <p>However, control of timber from private land may be added in the LD once SD system is completed and endorsed by law. Indicators and related elements might be revised are follows.</p> <ul style="list-style-type: none"> • Indicators in Operator 3 on the evidence of acquired timber under 'Criteria 3.2: For timber derived from non-registered plantation' • Verifiers in Operator 3 on the evidence of acquired timber under 'O5-2.2.1: A processing permit holder possesses and processes a timber with an evidence of legitimate acquisition.'
2	Due Diligence System	<p>Review indicator following;</p> <ul style="list-style-type: none"> • O4-1.1.1: An operator intending to import timber or timber products must declare a detail of importing goods and submit specified documents to the Custom Department. (Importer must declare any goods intended to import (and relating document to the Custom Department) <p>Add following indicator into the LD;</p> <ul style="list-style-type: none"> • O4-2.1.1: An importer (without CITES permit) demonstrates an origin and a legality of timber in the country of harvest. (This Indicator is relating to DDS that is removed from the previous LD)

No.	Issues	Where the LD might be revised.
3	FLEGT Licencse	<p>Review indicator following;</p> <ul style="list-style-type: none">• O6-1.2.1: An operator intending to export timber or timber products must declare a detail of exporting goods and submit specified documents to the Custom Department. (Exporter must declare any goods intended to export (and relating document to the Custom Department)

Annex 10

Recommendations/Next Steps

1) Complete the revisions of the LD (Short-term next step)

1.1) The revised LD prepared in this task is based on current laws and regulations. However, during the period of this activity, a number of new laws or regulations are being currently developed. The important laws and regulations that will be finalized soon are the revised Forest Act and the new regulation on DDS. These are keys requirement to examine the legality of timber. Therefore, these legal reforms will be monitored closely in order to add to the LD once they enter into force. These areas are listed in detail in Annex 9, along with the legal instruments or provisions being revised.

1.2) Labour, environmental and social requirement of Operator 1, 2 and 3 for non-FIOs are missing from the LD because they have not been established. Therefore, there is a need to develop related requirements. One solution to address this issue may include developing good practice guidance appropriate for different sizes of operators. Then, how the guidance can be incorporated into the LD or TLAS should be considered further.

2) Prepare a supply chain control (Medium-term next step)

2.1) Evidence of traceability and supply chain verification should conform with specific Verifications and Verification Process as specified in Principle 1, 2 and 3 which relate to supply chain control.

2.2) There are some categories of timber that is legal but that are not regulated by any law or regulation. The supply chain controls should be designed to enable effective monitoring of this timber. It will be necessary to identify where the LD links with supply control--at what critical control point--and what evidence will be needed to demonstrate legality.

2.3) The supply chain control paper will have to cover all sources of timber including timber may not be harvested/processed for a commercial purpose.

2.4) The supply chain control paper will have to describe any procedures for prohibited timber, regulating timber according to transit measures and preventing illegal timber from coming into the supply chain.

2.5) In addition to establishing a system for harvesting timber from private land, there is a need to explore how to monitor timber derived from old buildings.

2.6) Preparation of supply chain control paper should take into consideration selected FT recommendations in Group SCC, especially a middleman business who play a significant role in a supply chain. (See Annex 3)

3) Monitor legal reforms (Medium-term and long-term next step)

3.1) Provisions which are outlined in the list of draft laws and regulations in this report are not final. Once they are entering into force, the LD must be updated accordingly. (See Annex 9)

3.2) Need to monitor legal reforms, including and those not included in the LD, to assuring that verification procedures are up to date.

4) Develop the TLAS (Long-term next step)

4.1) Add FIO's policy and measure on sustainable forest management into the TLAS.

4.2) A certificate of forest sustainable management as per the Ministerial regulation on applying and issuing a certificate of forest sustainable management, B.E. 2561 under the Plantation Act should be considered to design TLAS.

4.3) Currently, there is no sharing information between the various regulators relating to the timber supply chain. A consultation with other government entities activity reveals that the government departments have an internal database but there is no sharing information with RFD. Therefore, RFD needs to consult with associated government entities that How an LD verification process will develop further.

4.4) Design of TLAS should take into consideration selected FT recommendation in Group TLAS. (See Annex 3)