

## Annex VI

### Thai Supply Chain Controls (SCC)

*[Note: This Annex is undergoing stakeholder consultation and revision. Where texts are italic and in square brackets [...], that text requires further review, discussion and agreement among different stakeholders in Thailand].*

#### 1. Introduction

Supply Chain Controls (SCC) of Thailand is a central component of the Thai Timber Legality Assurance System (THA-TLAS). SCC defines the method of controlling, recording, and monitoring the movement of timber and timber products through critical control points (CCPs) identified in/along the timber supply chain in Thailand to provide the necessary assurances on the integrity of the timber supply chain. Both quantitative and qualitative data are recorded at each CCP by government agencies or private entrepreneurs, depending on the operational controls defined for each CCPs.

For operational control, the authority will operate as follows:

- (a) validating the accuracy of data (i.e. data is correct and matches the physical product(s)), and
- (b) comparing the consistency of datasets between and/or within the stages (CCPs) of the Thai timber supply chain.

#### 2. Scope of Application

The supply chain control mechanism, also known as the "timber tracking system", applies to timber and timber products covered by the scope of the VPA. It covers the different timber sources (allocation and harvesting within the country on private and public land, reclaimed wood, imported timber), transportation, processing and destination markets including export and domestic market. This scope and coverage of the supply chain controls/ wood tracking system is illustrated in the supply chain control diagram below.

Simplified Overview of Thailand's supply chain control

CCPs <sup>(1)</sup>	Supply chain <sup>(2)</sup>	Timber owner	Accompanying document <sup>(3)</sup>		Verifying doer <sup>(4)</sup>
1. Source of the timber that entering to the TLAS		Owner (1) prepare/ apply	Accompanying document (1) (Original) distribute	Accompanying document (2) (Copy) keep	Government officer/ Owner/ Importer
2. Transportation			Accompanying document (2) (Original) deliver		Government officer/ Owner/ Transferee
3. Processing location		Owner (2) prepare/ apply	record Accompanying document (3) (Original) distribute	Accompanying document (4) (Copy) keep	Owner/ Government officer
4. Transportation			Accompanying document (4) (Original) deliver		Owner/ Government officer/ Transferee
5. Trade and export		Owner (3) prepare/ apply	record Accompanying document (5) (Original) distribute	Accompanying document (6) (Copy) keep	Owner/ Government officer
		Owner (4)	Accompanying document (6) (Original)		

**NOTE**

**(1) Critical control points (CCPs)** consist of 5 control points, which are explained in Section 2.3.

**(2) Supply chain options** are shown in the diagram by the dashed arrow which consists of 6 options as explained in Section 2.4.

**(3) Accompanying documents** used in each control point will use different documents depending on the species and type of timber and timber products which are specified in the table responsibilities for using timber tracking systems and the product identification method in Section 4.2.

**(4) Verifying doer** is described in Section 5, which consists of 3 parts: (a) the main activities (b) the procedures and (c) the data reconciliation/consistency check in each important control point.

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## 2.1 Product scope

Products covered under the Thai supply chain controls include timber and timber products as specified in Annex 1 of the VPA, which timber and timber products have been specified according to the HS Codes used for the classification of goods in international trade.

## 2.2 Source

The controls of the Thai supply chain are applied to timber and timber products produced in Thailand and include timber and timber products derived from public land and private land; reclaimed wood; as well as timber and timber products imported into Thailand. The acquisition of timber and timber products from such sources must be carried out in accordance with the rights and obligations defined by Thai law and in line with requirements specified in the THA-TLAS Annex (Annex V, Article 3.1) as well as the relevant requirements contained in the Legality Definition (Annex II).

## 2.3 Critical control points (CCPs)

The following CCPs are identified in the Thai timber supply chain for the purpose of tracking, controlling, and monitoring the movement of timber; to ensure the integrity of the supply chain; and to ensure that no timber and timber products, which are illegal and/or not verified, will enter into the timber supply chain of Thailand.

**CCP 1 The sources of the timber and timber products in THA-TLAS** means control in the harvesting process according to the LD requirements for operators 1, 2 and 3 which have sub-control points consisting of –

- (1.1) Pre-harvesting;
- (1.2) Harvesting; and
- (1.3) Post-harvesting.

Furthermore, the sources of the timber entering into the THA-TLAS also include reclaimed wood (according to the requirements set in the LD for operators 1, 2 and 3), and imported timber and timber products (controlled in accordance to the LD requirements for operator 4).

**CCP 2 Transportation departing from CCP 1** means the control of timber or timber products that move out of the harvesting area, the area where the reclaimed wood is demolished, or from the point of import. In the case of transportation that requires the RFD transportation permit, that transportation shall be notified to the RFD checkpoint throughout the transportation route, and shall be requested for permission to enter the destination RFD checkpoint in accordance with the requirements in LD for operators 1, 2, 3 and 4. Regardless of whether it is a transportation into a processing mill or trading facility, or transportation to the export point, the same process shall be applied.

The merchant or owner of a log yard, which has procured and collected logs for delivery to the processing mill, is under control point 2 because of acting as a carrier. This case will be examined and controlled by evidence of the transportation of logs.

**CCP 3 Timber processing location (primary and secondary processing)** means a control within a mill or processing location as permitted legally according to the LD requirements for operators 5, whether location used for timber processing, sawmill (primary timber processing mill), secondary timber processing mill, and timber product factory of any type or species of timber.

**CCP 4 Transportation departing from CCP 3** means the control of processed timber or timber products that come out of CCP 3. The transportation that requires a transportation permit issued by the Royal Forest Department (RFD), the transporter shall notify the RFD checkpoint throughout the transportation route thereof and request permission to enter the destination RFD checkpoint in accordance with the LD requirements for operators 5, whether it is transportation into another timber processing location or shop, or transportation to the point of export.

**CCP 5 Trade and export** consist of the following sub-control points:

(1.1) Shops which either require, or does not require, a permit for the establishment under the Forest Act, but does not include timber or timber products traded by the timber processing location (which is described in the process of CCP 3)

For moving out of the trading place, the same process as CCP 4 shall be applied.

(1.2) Export point.

## 2.4 Supply chain options

The flow of timber and timber products can occur in many forms including both the movement from the source of the timber to the export point and the movement between various control points within the country before exporting,

The exporter may export logs, processed timber, or timber products.

- Option 1** Timber from CCP 1 (source of timber) is moved through CCP 2 (transportation) to CCP 5 (export point).
- Option 2** Timber from CCP 1 (source of timber) is moved through CCP 2 (transportation) to CCP 3 (processing).
- Option 3** Timber from CCP 3 (primary and secondary processing) is moved through CCP4 (transportation) to CCP3 which is another processing mill.
- Option 4** Timber from CCP 3 (primary and secondary processing) is moved through CCP 4 (transportation) to CCP 5.1 (shops).
- Option 5** Timber from CCP 3 (processing) is moved through CCP 4 (transportation) to CCP 5.2 (export point).
- Option 6** Timber from shops at CCP 5.1 (shops that are either subject or not subject to the Forest Act) is through the same process with described in CCP 4 (transportation) to the CCP 5.2 (export point).

## 2.5 Destination Market

The Thai supply chain controls are applied to all timber and timber products listed in Annex I and sold on the domestic market as well as exported out of Thailand.

### **3. Institutional arrangements and responsibilities to operate the Thai timber supply chain control systems**

The Thai timber supply chain control system is managed by the Royal Forest Department (RFD), a government agency. The RFD is the main agency responsible for implementing and managing the supply chain control system and collects the relevant supply chain information and data from each operator in the forestry sector in Thailand.

The operation of the Thai timber supply chain control systems is reliant on the 2 following groups, each with their respective roles and responsibilities.

#### **Group 1: The RFD or the Provincial Office of Natural Resources and Environment (PONRE) and the Department of Foreign Trade (DFT)**

In this instance an RFD officer or a PONRE officer are responsible for conducting physical inspections, hammering the stamp mark on the timber, preparing a timber inventory, and comparing the consistency of data within or between control points.

The processes carried out by the relevant officer may include the granting of a logging permit, issuing RFD timber certificate, issuing an RFD transportation permit, being informed of entering the RFD checkpoint throughout the transportation route, granting permission to enter the destination RFD checkpoint, and issuing Letter of Certification for Trade and Export of Timber, Wood Products and Charcoal (hereinafter referred to as “Letter of Verification for export of timber”) etc. (details are described in section 5).

The DFT relates to the supply chain only in the case of exports that require an export permit. The DFT checks an accuracy of timber information requested with the evidence attached to the application. In case of exporting of pine wood or timber derived from any plantation (both registered and non-registered plantation), the DFT also checks the consistency between a quantity of timber to be exported and a quantify of timber stated in the Letter of Verification for export of timber of RFD.

#### **Group 2: Operators**

In certain instances, operators are responsible for inspecting, controlling, and reconciling timber data by themselves. Other than for a self-declaration for timber harvested on private or timber harvested planted trees on public land in case where permission letter on utilization in public land has been listed in the announcement issued by the minister of the ministry of natural resources and environment with cabinet approval (Sor Por Gor land), the RFD officer or PONRE officer must receive a notification from the operator and then verify the information received within the specified period. The relevant officer may also conduct a random inspection at the place of business if necessary.

The operator is responsible for conducting physical inspections, hammering the stamp mark on the timber, preparing timber inventory, comparing the consistency of data within, or between control points by themselves and submit copies of documents or timber recordkeeping used to record data for a specified period to the officer. The officer will check the consistency of the information from the submitted documents and may conduct a field inspection for physical inspection if necessary.

The processes carried out by the operator is a self-declaration, issuing Sor Por 15, preparing timber recordkeeping of permitted processing mill or permitted trading facility, issuing movement document of processed timber, issuing movement document of timber products made from restricted species, issuing invoices, etc. (details are described in section 5).

#### **4. Product identification (and accompanying documents)**

The timber tracking system provides the link between the list of trees identified for harvesting, timber harvested, the timber transported out of harvesting area, as well as the products processed from such timber. Product identification links the product in physical form with the product data available in the information system. Means of product identification in Thailand can be classified as methods required by law and other methods used for traceability.

##### **4.1 Methods required by law**

###### **(1) Timber stamping**

In the case of logging that requires permission, co-inspections for imported timber, issuing an RFD transportation permit, issuing a movement permit for reclaimed wood (permit to demolish) (Mor Gor 4), and inspection during transportation where verifications are required and exercised by RFD officers, the timber must be stamped by RFD hammer.

Where timber originates from a registered plantation, in accordance Plantation ACT, the registered seal of the plantation entrepreneur shall be stamped on the timber before leaving the plantation. The entrepreneur must register the seal with the plantation registrar.

###### **(2) Use of accompanying documents**

In the cases where logging requires permission, the issuance of an RFD transport permit and the issuance of a movement permit for reclaimed wood (permit to demolish) (Mor Gor 4), and specified accompanying documentation must be prepared by the relevant RFD officer.

Where harvesting occurs on a registered plantation, timber is moved out of such a plantation, recording of timber recordkeeping of any mill, the issuance of movement documents, the issuance of invoices, as well as the preparation of any accompanying documents must be done by the operator.

##### **4.2 Other methods recognized to use for traceability**

The issuance of a self-declaration and a form for timber transportation for timber growing on land with ownership and possessory rights, and timber planted on public land in case where permission letter on utilization in public land has been listed in the announcement issued by the minister of the ministry of natural resources and environment with cabinet approval (Sor Por Gor land) to assure the ownership and the source of the timber.

Table 1 below provides an illustration of the above roles and responsibilities.

Table 1: Roles and responsibilities to control the supply chain and the product identification method

Control points	Types	Details	Verifying doer		Product identification (and accompanying documents)
			Government agencies	Operators	
CCP 1: The source of the timber and timber products	1	Timber from the national reserved forest			
		- register as plantation	/	-	Sor Por. 13
	2	- not register as plantation	/	-	Stamping, Logging permit
		Timber from public land (other than the national reserved forest and protected forest)			
	3	- register as plantation	/	-	Sor Por. 13
	4	- not register as plantation			
		(1) restricted species	/	-	Stamping, Logging permit
		(2) unrestricted species	-	O2	Self-declaration/ <del>RFD timber certificate</del>
5	Timber from private land				
	- register as plantation	/	-	Sor Por. 13	
6	- not register as plantation	-	O3	Self-declaration/ RFD timber certificate	
	7	Reclaimed wood	/		Mor.Gor. 4 <i>[In the process for discussion]</i>
8	Imported timber or timber products		O4	Due diligence declaration form/ CITES permit/valid FLEGT licence	
CCP 2: Transportation departing from CCP1		Timber from the national reserved forest			



Control points	Types	Details	Verifying doer		Product identification (and accompanying documents)
			Government agencies	Operators	
	1	- register as plantation	-	O1	Stamping, Sor Por.15
	2	- not register as plantation	/	-	Stamping, RFD transportation permit
	3	Timber from public land (other than the national reserved forest and protected forest) - register as plantation	-	O2	Stamping, Sor Por. 15
	4	- not register as plantation (1) restricted species	/	-	Stamping, RFD transportation permit
		(2) unrestricted species	-	O2	Self-declaration/ RFD timber certificate
	5	Timber from private land - register as plantation	-	O3	Stamping, Sor Por. 15
	6	- not register as plantation	-	O3	Self-declaration and form for timber transportation/ RFD timber certificate
	7	Reclaimed wood	/	-	Mor.Gor. 4 <i>[[In the process for discussion]</i>
	8	Imported timber or timber products - log and processed timber	X	-	Stamping, RFD transportation permit
		- timber product	-	O4	Copy of import entry declaration
CCP 3: Timber processing location (primary and		Use a raw material with a physical characteristic of wood (excluding reclaimed wood)	-		

Control points	Types	Details	Verifying doer		Product identification (and accompanying documents)
			Government agencies	Operators	
secondary processing)	1	- location for processing of timber derived from registered plantation	-	O5	Timber recordkeeping, timber product recordkeeping
	2	- Timber processing mill	-	O5	Timber recordkeeping, timber product recordkeeping
	3	- location for temporary timber processing of restricted species	/	-	Inventor of timber wishing to process
	4	Use a raw material with reclaimed wood		O5	<i>[in the process of discussion]</i>
	5	Use a raw material without a physical characteristic of wood	-	O5	Accounting book of raw material and inventory <i>[in the process of discussion]</i>
CCP 4: Transportation departing from CCP3	1	Processed timber or timber products from the facilities for processing of timber derived from registered plantation	-	O5/O6	Sor Por. 15
	2	Processed timber or timber products from Timber processing mill - processed timber (general)	/ <sup>1</sup>	O5/O6 <sup>2</sup>	<sup>1</sup> Stamping/RFD transportation permit/ <sup>2</sup> Movement document
		- processed timber of rubber wood and other specified 13 species		O5/O6	Movement document
		- timber product made with restricted species		O5/O6	Movement document
		- timber product made with unrestricted species		O5/O6	Invoice and packing list
3	Processed timber or timber product from location for temporary timber processing	-	O5/O6	Movement document/RFD transportation permit	
4	Timber product made from reclaimed wood	-	O5/O6	Invoice and packing list	

Control points	Types	Details	Verifying doer		Product identification (and accompanying documents)
			Government agencies	Operators	
	5	Timber product made from factory that produces timber products using a raw material without a physical characteristic of wood	-	O5/O6	Invoice and packing list
CCP 5: Trade and export	1	Trade in domestic market - Shops of processed timber/shops of timber product made with restricted species under the Forest Act	-	O6	Movement document
	2	- Shops of timber product made with unrestricted species (that is not subject to the Forest Act)			Invoice and packing list
	3	Export point - pre-export			Export permit, CITES permit, and/or Letter of Certification for Trade and Export of Timber, Wood Products and Charcoal (hereinafter referred to as "Letter of Verification for export of timber") (for goods as specified in the law)
	4	- export - European Union - Other countries	/ /	- -	FLEGT license THA-TLAS license

## 5. Verification

Verification of the supply chain controls constitutes the validation and the reconciliation of data between previous control point and the next control point in the supply chain, as well as checking data consistency within the same control point. This section describes the main activities, procedures, and data reconciliation/consistency checks at the critical control points.

### CCP 1: The sources of timber and timber products covered under the THA-LAS

#### CCP 1 Type 1: Timber from the national reserved forest which is a registered plantation

The plantation entrepreneur must have a certificate of registration of the plantation and a registered stamp. These represent the owner of the timber. Harvesting and moving the timber shall comply with the Forest Plantation Act.

#### (1.1) Pre-harvesting

##### (a) Main activities

- Plantation entrepreneurs survey and prepare a tree inventory intended for harvest.
- Plantation entrepreneur prepare a Sor Por 12 to report harvesting of timber.
- The RFD/PONRE officer checks species.
- The plantation registrar issues an acknowledgement letter of timber harvesting from registered plantation in the form of Sor Por 13.

##### (b) Procedures

- Plantation entrepreneurs submit Sor Por. 12 to notify their desire to harvest timber. In Bangkok, plantation entrepreneurs shall submit the form to the RFD. For other provinces, plantation entrepreneurs shall submit the form to PONRE.
- The RFD officers or the PONRE officers check the document to prove that the listed trees have been registered as plantation and propose to the plantation registrar.
- The RFD officers or the PONRE officers go to check the tree species and amount of tree whether the data is correct as notified, and give an opinion, in written, to the registrar.
- The registrar issues Sor Por. 13 to plantation entrepreneurs and removes the list of trees certified to harvest from the tree inventory registered as plantation.

##### (c) Data reconciliation/consistency check

The RFD officers or the PONRE officers inspect the tree species and the amount of tree, that the plantation entrepreneurs have been notified for harvesting in Sor Por. 12, compared with the tree inventory for the registered plantation. If it is correct, the tree inventory for harvesting shall be removed from the tree inventory that has been registered the plantation.

#### (1.2) Harvesting

##### (a) Main activities

- Plantation entrepreneurs have received Sor Por. 13
- Plantation entrepreneurs harvest timber according to the list in Sor Por. 13 as well as move harvested timber within the area registered as plantation.

## (b) Procedures

- Plantation entrepreneurs shall keep Sor Por. 13 at the registered plantation all times when harvesting trees in order to show to the authority.
- Plantation entrepreneurs may harvest timber as certified in Sor Por. 13 one time or many times.
- Plantation entrepreneurs can drag the harvested timber to the storage location within the land registered as a plantation.

## (c) Data reconciliation/consistency check

- The plantation entrepreneurs inspect the species and the amount of tree in the Sor Por. 13 by comparing it with the timber harvested in place.  
The authority may go to the field to verify whether the harvesting is consistent with the species and quantity specified in Sor Por 13.

**CCP 1 Type 2: Timber from the national reserved forest which is non-registered plantation**

Supply chain control is divided into 3 cases: in the first case, restricted species which must comply with the Forest Act, in the second case, unrestricted species which must comply with the law on national reserved forest, and in the third case, timber derived from forest conversion which must comply with the RFD rule on a survey for forest clearance and logging in the forest area converted for other uses, 1982 before requesting logging permission under the National reserved forest.

For restricted species

## (1.1) Pre-harvestingcc

## (a) Main activities

- A person who has a right to request permission for logging submits a request for logging permission.
- The RFD officer inspects the area that asks for logging permission and survey species and amounts of trees along with provide an opinion.
- The RFD Director General approves and issues a permit.

## (b) Procedures

- A person, who has the right to request permission for logging, submit the request together with evidence of land use. In Bangkok, the eligible person shall submit the request and evidence of land use at the RFD. For other provinces, the eligible person shall submit the request and evidence of land use at the PONRE in the area where the forest or land is located to send to the RFD.
- The RFD officer checks the correctness and completeness of the document.
- The RFD officer performs checking whether the applicant has the right to use the forest area legally, examining and marking the boundary of the forest, inspecting and hammering on the requested restricted species, preparing the selected restricted tree inventory as well as making a brief map indicating the location of the selected restricted species in that forest, and preparing a report with an opinion to the RFD Director General.
- The RFD Director General, or a person assigned by the Director General, signs a logging permit, and gives it to the permit holder.

## (c) Data reconciliation/consistency check

In the first step, there is no comparison of the data in the tree inventory.

### (1.2) Harvesting

#### (a) Main activities

- A permit holder harvests timber according to the selected tree inventory permitted to logging.
- The RFD officer inspects the harvested timber.
- A permit holder drags the harvested timber to the storage location specified in the logging permit.

#### (b) Procedures

- A permit holder harvests timber according to the permitted species and amount as specified in the selected tree inventory attached to the logging permit. The permitted trees may be harvested all at one time or several times.
- The RFD officer verifies that the harvested timber is in accordance with the permitted tree inventory attached to the permit; the RFD officer inspecting the timber stamps his personal seal (Tor. stamp) and a serial number, and a seal of dragging on every stump and log which allows. A movement (dragging) list is also prepared.
- The permit holder moves the timber to the storage location (gathering place) specified in the logging permit.

#### (c) Data reconciliation/consistency check

- The RFD officer inspects timber species and amount of timber harvested comparing it with the tree inventory selected. If the species and amount of harvested timber are correct, the list of trees that have been harvested will be removed from the selected tree inventory.

### (1.3) Post-harvesting

#### (a) Main activities

- A logging permit holder pays royalty.
- The RFD officer inspect the timber, which the royalty has been paid.
- The RFD officer issues of the receipt.

#### (a) Procedures

- Once the harvested timber is dragged to the storage location (gathering place) specified in the logging permit, the permit holder must notify the relevant RFD officer to check the royalty payment.
- The RFD officer will check whether the timber stored at the gathering place matches the timber inventory for timber dragging. If there is founded that the timber stored in the gathering place corresponds to the timber inventory of dragging, the officers will stamp the personal seal of the competent official and the royalty seal.  
In the case of royalty exemption, the RFD officer shall verify whether the logging permit states that royalty is exempted. If so, the officers shall stamp the royalty exemption seal at the end of every piece of timber.
- If the royalty is not exempted, the RFD officer performs calculation and preparation of inventory for timber on which royalties have to be paid. The officer will notify the permit holder to pay such royalty.

- In the event that royalty is not exempted, the permit holder shall pay the royalty as well as receive royalty receipt and the inventory for timber that had been paid the royalty

(c) Data reconciliation/consistency check

- The RFD officer checks the species and the amount of timber stored at storage place/ gathering place compared with the timber inventory for timber dragging. If that is correct, the officer calculates the royalty and prepares the inventory for timber that had been paid the royalty.

For unrestricted species

(1.1) Pre-harvesting

(a) Main activities

- A person who has a right to request permission for logging submits a request for a logging permit.
- The PONRE officer inspects the land area that are requested for the logging permit; subsequent thereto they will a recommendation.
- The PONRE officer, the Local Bureau of Forestry Resources Management (LBFRM) officer, and the applicant will survey tree species and number of trees.
- The Provincial Governor will approve and issue a permit.

(b) Procedures

- A person who has the right to request permission for logging submits the request together with evidence of land use to the local chief district officer.
- The PONRE officer will check the completeness of the documents.
- The PONRE officer checks whether the area for which the logging permission where requested is located in the area where logging is allowed. The officer shall survey what the species growth in the area as well as forest conditions, evaluate that whether logging is allowed in that area, what the effects and damage of logging will be on the forest condition and check whether any logging permission in that area has been previously granted to anyone. This data shall be collected and sent to the LBFRM.
- The PONRE officer in cooperation with the LBFRM officer will perform a survey, apply/ stamp a seal, prepare an inventory of a selected trees as well as verify and identify GPS coordinates on the satellite images. This will result in report to the PONRE.
- The Provincial Governor will then sign a logging permit and which will be given to the permit holder.

(c) Data reconciliation/consistency check

There is no data reconciliation within the tree inventory within the first step.

At the SCC at (1.2) Harvesting and (1.3) Post-harvesting for unrestricted species, certain activities, procedures, and data reconciliation/consistency checks are carried out which is essentially the same as those that apply for the restricted species; those activities are preceded by checks from the PONRE officers together with the LBFRM officers.

For restricted species derived from forest conversion

(1.1) Pre-harvesting

(a) Main activities

- The agency that has been granted permission to use the area by the authorities, or is permitted to use the area by-law, submits an application with necessary documents to the Provincial Governor.
- The RFD officer conducts a survey of the number and species of trees in the area, and prepares an inventory.
- The Provincial Governor allows the FIO to harvest the trees.
- The RFD Director General or the Provincial Governor issues a logging permit.

(b) Procedures

- The agency that has been granted permission to use the area by the authorities, or is permitted to use the area by-law, submits an application together with relevant evidence of land use permission and all necessary project documents or the plan for use of the area to the Provincial Governor. The project documents or plan must clearly define the area of forested land and declare the area that has been demarcated that is to be converted.
- The Provincial Governor verifies that all necessary documents have been submitted.
- The Provincial Governor informs the local RFD officer of the forthcoming conversion, and requests that the local RFD officer inspects trees in the area and prepares an inventory of the trees that will be harvested during the conversion of forested land for other uses.
- The local RFD officer submits the inventory to the Provincial Governor. At the same time, the local RFD officer submits their inspection report to the RFD.
- The Director General or a person who is assigned by the Director general signs the logging permit to permit the Forest Industry Organisation for logging.

(c) Data reconciliation/consistency check

- There is no data reconciliation for the tree inventory within the first step.

(1.2) Harvesting

(a) Main activities

- The FIO harvests timber according to the tree inventory.
- The FIO drags the harvested timber to the storage location specified in the logging permit.

(b) Procedures

- The FIO harvests timber according to the permitted species and amount as specified in the selected tree inventory, attached to the logging permit. The permitted trees may be harvested all at one time or several times.
- In the case the FIO harvests the timber itself, it must use an FIO forestry seal instead of the RFD's seal of dragging. The FIO then moves (drags) the timber to the storage location.
- In the case the FIO hires a third party to harvest the timber, the FIO must inform the local RFD officer. The RFD officer inspecting the timber stamps his personal seal (Tor. stamp), a serial number, and a seal of dragging on every stump (whenever possible), measures the timber, and prepares a movement (dragging) list. Only then may the third party or FIO move (drags) the timber to the storage location.

(c) Data reconciliation/consistency check

The RFD officer inspects timber species and amount of timber harvested comparing it with the tree inventory selected. If the species and amount of harvested timber are correct, the list of trees that have been harvested will be removed from the selected tree inventory.



## (1.3) Post-harvesting

## (a) Main activities

- The local RFD officer inspects the harvested timber for the purpose of calculating royalties.
- The FIO pays royalties.
- The RFD collects payment of royalties and issues receipt of payment to FIO.

## (a) Procedures

- In the case the FIO harvests the timber itself, the FIO must notify the local RFD officer. The local RFD officer shall then measure, stamp a royalty seal, and calculate royalty payments. In the case the FIO hires a third party to harvest the timber, the FIO must notify the local RFD officer. The local RFD officer shall then measure, stamp a royalty seal, and calculate royalty payments at the stumps, before dragging the harvested timber to the storage location.
- The local RFD officer calculates the royalties that need to be paid based upon the timber harvested, and notifies the FIO.
- The FIO pays royalties to the local RFD officer, and the local RFD officer issues receipt of payment to FIO.

## (c) Data reconciliation/consistency check

- The RFD officer checks the species and the amount of timber at storage location or at stumps (as the case maybe) compared with the timber inventory. If that is correct, the officer calculates the royalty and prepares the inventory for timber that had been paid the royalty.

For unrestricted species derived from forest conversion

Procedures shall be performed as same as the procedures for restricted species derived from forest conversion, but the logging permit shall be issued by the Provincial Governor.

**CCP 1 Type 3: Timber from public land (other than the national reserved forest and protected forest) which is registered plantation**

SCC proceeds with activities, procedures, and data reconciliation/consistency checks specified in *CCP 1 Type 1: Timber from the national reserved forest which is registered plantation.*

**CCP 1 Type 4: Timber from public land (other than the national reserved forest and protected forest) which is non-registered plantation**For restricted species

For restricted species, SCC proceeds with activities, procedures, and data reconciliation/consistency check specified in *CCP 1 Type 2: Timber from the national reserved forest which is non-registered plantation in the case of restricted species.*

For unrestricted species

Harvesting of unrestricted timber species on public land (other than national reserved forests and protected forests), and all species that have been planted in public land that allowed to utilize, according to the type of title document as notified by the MONRE (including Sor.Por.Gor.) that it shall be deem an unrestricted species under the Forest Act, is not subject to harvesting restrictions under the Forestry Act. Therefore, tree owners have the right to harvest trees without first seeking permission from the RFD. However, moving the harvested timber out of the forest in which those trees have grown must comply with the SCC as described in *CCP 2 Type 4: Timber from the public land (other than national reserved forest and protected forest) which is non-registered plantation.*

For the benefit of controlling the supply chain of timber under TLAS, one of the following control guidelines shall be applied. The documents which have been prepared shall be use an evidence of timber acquisition to request an RFD transportation permit at the first RFD checkpoint, or to bring the timber entering the timber processing mill in case the timber does not be transported passing the first RFD checkpoint.

**Option 1:** The submission of the intention in writing to the district-chief officer in accordance with the RFD letter no. Gor Sor 0704.3/540 dated January 23, 2003 that can apply to all unrestricted specie. Post-harvesting is performed.

(a) Main activities

- An owner of the timber informs a desire to transport timber to the district-chief officer.
- The RFD officer or the LBFRM officer verify the land and timber.
- The Provincial Governor issues an RFD transportation permit.

(b) Procedures

- The owner of timber intending to move the unrestricted timber species out of the forest where it was grown must inform the district-chief officer and provide a map clearly showing the forest area of harvesting, the species, amount of timber, and the specified destination of transportation of such timber. At this point, the timber is not allowed to be move from the stump.
- The RFD or LBFRM officer will survey the condition of the harvesting area to make sure that the harvesting area is not a national reserved forest, national park, wildlife sanctuary, watershed forest or hillside in which when cutting down trees will cause natural disasters.
- The RFD or LBFRM officer checks the species, amount of timber, stamps the personal seal, as well as numbers on every piece of timber, every log and every stump.
- The RFD or LBFRM officer records the inspection result of timber inventory and forest map which is submitted to the district-chief officer to consider. Once signed, the recommendation will go the Provincial Governor.
- The Provincial Governor issues an RFD transportation permit to move the timber from the stump by attaching the timber inventory. The RFD transportation permit is issued for moving the timber from its stump to the first RFD checkpoint.

(c) Data reconciliation/consistency check

The RFD officer compares harvested timber with its stumps for issuance of RFD transportation permit.

**Option 2:** Request a timber certificate under section 18/1 of the Forest Act, 1941 and its amendment no. 8, 2019 that can apply to all species that have been planted by in public land that allowed to utilize, according to the type of title document as notified by the MONRE (including Sor.Por.Kor.) only. Pre-harvesting or Post-harvesting may be performed.

(a) Main activities

- An owner of the timber submits a request.
- The RFD officer verifies the land and timber.
- The RFD Director General issues a timber certificate.

(b) Procedures

- An owner of the timber submits a request for timber verification with land use permission letter that is a specified type of permission notified by the MONRE agreed by the cabinet. In Bangkok, the request must be submitted at RFD. In other provinces, the request must be submitted at LBFRM or local forestry center or the local forest protection and development unit. The request may be submitted while the trees is in a standing state or after harvesting and the harvested timber has not yet moved from the area around its stumps.
- The RFD officer verifies the land location and timber and reports a result of verification. The report contains important details such as details of land evidence, land location with GPS coordinates at the middle of land plot, inventory specifying species, size, amount and volume/weight, details of an RFD personal seal (Tor seal), serial number and abbreviated year stamping onto the timber, photos of trees or timber, and a brief map showing the tree location.
- The RFD Director General or a person assigned by the Director General issues a timber certificate.

(c) Data reconciliation/consistency check

For verification of trees that are in a standing state, there is no consistency check.

For verification of harvested timber and it has not yet moved from the area around its stumps, the harvested timber and its stumps shall be compared.

**Option 3:** Self-declaration that can apply to all species that have been planted by in public land that allowed to utilize, according to the type of title document as notified by the MONRE (including Sor.Por.Gor.) only.

*[A Self-declaration guideline for unrestricted timber on public land will be a guideline to control timber by using documents demonstrating the legality of timber and timber products, and the guideline will provide procedures to control timber that are recognized by all relevant parties of the supply chain controls. The guideline will be further developed by the relevant sub-working group.]*

*For timber derived from forest conversion*

Timber derived from forest conversion for other use, activities, procedures and data reconciliation/consistency check shall comply the same with those are described in CCP1 Type 2: Timber from the national reserved forest which is a non-registered plantation.

*CCP 1 Type 5: Timber from private land which is registered plantation*

SCC proceeds with activities, procedures, and data reconciliation/consistency checks specified in *CCP 1 Type 1: Timber from the national reserved forest which is registered plantation.*

**CCP 1 Type 6: Timber from private land which is unregistered plantation**

Harvesting of timber on private land is not subject to harvesting restrictions under the Forest Act. A tree owner is therefore entitled to harvest timber without first seeking permission. However, for the benefit of controlling the supply chain of timber under the THA-TLAS, one of following control guidelines shall be applied. The documents described below shall be completed and submitted as evidence of the legal acquisition of timber, which shall be checked by the mill for completeness, consistency, and authenticity.

**Option 1:** Request a timber certificate under section 18/1 of the Forest Act, 1941 and its amendment no. 8, 2019. Pre-harvesting or Post-harvesting may be performed.

Activities, procedures, and data reconciliation/consistency check shall comply the same with those are described in CCP 1 Type 4: Timber from public land (other than the national reserved forest and protected forest) which is a non-registered plantation, unrestricted species. However, land evidence used for verification shall be a title deed or certificate of possessive right or other documents demonstrating possessive right under the Land Code. In the case of a land lease, a land lease contract also be used.

**Option 2:** Self-declaration of timber legality. Pre-harvesting and Post-harvesting will be performed.

*[A Self-declaration guideline on private will be a guideline to control timber by using documents demonstrating the legality of timber and timber products, and the guideline will provide procedures to control timber that are recognized by all relevant parties of the supply chain controls. The guideline has developed by the relevant sub-working group. Currently, the development of guideline is completed, and it will be officially published by the RFD letter.]*

(1.1) Pre-harvesting/harvesting

(a) Main activities

A timber owner completes a self-declaration and attaches all relevant evidence, or prepares appropriate substitute documents to demonstrate legality, in accordance with RFD guidelines.

(b) Procedures

- A timber owner completes a self-declaration, providing all necessary information, which includes: a copy of the certificate of right to land (right to land means ownership and includes possessory right), including a simple map; geographic coordinates of the source of trees; a copy of the government issued identification of the timber owner; photographs of the trees, the harvested timber, and/or the plantation; and the species and number of trees harvested. If a timber owner has already sold the timber to a trader or processing mill, the sales contract between the parties shall also be attached.
- The self-declaration shall be signed by the timber owner, or by the legal representative of the timber owner. The timber owner can substitute the evidence specified under these procedures with other evidence, as long as the substitute evidence is able to demonstrate the legality of the timber and its source. The processing mill operator is responsible for making a judgement on the appropriateness of the substitute evidence.

## (c) Data reconciliation/consistency check

- There is no data reconciliation within the first step.

## (1.2) Post-harvesting

## (a) Main activities

- A timber owner completes a form for timber transportation to transport timber from private land, unless the timber has been purchased by a trader or processing mill, in which case the trader or processing mill completes a form for timber transportation.

## (b) Procedures

- A timber owner completes the self-declaration and attaches all relevant evidence, or prepares the appropriate substitute evidence, in accordance with RFD guidelines.
- A timber owner completes the form for timber transportation, unless the timber has been purchased by a trader or processing mill, in which case the trader or processing mill completes a form for timber transportation. A form for timber transportation contains the following details:
  - Maximum time for transportation determined by transporter
  - Location of departure and destination
  - Name of the transporter
  - Type of vehicle and its license plate number
  - Signature of the legal owner of the timber being transported
  - Log list, which includes a description of the species, size, quantity, volume and/or weight of the timber

## (c) Data reconciliation/consistency check

- A timber owner, or trader or processing mill, inspects the harvested timber and compares it with the information contained in both the self-declaration and the form for the transportation of timber.

**CCP 1 Type 7: Reclaimed wood**

For the purpose of this Annex, “reclaimed wood” means wood that originates from the old construction or equipment, or wood that had been used previously, and it is intended for reuse whether it is located in the National Reserved Forest, on public land (other than national reserved forests and protected forests), or private land.

The control is divided into 2 cases: wood that originates from old construction or equipment that moving of wood out of the province shall first receive a permission from the local RFD under the Forest Act, and other reclaimed wood that is not subject to the Forest Act.

Wood that originates from old construction or equipment that moving of wood out of the province shall first receive a permission from the local RFD under the Forest Act

It is a wood of a restricted species, or wood with a name or species matching that of a restricted species, that had been stated as the construction or equipment and had been in such form for more than 10 years for Teak, or more than 5 years for other species and that is not in the original form of building or equipment. If it is intended to transport to outside the province, the RFD officer must be informed to

inspect the wood and the permission shall be first received before moving out of the province as specified in the Forest Act.

(a) Main activities

- An applicant who wishes to move reclaimed wood out of the province must submit an application form (Mor Gor 1).
- A committee will then examine the appearance and condition of structure or appliances, whereafter it will provide its opinion to the RFD Director General in Bangkok, or in other provinces to the Provincial Governor for granting the necessary permission.
- The RFD Director General or the Provincial Governor approves the permission.
- The applicant will then proceed to demolish the structure or appliance and inform the committee to inspect and prepare the required wood inventory necessary for the RFD Director General, or the Provincial Governor to issue a Mor Gor. 4.
- Transport the reclaimed wood out of the province to the destination.

(b) Procedures

- The applicant prepares and submits a request accompanied by photos of the structure or appliances, a brief map and evidence of ownership, as well as evidence of the possessory right, or land use rights of the destination location where the reclaimed wood will be transported to.
- The committee then examines the condition of the structure or appliances. The structure or appliance must have been in the stated condition for not less than the specified period, or it must be proved that it has been obtained legally. Then, the committee will submit the request, its inspection result, photographs and all relevant documents together with its recommendation to the RFD Director General, or the Provincial Governor.
- When a permission is granted, a permission shall be notified to the applicant and the applicant shall finish the demolition the structure or appliance within 30 days from the date of notification. When the demolition is completed, the applicant shall notify the committee to inspect the demolished wood.
- The committee will examine the demolished wood and then prepare an inventory showing the species, amount, size, volume as well as stamp the personal seal of the RFD officer who is a committee member on every piece of wood. If the committee is unable to stamp the seal for any reason, those reasons shall be noted in the reclaimed wood inventory and the committee shall countersign in the inventory. Then the inventory shall be submitted to the RFD Director General or the Provincial Governor to issue a permit to transport of the reclaimed wood according to the Mor Gor. 4 form.
- The applicant receives the Mor Gor. 4 and transports the reclaimed wood out of the province to the specified destination.

(c) Data reconciliation/consistency check

- The committee will verify that the demolished wood is consistent with the structure and/or appliances approved for demolition and prepare a reclaimed wood inventory.

Other reclaimed wood that is not subject to the Forest Act.

*Wood that is not subject to the Forest Act includes wood that is not restricted species and the name or species does not match that of a restricted species although it had been stated as the construction of building or equipment, and any wood from demolition but it is not transported to outside the province.*

*[There will be a guideline to control timber by using documents demonstrating the legality of timber and timber products, and the guideline will provide procedures to control timber that are recognized by all relevant parties of the supply chain controls. The guideline will be further developed by the relevant sub-working group.]*

### **CCP 1 Type 8: Imported timber and timber products**

*[All timber and timber products imported into Thailand must have been legally produced. Timber and timber products that are prohibited from being harvested or traded under the laws of Thailand or the country of harvest, or under sanctions issued by the United Nations' Security Council, shall not be imported into Thailand.*

*One of the following three ways to demonstrate the legality of imported timber and timber products is required:*

- 1. a valid FLEGT license or equivalent export license covering the entire shipment from an exporting country which has concluded a VPA with the Union and has an operational FLEGT licensing system in place;*
- 2. a valid CITES permit for import issued by the Department of Agriculture, covering the entire shipment; or*
- 3. a declaration demonstrating due diligence and, where the risk of illegality is non-negligible, additional information demonstrating the implementation of appropriate mitigation measures.*

*For purposes of the due diligence declaration, importers must demonstrate due diligence, which requires: (1) information collection; (2) risk assessment; and, where necessary, (3) risk mitigation. Due diligence is independently applied to a quantity of timber and timber products under a specific HS Code and source within each individual shipment.*

*Using the standardized template and, where necessary, attaching additional information, importers must demonstrate that there is a negligible risk that the imported timber and/or timber products were illegally produced. This requires that an importer provides evidence that they have collected sufficient information to conduct a risk assessment, conducted such a risk assessment and, where necessary, implemented appropriate risk mitigation measures. The due diligence declaration shall be submitted by an importer to the RFD for review and approval, for purposes of the due diligence evaluation. If the due diligence declaration is determined to be complete and satisfactory, and that there is a negligible risk that the imported timber and/or timber products were illegally produced, the shipment can proceed to customs clearance.*

#### *(a) Main activities*

- An importer confirms the legality of the timber and timber products to be imported into Thailand by securing a valid FLEGT licence or equivalent export license; a valid CITES permit; or demonstrating due diligence through the submission of a complete and satisfactory due diligence declaration.*
- If using a due diligence declaration, an importer submits a completed form, together with attached additional information, demonstrating that due diligence has been conducted and that there is a negligible risk that the imported timber and/or timber products were illegally produced.*
- The RFD officer evaluates the due diligence declaration to determine whether it is complete and satisfactory, that due diligence has been conducted, and that there is a negligible risk that the imported timber products were illegally produced.*

- *If the RFD officer determines that all requirements have been met, the timber and/or timber products may be imported.*
- *An importer performs an import customs clearance.*

*(b) Procedures*

- *If an importer has either a valid FLEGT licence or an equivalent export certificate, or a valid CITES permit, they submit these to the Thai Customs and RFD to demonstrate the legality of the timber and/or timber products in the shipment. If an importer does not have a FLEGT licence or an equivalent export certificate, or a CITES permit, they must submit a due diligence declaration.*
- *If an importer submits a due diligence declaration, they must demonstrate due diligence by providing evidence that they have collected sufficient information to conduct a risk assessment; conducted such a risk assessment; and, where necessary, implemented appropriate risk mitigation measures. An importer must be able to demonstrate there is a negligible risk that the timber and/or timber products have been illegally produced. An importer submits the due diligence declaration to the RFD.*
- *The RFD officer reviews the submitted due diligence declaration to determine whether the importer has adequately demonstrated due diligence, and that there is a negligible risk that the timber and/or timber products have been illegally produced. If the RFD officer determines that all requirements have been satisfied, the importer may proceed to customs clearance.*
- *If the RFD officer determines that due diligence has not been adequately demonstrated, or that non-negligible risks remain, they may request that the importer provides additional evidence within a specified period. If all evidence necessary to demonstrate due diligence is provided by the importer, the RFD officer shall approve the due diligence declaration. If the importer fails to provide the necessary additional evidence in the specified period, the shipment of timber and/or timber products cannot be imported.*
- *The importer must completely comply with import customs clearance as specified in the laws including submitting the complete due diligence declaration form.*
- *.*
- *Shipments of timber or timber products that have physical characteristics of wood shall be jointly inspected by the RFD and Thai customs officers to ensure there is consistency between the physical characteristics of the timber and/or timber products and the information provided in the import entry declaration and accompanying documents. The RFD and Customs officers shall prepare a co-inspection report.*
- *Timber and timber products released by the Thai Customs that are logs or processing timber shall have an RFD transportation permit (details of the procedures for issuing the RFD transportation permit are described in CCP 2).*

*(c) Data reconciliation/consistency check*

- *The RFD officer checks whether the timber and/or timber products listed in the import entry declaration are covered by the due diligence declaration submitted with the import entry declaration.*
- *The Thai customs officer releases timber or timber products in accordance with the import entry declaration and the RFD transportation permit (if any) out of the customs custody].*

**CCP 2 Transportation departing from CCP1**



**CCP 2 Type 1: Timber from the national reserved forest which is registered plantation.****(a) Main activities**

- The plantation entrepreneur must stamp the registered seal on timber.
- The plantation entrepreneur will survey, measure and prepare transportation document accompanying with timber inventory in Sor Por.15 form.
- The original Sor Por. 15 will be delivered to the transporter; a copy of the Sor Por. 15 must be sent to the RFD or the PONRE whilst the plantation entrepreneur keeps another copy of Sor Por. 15.
- The timber will be transported to the destination specified in Sor Por.15 by the transporter.

**(b) Procedures**

- The plantation entrepreneur stamps or marks the seal on the timber using the seal that has been certified by the plantation registrar which shows ownership of the plantation.
- The plantation entrepreneur then surveys the species and amount of timber as well as measures the sizes of the timber that will be moved out of the registered plantation.
- The plantation entrepreneur compares the timber inventory in the acknowledgement certificate as per Sor Por.13 and remove the list of trees which are harvested
- The plantation entrepreneur prepares a transportation document in the Sor Por. 15 form, which has been registered with the RFD or the PONRE (referring to the acknowledgement certificate). This will accompany the timber transported specifying the place of origin, the destination, and the name of the controller of the timber transportation.
- The Sor Por. 15 consists of 3 copies which are the following:
  - Copy 1 (original) in which the plantation entrepreneur delivers to the transporter to accompany with the timber during transportation
  - Copy 2 (carbon copy) in which the plantation entrepreneur sends to the RFD or the PONRE every month, and
  - Copy 3 (carbon copy) which is kept with the plantation entrepreneurs.
- The RFD or PONRE officer inspects the copy of Sor Por. 15 by comparing with the acknowledgement certificate (Sor Por. 13) whether it is correct and consistent. If the data is correct and consistent, the harvested timber list shall be removed from the registered trees inventory and the harvested timber shall be moved out of the registered plantation.
- The transporter shall transport the timber accompanied with the SorPor.15 throughout the transportation route to show to the authorities if is it called for inspection. The transporter shall keep the Sor Por. 15 until the timber is delivered at the specified destination and then deliver the Sor Por. 15 to the transferee of timber or to use for the export process, as appropriated.

**(c) Data reconciliation/consistency check**

- The plantation entrepreneur inspects the timber that will be issued the Sor Por.15 by comparing it with the trees inventory in the acknowledgement certificate as Sor Por. 13 to remove the list of timber, that is harvested and desired to move it out of the registered plantation, from Sor Por. 13.
- The RFD or PONRE officer inspects the timber inventory in the copy of Sor Por. 15 submitted by plantation entrepreneurs and compares it with the trees inventory in the acknowledgement certificate (Sor Por. 13) in order to remove the list of timber, that is harvested and desired to move it out of the registered plantation, from Sor Por. 13.

**CCP 2 Type 2: Timber from the national reserved forest which is non-registered plantation.**

## (a) Main activities

- The owner of the timber submits a request for the issuance of an RFD transportation permit.
- The RFD officer PONRE officer will verify the legitimate acquisition.
- The RFD or PONRE officer will check the species and amounts of timber, measure, stamp, and prepare a timber inventory.
- Thereafter the RFD or PONRE will issue the RFD transportation permit attaching the timber inventory.
- The transporter transports the timber accompanied with the RFD transport permit all the times during the transportation.
- The transporter must inform an RFD checkpoint along its transportation route when timber is being transported within its boundary; the RFD officer will inspect timber passing through its boundaries.
- The transporter must request permission to enter the destination RFD checkpoint boundary.
- The transporter will deliver the RFD transportation permit to the transferee at the destination.

## (b) Procedures

- The owner of the timber submits a request for issuance of a transport permit at the RFD or the PONRE office that is responsible in the administering area where from which timber is being transported.
- The RFD or PONRE officer checks the evidence of legitimate acquisition of timber which includes evidence of royalty payment, the logging permit (in the case of royalty payment exemption), or evidence of payment of applicable import duties (in the case of imported timber).
- The RFD or PONRE officer checks the species and amount of timber, measures the size and volume of every piece of timber and prepares a timber inventory which is attached to the RFD transportation permit. The officer also removes the list of timber that will be transported from the inventory of timber on which royalties has been paid. The timber inventory is attached to the logging permit, or a list of imported timber (as the case may be) and must be produced/ shown during the transportation of timber.
- The officer stamps the personal seal (Tor. seal) on every piece of timber. If the seal cannot be stamped for any reason, the officer shall take a note on the RFD transportation permit.
- The RFD or PONRE issues the RFD transportation permit to the owner of timber.
- The transporter transports the timber which must be accompanied by a transport permit at all times during the transportation.
- When the transporter moves the timber into any RFD checkpoint boundary, the transporter shall inform the relevant RFD checkpoints along the transportation route thereof for purposes of inspection by the competent officer. The competent officer will check the RFD transportation permit as legally issued the timber being transported is consistent with the evidence presented. The competent official stamps the personal seal (Tor. seal) on any appropriate place on timber. Then, the competent officer records the inform on the RFD transportation permit, and issue a document granting permission to bring timber through the RFD checkpoint.
- When arriving the RFD checkpoint destination, the competent officer shall inspect and stamp a personal seal (Tor. seal) and allow to transport the timber into the RFD checkpoint boundary.
- On arrival at the destination, the transporter delivers the RFD transportation permit to the transferee of timber or uses the RFD transportation permit in the process of export, as the case may be.

## (c) Data reconciliation/consistency check

- The RFD officer or PONRE officer inspects the timber in respect of which the RFD transportation permit was requested comparing it with the timber inventory as evidence of the timber acquisition in order to remove the timber to be transported from the timber inventory.
- The RFD officer, at the RFD checkpoint along the transportation route, checks the timber that is moved, comparing with the timber inventory list attached to the RFD transportation permit.
- The RFD officer, at the RFD checkpoint destination, checks the timber that is moved, comparing with the timber inventory attached to the RFD transportation permit.

**CCP 2 Type 3: Timber from the public land (other than national reserved forest and protected forest) which is registered plantation.**

SCC proceeds with activities, procedures, and data reconciliation/consistency check specified in *CCP 2 Type 1: Timber from the national reserved forest which is registered plantation.*

**CCP 2 Type 4: Timber from the public land (other than national reserved forest and protected forest) which is non-registered plantation.**

**For restricted species**

For restricted species, the SCC proceeds with activities, procedures, and data reconciliation/consistency check specified in *CCP 2 Type 2: Timber from the national reserved forest which is non-registered plantation.*

**For unrestricted species**

Harvesting of unrestricted species on public land (other than national reserved forests and protected forests) are not subject to law. The control of the supply chain is only for those who wish to move the timber out of the forest where the trees have grown. The transportation must use the documents issued under CCP 1 Type 4: Timber from public land (other than the national reserved forest and protected forest) which is non-registered plantation, unrestricted species, for transportation of timber until arriving the first RFD checkpoint.

When the timber has arrived at the first RFD checkpoint and the timber will be transported further, the following must be performed.

**(a) Main activities**

- The transporter requests a new RFD transportation permit.
- The RFD officer checks species and amounts of timber, measures the piece of timber, stamp the timber, and prepare a timber inventory.
- The RFD issues the RFD transportation permit along with the timber inventory attached to the RFD transportation permit.
- The transporter transports the timber accompanied with an RFD transportation permit all the time during the transportation.
- The transporter informs the transportation of timber entering into any RFD checkpoint boundary along the transportation route to enable the RFD officer to inspect the transported timber.
- The transporter requests permission to enter the destination RFD checkpoint boundary.

- The transporter delivers the RFD transportation permit to the transferee at the destination.

(b) Procedures

- When arriving at the first RFD checkpoint and in the event that the transporter wishes to transport further, the transporter shall submit a request for issuing another RFD transportation permit.
- The RFD or PONRE officer verifies the evidence showing the legitimate acquisition (i.e. the previous RFD transport permit attached with the timber inventory).
- The RFD or PONRE officer checks the species and amount of timber, measures the size and volume of every piece of timber and prepares a timber inventory attached to the RFD transportation permit (as well as removing the list of timber will be transported from the previous timber inventory to show that the timber has been moved).
- The competent officer shall stamp the personal seal (Tor. seal) on every piece of timber. If the seal cannot be stamped for any reason, the competent official shall make a note on the RFD transportation permit.
- The RFD or PONRE issues an RFD transportation permit to the owner of the timber, which refers to the evidence of acquisition of timber and timber inventory. It specifies the origin and destination as well as the name of the person who is responsible for transportation.
- The timber must be accompanied by the RFD transportation permit at all the time during the transportation.
- When the transporter moves the timber into any RFD checkpoint boundary, the transporter shall inform to the relevant RFD checkpoint(s) along the transportation route for inspection by the competent officer. The competent officer will check the RFD transportation permit as legally issued the timber being transported is consistent with the evidence presented. The competent official stamps the personal seal (Tor. seal) on any appropriate place on timber. Then, the competent officer records the inform on the RFD transportation permit, and issue a document granting permission to bring timber through the RFD checkpoint.
- When arriving the RFD checkpoint destination, the competent officer shall inspect and stamp a personal seal (Tor. seal) and allow to transport the timber into the RFD checkpoint boundary.
- On arrival at the destination, the transporter delivers the RFD transportation permit to the transferee of timber or uses the RFD transportation permit in the process of export, as the case may be.

(c) Data reconciliation/consistency check

- The RFD officer inspects the request for the issuance of the transport permit; the officer compares it with the timber inventory according to the evidence of timber acquisition.
- The RFD officer at the RFD Checkpoint along the transportation route checks the transported timber comparing it with the timber inventory attached to the transportation permit.
- The RFD officer at the destination RFD checkpoint checks the transported timber and compares it with the timber inventory attached to the RFD transportation permit.

**CCP 2 Type 5: Timber from private land which is registered plantation.**

SCC proceeds with activities, procedures, and data reconciliation/consistency check specified in *CCP 2 Type 1: Timber from the national reserved forest which is registered plantation.*

**CCP 2 Type 6: Timber from private land which is non-registered plantation.**

The timber certificate issued by the RFD, or the self-declaration with all necessary attachments and the form for the transportation of timber, shall accompany the timber throughout transportation, from the private land to the destination listed on the form for timber transportation. The transporter shall deliver both the timber and the aforementioned documents to the legal owner or buyer.

**CCP 2 Type 7: Reclaimed wood**

Reclaimed wood that moving of wood out of the province shall first receive a permission under the Forest Act, the Mor. Kor. 4 shall accompany the transportation until the reclaimed wood arrives at the destination

*[For other reclaimed wood that is not subject to the Forest Act, SCC is not subject to the law. Thailand is in the process of discussions to develop the SCC system for reclaimed wood.]*

**CCP 2 Type 8: Imported timber or timber products****For imported timber**

The transportation of imported timber or processed timber shall have an RFD transportation permit from the RFD. The SCC therefore follows the activities, procedures, and data reconciliation/consistency check as specified in *CCP 2 Type 2: Timber from the national reserved forest which is non-registered plantation.*

**For imported timber products**

For the transportation of imported timber products, the SCC is not subject to the law. However, in every case of importing requires an import declaration showing the list of imported goods to accompany the goods transportation to the destination. Data reconciliation/consistency check is performed by the transferee of imported timber products.

**CCP 3: Timber processing location (primary and secondary processing)**

Timber processing operators may be separated into 5 types, (1) Location where is granted permission to use for processing timber derived from registered plantation under the Forest Plantation Act, (2) Mill which has a permit on establishment of timber processing mill under the Forest Act, (3) Location for temporary timber processing of restricted species, (4) Mill with a permit on the establishment of processing mill using reclaimed wood as raw materials. These 4 types of timber processing location use raw material with physical characteristics of timber. The other one is: (5) Factory that produces timber products using raw materials without physical characteristics of timber. The timber processing location, type 5, is not subject to the Forest Act.

**CCP 3 Type 1: Location where is granted permission to use for processing timber derived from registered plantation under the Forest Plantation Act.**

SCC proceeds with activities, procedures and data reconciliation/consistency check specified in *CCP 3 Type 2: Factory which has a permit on establishment of processing mill under the Forest Act.*

Timber, or processed timber brought into this type of facility must originate from registered plantations only. The only evidence of timber acquisition is therefore a Sor Por. 15. Timber recordkeeping, processed timber recordkeeping and timber statistic records must be submitted to the RFD or PONRE when the specified expiration date of the permission is due (no longer than 180 days) or when the processing of timber is finished.

**CCP 3 Type 2: Mill which has a permit on establishment of timber processing mill under the Forest Act**

(a) Main activities

- A processing mill permit holder shall verify that the timber has been acquired legally and that the timber comes from a legal source in accordance with Section 51(6) of the Forest Act 1941, as amended by the Forest Act (No. 8) 2019.
- A processing mill permit holder checks the documents submitted by a timber seller for completeness, consistency, and authenticity, to ensure that the timber was legally acquired. If the processing mill permit holder finds incomplete documentation, identifies inconsistencies, or reasonably suspects that the timber may come from an illegal source or was illegally acquired, they shall take proportionate and effective mitigation measures, as described in the RFD Guidelines.
- Once the processing mill permit holder has checked the completeness, consistency, and authenticity of the documentation accompanying the timber, and is satisfied that the timber comes from a legal source and has been legally acquired, they shall receive the timber and record all relevant information in the timber recordkeeping. The processing mill permit holder processes the timber.
- The processing mill permit holder records the information on distributions of logs in the timber recordkeeping for logs that is consistent with the information on acquiring processed timber in the timber recordkeeping for processed timber. In the timber recordkeeping for processed timber, the information on acquiring processed timber such as species, amount, volume, and evidence of acquiring as well as information on distributing process timber such as species, amount, volume, and evidence including type and amount of final product shall be recorded.
- .
- The processing mill permit holder prepares a statistical record, including the total amount and volume of timber and timber products, by species, acquired and distributed (processing, producing to final product and sold) each month.
- The processing mill permit holder submits the timber recordkeeping, the timber product recordkeeping and the statistical record, to the relevant RFD or PONRE officer annually, for review and renewal of the processing mill permit.

(b) Procedures

The processing mill permit holder verifies that timber they purchase comes from a legal source and has been legally acquired.

- For the plantation entrepreneur who has permission to use the plantation area for processing of timber derived from registered plantation, the operator can only process logs and/or processed timber, which have the transportation document (Sor Por. 15) (only timber derived from registered plantation).

- The processing mill permit holder records all relevant information about the timber and its source in the timber recordkeeping, The timber recordkeeping shall be record the evidence of acquisition of timber including the self-declaration and form for timber transportation.
- The processing mill permit holder records the information on distributions of logs in the timber recordkeeping for logs that is consistent with the information on acquiring processed timber in the timber recordkeeping for processed timber. In the timber recordkeeping for processed timber, the information on acquiring processed timber such as species, amount, volume, and evidence of acquiring as well as information on distributing process timber such as species, amount, volume, and evidence including type and amount of final product shall be recorded.
- 
- The processing mill permit holder prepares a statistical record, including the total quantity of timber and timber products, by species, acquired and distributed each month. This is used to track the volumes of timber entering and leaving a processing mill, for the purpose of monitoring the supply chain and, where necessary, conducting audits.
- The processing mill permit holder submits the timber and timber product recordkeeping, and the statistical record, to the relevant RFD or the PONRE annually, for review and renewal of the processing mill permit.

(c) Data reconciliation/consistency check

- The processing mill permit holder inspects the timber delivered and compares it with the information contained in the documents used for transportation
- The processing mill permit holder checks and compares information in the timber recordkeeping and the timber product record keeping with the evidence of timber acquisition and the statistical record.
- The statistical record is used to track the volumes of timber entering and leaving a processing mill for the purpose of monitoring the supply chain and, where necessary, conducting audits.
- The RFD or PONRE officer checks the timber recordkeeping, the timber product record keeping and the statistical record of the processing mill. The officer then checks the consistency by comparing these records to the evidence of timber acquisition, such as Sor Por. 15, RFD transportation permit, movement document of processed timber, timber certificate under the Forest Act, self-declaration, or any evidence indicating a legitimate timber acquisition. Then, the officer compares the list of timber products that have been produced to the list of received timber. The officer shall perform an on-site inspection at the processing mill, at least once a year.

**CCP 3 Type 3: Location for temporary timber processing of restricted species**

Processing restricted species temporarily has a certain timber that an operator is intending to process and is permitted to process that timber for not more than 90 days per permit.

(a) Main activities

- A person who wishes to process timber verifies all evidence on timber acquisition and transportation of restricted species.
- A person who wishes to process timber temporarily must provide an inventory of existing timber.
- A person who wishes to process timber temporarily submits an application with its inventory and all relevant documents to the RFD or PORNE.

- RFD or PORNE officer verify the submitted application and documents.
- RFD director general, for inside Bangkok, or Provincial Governor, for outside Bangkok, issues the Permit on processing timber.

(b) Procedures

- A person who wishes to process timber temporarily verifies all evidence on timber acquisition and transportation of restricted species including RFD transportation permit or Sor. Por. 15.
- A person who wishes to process timber temporarily must provide an inventory 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.
- A person who wishes to process timber temporarily submits an application with its inventory and all relevant documents to the RFD or PORNE.
- RFD or PORNE officer verify whether documents are accurate and legal and considers a permission with reasons and temporary need. A permit is valid for 90 days.
- RFD director general or Provincial Governor issues the Permit on processing timber.
- A permit holder shall process timber as specified in the timber inventory attaching to a request for processing permission only. A permit holder also prepares a timber recordkeeping.
- If the timber processing cannot be done within an expiring date of a permit, a permit holder can request to extend for a permit. RFD director general or Provincial Governor shall allow extending as appropriate for the remaining work, but a total day of such permit must be not exceeding 180 days.

(c) Data reconciliation/consistency check

- RFD or PONRE officer checks/compares information in the timber recordkeeping, evidence of timber acquisition and existing timber in the location will be used for processing.

**CCP 3 Type 4: Mill with a permit on the establishment of processing mill using reclaimed wood as raw materials**

*[Reclaimed wood is defined as no longer a timber according to definition in the Forest Act, so the SCC of reclaimed wood is not subject to the law. The SCC of reclaimed wood is still under discussion.]*

**CCP 3 Type 5: Factory that produces timber products using raw materials without physical characteristics of timber**

*[SCC of this type of processing mill is not subject to the law (however, the legality of establishment and operation is covered by the law on factory), but in business practice the factory has documented the raw material account and/or the in stock product account in order to record quantity of raw material and end products. Also, the factory has collected the evidence of received and products sold, which can be used for SCC. However, the supply chain control of this type of processing mill is still under discussion.]*

**CCP 4 Transportation departing from CCP3**

Transportation of processed timber and/or timber products out of the processing mill may be separated into 3 types, (1) Moving processed timber or timber products out of the location for processing timber under the Forest Plantation Act, (2) Moving processed timber or timber product out of timber processing mill under the Forest Act, (3) Moving processed timber or timber product out of the location



for temporary timber processing of restricted species under the Forest Act, (4) Moving reclaimed timber out of the timber processing mill under the Forest Act, and (5) Moving timber product out of factory that produces timber products using raw materials without physical characteristics of timber.

**CCP 4 Type 1: Moving processed timber or timber product out of the location for processing timber under the Forest Plantation Act.**

(a) Main activities

- A permit holder prepares the transportation document together with the timber inventory in Sor Por. 15 form.
- The permit holder records of the distribution of processed timber and/or timber products from the processing facility into the timber recordkeeping or timber product recordkeeping and the statistic record.
- The permit holder delivers an original of Sor Por. 15 to the transporter, submit one copy of Sor Por. 15 to the RFD or the PONRE and keep one copy with the permit holder.
- The transporter transports timber to destination specified in Sor Por. 15.

(b) Procedures

- The permit holder prepares the transportation document (Sor Por. 15 form). This form has been registered with the RFD or PONRE; it refers to evidence of timber acquisition, is accompanied by a timber inventory and identifies the starting point as well as the final destination of transportation. It further identifies the name of the person in charge of transportation of processed timber and/or timber product.
- The permit holder records information into the recordkeeping on the sale of processed timber and/or timber products from the processing mill in order to control quantity of timber/ or timber products sold and in stock. The permit holder prepares the statistics record in order to control information about timber and/or timber products received, sold and in stock processed.
- Sor Por. 15 consists of 3 copies which are the following:
  - Copy 1 (original) which the permit holder delivers to the transporter to accompany with the timber during its transportation
  - Copy 2 which the permit holder sends to the RFD or PONRE on a monthly basis, and
  - Copy 3 which is kept with the permit holder.
- The RFD or PONRE officer checks the consistency of Sor Por. 15 compared with referred evidence of acquisition.
- The transporter transports the timber, which is accompanied by a Sor Por 15 all the way to the destination. This document is to be declared to the competent officer when it is asked for. This document is to be handed to the timber transferee, or to be used for the export process depending on the case.
- The permit holder issues the invoice to the timber transferee.

(c) Data reconciliation/consistency check

- The permit holder checks the timber recordkeeping and/or timber product recordkeeping by comparing received, sold and in stock timber with Sor Por. 15 and the invoice.

**CCP 4 Type 2: Moving processed timber or timber product out of processing mill under the Forest Act**

Description of SCC may be divided into 2 cases: (1) that are transportation of processed timber or timber product made of restricted species out of processing mill, and (2) transportation of timber product made of unrestricted species out of processing mill.

*For moving of any processed timber or timber product made from restricted species out of processing mill under the Forest Act*

(a) Main activities

- The permit holder prepares a movement document together with the processed timber inventory and/or timber products inventory.
- The permit holder records the sale of processed timber and/or timber products out of the processing mill into the timber recordkeeping and/or the timber product recordkeeping and prepare the statistic record.
- The permit holder delivers the original movement document to the transporter. For movement document of processed timber and movement document of timber product made from restricted species the permit holder shall keep one copy of this document with the permit holder and submit one copy to the RFD or PONRE. For the movement document of rubber and other 13 species and movement document of processed timber derived from land with ownership or possessory right under the Land Code, there is no need to submit a copy of this document to the RFD.
- The transporter transports timber to destination specified in the movement document.
- The transportation of processed timber, which is not processed from processing mill for rubber wood or other specified 13 species, is transported out of the provinces or the Bangkok and 10 perimeter provinces, a request for the RFD transportation permit must be done by the permit holder. The transporter will hold this RFD transport permit during transportation.

(b) Procedures

- The permit holder prepares the movement document in a form that has been registered with the RFD or PONRE. The movement document refers to evidence of timber acquisition, is accompanied by the timber or timber products inventory, identify the origin and destination of the transportation as well as and identify the name of the person in charge of the transportation of processed timber and/or timber product.
- The permit holder records information into the timber recordkeeping about sale of processed timber and/or timber products out of the processing mill in order to control the quantity of timber and/or timber products sold and in stock processed. The permit holder prepares the statistic record in order to control information about received, sold and in stock processed timber and/or timber product.
- The movement document of processed timber and movement document of timber product made from restricted species consists of 3 copies:
  - Copy 1 (original). The permit holder delivers the original movement document to the transporter which must accompany the timber during transportation.
  - Copy 2 (carbon copy) The permit holder submits the document to the RFD or PONRE on a monthly basis.
  - Copy 3 (carbon copy). The permit holder keeps the document.

The movement document of rubber and other 13 species and movement document of processed timber derived from land with ownership or possessory right under the Land Code consists of 2 copies:

- Copy 1 (original). The permit holder delivers the original movement document to the transporter which document accompanies the timber during transportation.
- Copy 2 (carbon copy). The permit holder keeps the movement document.
- The transporter transports timber accompanied the movement document during transportation. This document must be declared to the officer when it is asked for. This document is delivered to the timber transferee or used for the export process (depending on the case).
- The permit holder issues the invoice to the timber transferee.

In the case where the processed timber is not processed by the processing mill from rubber wood and the other specified 13 species and is not derived from land with ownership or possessory right under the Land Code, the movement document can only be used for the transportation within the provinces or Bangkok and 10 perimeter provinces varies by cases. If transportation out of these areas is needed, the procedures are as follows:

- The permit holder submits a request at the RFD or PONRE office responsible for the area where the transport will commence to obtain the RFD transportation permit.
- The RFD or PONRE officer verifies the movement document.
- The RFD or PONRE officer checks species and quantity of timber and measures size and volume of every piece of processed timber in order to prepare the processed timber inventory attached to the RFD transportation permit. The officer then removes the list of processed timber that will be further transported from the inventory of processed timber attached to the movement document. This is to indicate that the timber has been transported out.
- The competent officer stamps the personal seal (Tor. Seal) on every piece of timber. If the stamp cannot be done, the officer will make a note on the reason in the RFD transportation permit.
- The RFD or PONRE issues the RFD transportation permit for the processed timber owner.
- The transporter transports the processed timber accompanied with the RFD transportation permit all the way during transportation.
- When the transporter transports the processed timber into any RFD checkpoint boundary, the transporter shall inform the relevant RFD checkpoints along the transportation route for inspection by the competent officer. The competent officer will check whether the RFD transportation permit was legally issued the timber being transported is consistent with the evidence presented. The competent official stamps the personal seal (Tor. seal) on any appropriate place on timber. Then, the competent officer records the information on the RFD transportation permit, as well as issue a document granting permission to bring processed timber through the RFD checkpoint.
- When arriving the RFD checkpoint destination, the competent officer shall inspect and stamp a personal seal (Tor. seal) and allow the transportation of the processed timber into the RFD checkpoint boundary.
- On arrival at the destination, the transporter delivers the RFD transportation permit to the transferee of timber or uses the RFD transportation permit in the process of export, as the case may be.

(c) Data reconciliation/consistency check

- The permit holder checks the timber recordkeeping and/or the processed timber recordkeeping by comparing timber and/or timber products received, sold and in stock with the movement document as well as the invoice. In the case where the processed timber, not processed by the processing mill for rubber wood and other specified 13 species and not derived from land with

ownership or possessory right under the Land Code, is transported out from the area of the provinces or Bangkok and its 10 perimeter provinces, the RFD or PONRE officer checks information of timber and/or timber product in the movement document compared to the transported timber and/or timber product. This check is done in order to issue the transport permit. During the transportation, the RFD officer at the RFD checkpoints will check information about processed timber in the RFD transportation permit comparing it to the transported processed timber.

*For moving timber product made from unrestricted species out of timber processing mill under the Forest Act*

The timber processing of unrestricted species must be authorised and recordkeeping and statistic records must be prepared in accordance with the Forest Act. However, transportation of timber products made from unrestricted species by the processing mill is not subject to the law; in practice the operator has issued an invoice and list of timber products for controlling of supply chain.

(a) Main activities

- The permit holder issues an invoice together with a packing list and a delivery note.
- The permit holder records the sale of processed timber and/or timber products out of the processing facility into the timber product recordkeeping and prepares the statistic record.
- The transporter will transport the unrestricted timber products to the destination specified in the delivery note.

(b) Procedures

- The permit holder prepares the invoice together with the packing list and the delivery note, which identifies the starting location of transportation, destination and name of the transporter.
- The permit holder records information in the timber recordkeeping about the sale of unrestricted timber product out of the processing place in order to control quantity of sold and in stock the timber product. The permit holder also prepares the statistic record for controlling information about received, sold and in stock the timber product.
- The transporter transports the unrestricted timber products using the invoice together with the packing list and the delivery note accompanying with the transportation. These documents are to be delivered to the transferee or to be used for export depending on cases.

(c) Data reconciliation/consistency check

- The permit holder checks the processed timber recordkeeping by comparing received, sold and in stock the timber product with the invoices.

*CCP 4 Type 3: Moving processed timber or timber product out of the location for temporary timber processing of restricted species under the Forest Act*

The permit holder shall issue the movement document for processed timber or timber product made from restricted species and in case such processed timber will be transported out from the area of the provinces or Bangkok and its 10 perimeter provinces, it shall be received the RFD transportation permit as the procedures specified in CCP4 Type 2 above.

*CCP 4 Type 4: Moving reclaimed timber out of the processing mill under the Forest Act*

*[The SCC in this case is not subject to the law to prepare a movement document although it is moved out of the processing mill under the Forest Act, but in business practice the factory has issued the invoice and the packing list for controlling the supply chain. However, the supply chain control for this type of factory is currently under discussion.]*

**CCP 4 Type 5: Moving timber product out of factory that produces timber products using raw materials without physical characteristics of timber.**

*[The SCC in this case is not subject to the law, but in business practice the factory has issued the invoice and the packing list for controlling the supply chain. However, the supply chain control for this type of factory is currently under discussion.]*

**CCP 5 Trade and export**

The SCC may be divided into 4 types that are: (1) shops of processed timber or timber products under the Forest Act, (2) shops of timber products that does not require a permit under the Forest Act, (3) Pre-export and (4) Export.

**CCP 5 Type 1: Shops of processed timber or timber product under the Forest Act**

The person who operates the trading facility of processed timber or trading place of timber products made of restricted species must be granted permission under the Forest Act. In case where the trading facility and the processing mill are in the same location, the verification of SCC will be in the same method as described in CCP 3.

**(a) Main activities**

- The permit holder verifies the evidence of transportation or acquisition of the timber and/or timber products.
- The permit holder records the information of the processed timber and/or timber products received in the processed timber recordkeeping and timber product recordkeeping.
- The permit holder sells processed timber and/or timber products as well as issue the movement document and invoice.
- Transportation of processed timber and/or timber products by the transporter.
- The permit holder records information about timber and/or timber products sold in the processed timber recordkeeping and timber product recordkeeping.
- The permit holder prepares the statistic record.
- The permit holder submits the processed timber recordkeeping, timber product recordkeeping book and the statistics record to the RFD or PONRE officer for checking.

**(b) Procedures**

- *[The permit holder verifies all evidence submitted with the timber shipment in order to prevent the introduction of illegal timber into the supply chain. Evidence to be verified includes the legal source of the timber, as declared by the land owner in the self-declaration; legal ownership of the timber, if different from the original owner of the trees; and legal transportation of logs and/or processed timber, if the timber is not accompanied by a self-declaration. Beyond the established minimum*

*requirements, mill permit holders shall require timber sellers to provide sufficient evidence to mitigate any identified risks.]*

- The permit holder verifies the evidence of transportation or acquisition of processed timber and/or timber product brought into the trading facility.
- The permit holder records information about processed timber and/or timber products along with the evidence of acquisition in the processed timber recordkeeping and/or the timber products recordkeeping. This is done to control the acquisition and distribution from those of processed timber and timber products
- When the permit holder sells processed timber and/or timber products, the permit holder issues the movement document and/or requests for the RFD transportation permit for the transporter. The process is the same conditions, methods and procedure described in CCP 4 above and records the distribution in the processed timber recordkeeping and/or timber products recordkeeping as appropriated.
- The transporter transports processed timber and/or timber products to the destination specified in the movement document/the RFD transportation permit.
- The permit holder prepares the statistic record in order to control information on timber and/or timber products received, sold and in stock processed.
- The permit holder must submit the processed timber recordkeeping, the timber product recordkeeping and the statistic record to the RFD or PONRE annually when renewing the license.

(c) Data reconciliation/consistency check

- The permit holder checks the processed timber recordkeeping and/or the timber products recordkeeping comparing it to the evidence of acquisition and the statistic record.
- The statistic record is used to check incoming and distributing of the trading facility.
- The permit holder checks the processed timber recordkeeping and/or the timber products recordkeeping, comparing the incoming, distributing and in stock processed timber and/or timber products with the movement document and invoices.

**CCP 5 Type 2: shops of timber products that does not require a permit under the Forest Act**

In case of the selling of timber products which are not timber products made of restricted species, the supply chain control is not subject to the law. However, in practice the trader issues the invoice and the packing list in order to be used for controlling the supply chain.

(a) Main activities

- The trader verifies the evidence of transportation or acquisition of timber products.
- The trader records information about timber products received into the accounting book of incoming-outgoing timber products.
- The trader sells the timber products.
- The trader prepares the invoice together with the packing list and the delivery note.
- The trader prepares an account on summary of sales by the trader.
- Timber products is transported by the transporter.

(b) Procedures

- The trader verifies the evidence of transportation, or acquisition of the timber products brought into trading facility.
- The trader records the information of about timber products received into the accounting book of incoming-outgoing timber products in order to control incoming timber products and the subsequent distributing of the timber products.
- When the trader sells the timber products, the trader prepares the invoice together with the packing list and the delivery note identifying names of seller and buyer, packing list, location of starting place and destination of transportation and transporter.
- The trader prepares an account on summary of sales to control information about timber products received, sold and in stock.
- The transporter transports the timber products. The invoice together with the packing list and the delivery note demonstrate the flow of timber products from the seller to the buyer or will be used for export purposes depending on the case.

(c) Data reconciliation/consistency check

- The trader checks information in the accounting book of incoming-outgoing timber products compared to the evidence of acquisition and the account on summary of sales.
- The account on summary of sales is used for checking received, sold and in stock the timber products.
- The trader checks the accounting book of incoming-outgoing timber products compared to the timber products received, sold and in stock the and the invoices.

**CCP 5 Type 3: Pre-export**

The export of timber requires an Export Permit issued by the Department of Foreign Trade (DFT). The DFT shall grant permission for 3 cases including: (i) the export of rubber wood that the export permit will be issued for unlimited quantity, (ii) the export of pine wood, or (iii) the export of timber derived from any plantation (both registered and non-registered plantation).

For the cases (ii) and (iii) the export permit will be issued by the DFT for quantity that stated in the Letter of Verification for Export of Timber issued by the RFD. Therefore, this indicates that the issuance of Letter of Verification for Export of Timber is not a mandatory measure under the Forest Act, but, under the Export and Import of Goods Act, the Letter of Verification for Export of Timber shall be first issued before issuance the export permit.

*(1) Issuance of Letter of Verification for Export of Timber* applying to export of pine wood or timber derived from any plantation (both registered and non-registered plantation)

(a) Main activities

- The timber owner submits a request to the RFD for issuing timber certificate.
- The RFD officer verifies the submitted documents and the request; the officer then inspect the timber.
- RFD issues the Letter of Verification for Export of Timber.

(a) Procedures

- The timber owner submits a request for the timber certificate to the RFD together with the associated evidence such as the purchase order, photos of timber and documents that

demonstrate a land ownership or possession right of public land, or the documents that demonstrate the acquisition of timber.

- The RFD officer verifies the submitted documents. Then, the officer randomly checks no less than 2 percent of the timber by checking species, type and quantity whether they are consistent with the documents declared and the officer makes a report on the result of inspection.

In case the timber from private land, the RFD officer shall inspect the timber in the field at the location of timber source before the timber will be moved from the land where timber sourced. The RFD officer shall verify the evidence relating to the land, location, GPS coordinates of plantation and prepare the timber inventory of harvested timber and of timber to be exported as well as take photos a cross section of stump and of each log. The results of inspection will be recorded in the report.

- The RFD issues a *Letter of Verification for Export of Timber* to the timber owner.

(c) Data reconciliation/consistency check

- The RFD officer checks the consistency between the details in the document submitted and timber prior to issuing Letter of Verification for Export of Timber

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(2) *Issuance of Export Permit* applying to export of pine wood or timber derived from any plantation (both registered and non-registered plantation) and rubber wood.

(a) Main activities

- The exporter submits a request together with the Letter of Verification for Export of Timber (for pine wood and timber from plantation) to the DFT for issuing an Export Permit.
- The DFT officer verifies the submitted documents and the application.
- DFT issues an Export Permit.

(a) Procedures

- The exporter submits the request for an export permit to the DFT together with a copy of invoice or quotation of timber, or any evidence of trading showing the trading detail. For the export of pine wood or timber derived from plantation, the Letter of Verification for Export of Timber issued by the RFD is also required.
- The DFT officer verifies the submitted documents and checks whether the timber details requested for export is consistent with that stated in the submitted evidence. In case of the export of pine wood or timber derived from plantation, the officer will check whether the quantity of the timber requested for export is consistent with that stated in the Letter of Verification for Export of Timber issued by the RFD.
- The DFT issues an Export Permit.

(c) Data reconciliation/consistency check

- The DFT checks the consistency between the details of timber to be exported and the details stated in the evidence submitted in the request for the Export Permit.

**CCP 5 Type 4: Export**

(1) Issuance of FLEGT License



(a) Main activities

- The applicant exporting timber to the European Union submits the application for FLEGT licensing to the Forestry Foreign Affairs Office (FFAO). Then, the FFAO forwards a copy of application to the Forest Certification Division (FCD).
- The FCD assesses whether the application complies with the Legality Definition and Supply Chain Control requirements and informs the result to the FFAO.

The FFAO issues the FLEGT License to the applicant. (b) Procedures

- The applicant exporting timber to the European Union submits the application for FLEGT licensing to the FFAO at the Local Bureau of Forestry Resources Management (LBFRM) for outside Bangkok, or at the RFD if within Bangkok, for each export shipment. Upon receipt, the application is registered by the FFAO.
- The FFAO forwards a copy of the application for FLEGT licensing to the FCD, requesting a compliance assessment. Upon receipt of request, the Verification Institution assesses whether the application complies with the Legality Definition and Supply Chain Control requirements and the FCD then inform the FFAO of the results of the assessment.
- In cases where the application is assessed to be compliant with THA-TLAS requirements, the FFAO shall issue the FLEGT license for the shipment. If the result of the assessment specifies that the requirements have not been satisfied; the FFAO shall reject the application for FLEGT licensing with identifying all areas of non-compliance and instruction on the necessary remedial action in writing. If the applicant can take the necessary remedial action within the specified period, the applicant may submit a new application for FLEGT licensing for the same export shipment.

(c) Data reconciliation/consistency check

- The FCD checks the consistency between the information of timber or timber products, that will be exported, and the dataset of such timber systematically collected by the process of THA-TLAS.

*(2) Customs clearance*

(a) Main activities

- The exporter prepares an export entry declaration exporter and submits it to the Thai Customs Department.
- The RFD officer inspects the timber to be exported.
- The Thai Customs Department approves the export entry declaration for the customs release of goods.

(b) Procedures

- The exporter must completely comply with export customs clearance as specified in the laws including submitting CITES permit, export permit, Letter of Verification for export timber and/or any documents as required by law and must have FLEGT license for checking and approving the customs release of goods.
- The Thai Customs officer coordinates with the RFD officer to inspect the timber to be exported.
- The Thai Customs officer releases the goods out of the customs custody.

(c) Data reconciliation/consistency check

- The Thai Customs Department checks information in the export entry declaration compared with the goods that will be exported.

## 6. Data management

The timber and timber product supply chain is overseen by the RFD, which checks the validity of documentation and the consistency of recorded timber volumes between CCPs, in order to verify that all timber and timber products are legally produced. Results of verification by the RFD are recorded and stored for the purpose of statistical analysis, for secondary verification by the Verification Institution (VI), and for forensic audits.

### 6.1 Persons who are responsible for recording and reporting the data

#### (1) Operators

Operators must demonstrate they have satisfied all legal requirements in order to ensure that only legal timber enters the supply chain. They must report the documentary evidence as specified in section 6.2 below (unless invoice and packing list, and the self-declaration document attaching with documents for transporting timber from private land) to the RFD and PONRE as described in this Annex. The operator must maintain such records for the period specified by laws for each document, but not be less than 2 years.

#### (2) Government agencies

Relevant government agencies, such as the RFD or the PONRE, have the legal obligation and authority to verify timber legality at each stage of the supply chain, and to record all relevant information and documentation. This includes:

- receiving and storing documents submitted by operators,
- physical verification on a regular, random or ad-hoc basis,
- The collection of data for purposes of reconciliation of timber volumes between CCPs,
- verifying and certifying data in recordkeeping books of mills/trading places,
- verifying recordkeeping books on a regular, random or ad-hoc basis.

### 6.2 Data Collection and Management

Data collection at each CCP is done using a paper-based system with standard forms designed by the RFD (except invoice and packing list). The RFD and/or PONRE shall collect and maintain all relevant information and documentation at their local and central offices.

- *RFD transportation permit*, the authorities must issue 2 copies: the original one is delivered to a transporter and one duplicate kept by the RFD or PONRE.
- *Sor.Por. 15*, the plantation entrepreneurs must issue 3 copies: the original one is delivered to a transporter, one duplicate is kept by the plantation entrepreneurs, and another duplicate will be collected to submit to the RFD or PONRE monthly.
- *Recordkeeping books*, the processing mill/trading facility permit holders must prepare and kept it at the establishment for declaring to the authorities to verify and certify the data. The verification will be performed annually upon renewal of a processing mill/trading facility permit, random, or ad-hoc in the event of suspicion.
- *Movement document of processed timber*, the processing mill/trading facility permit holders must issue 3 copies: the original one is delivered to a transporter, one duplicate is kept by the permit holders, and another duplicate will be collected to submit to the RFD or PONRE monthly.

- *Movement document of rubber and other 13 species, of processed timber made from private land, and of timber product made from restricted species*, the processing mill permit holders must issue 2 copies: the original one is delivered to a transporter, and the duplicate is kept by the permit holders.
- *Invoice and packing list*, the seller issue 2 copies: the original one is delivered to a buyer, and the duplicate is kept by the sellers.
- *Self-Declaration document* - A timber owner must prepare 2 copies: the original is delivered to the buyer, while the duplicate is kept by the timber owner. A timber owner also completes a form for timber transportation to transport timber from private land, unless it has been purchased by a trader or processing mill, in which case the trader or processing mill completes a form for timber transportation.

### 6.3 Data analysis

Data analysis is carried out by the relevant government agencies for the purpose of monitoring the sector, and ensuring that all legal requirements have been satisfied by checking consistency of volumes between CCPs. Data analysis is performed at different stages of the supply chain on a periodic, random or ad-hoc basis.

The objective of data analysis is to reconcile the following data:

- Quantitative data between the different stages of the supply chain
- Quantitative data between timber growers, agents, processing mills and traders
- Quantitative data relating to input-output flows in processing mills
- Quantitative data between distributors and buyers

### 6.4 Decision-makers informed relating to the FLEGT licensing

The system of data collection and management shall be used by the VI and FLEGT Licensing Authority (LA) to ensure that all timber for which an application for a FLEGT license has been submitted is legal. Both the VI and LA are able to access the information collected, and analysis conducted, in the course of their duties. Where the information is not available electronically, the VI and LA may request that the RFD and PONRE provide the necessary information in physical or electronic form. Upon such a request, the RFD and PONRE shall provide all necessary information as soon as they are able.

The concept of digital data management is illustrated in the table 2 below.

Table on concept of digital data management

Stages	Data inputs	Digital platform	Data analysis
CCP1: Harvested timber			1. Applicable platforms have to be developed as the same standard (same protocol) so that the data inputs from different platforms can be communicated and understood by each other. 2. The RFID should provide a central database to store data from various platforms for data reconciliation. 3. Algorithm for data analysis should be designed by the RFID, it will be applied by the verification institution. 4. The results of the data analysis should be able to access by the verification institution and the FLEGT licensing authority.
Pre-harvesting	<u>By each tree</u> - Date - Time - Tree ID number - GPS coordinate of tree - Species - Circumference (cm.) - Length (cm.)  <u>By volume/weight</u> - Date - Time - Plantation ID number - GPS coordinate of plantation - Species - Plantation dimension and Tree spacing	<u>RSW</u> (1) Plantation Registration System (2) Timber Verification System (3) e-Tree system  <u>Other platforms employed by operators</u> For harvesting that is not subject to forestry legislation.	
Harvesting	<u>By each log</u> - Date - Time - Log ID number - Species - Circumference (cm.) - Length (cm.) - Amount (unit)  <u>By volume/weight</u> - Date - Time - Pile/bunch ID number - Species - Volume (m <sup>3</sup> )/weight (kg.) - Amount of pile/bunch		
Post-harvesting	<u>By each log</u> - Date - Time - Log ID number - Species - Circumference (cm.) - Length (cm.) - Amount (unit)  <u>By volume/weight</u>		

Stages	Data inputs	Digital platform	Data analysis
	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Pile/bunch ID number</li> <li>- Species</li> <li>- Volume (m<sup>3</sup>)/weight (kg.)</li> <li>- Amount of pile/bunch</li> </ul>		
<b>CCP1:</b> Reclaimed wood	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Pile/bunch ID Number</li> <li>- Species</li> <li>- Volume (m<sup>3</sup>)/weight (kg.)</li> <li>- Amount of pile/bunch</li> </ul>	<u>Other platforms employed by operators</u> (This is under the discussion)	
<b>CCP1:</b> Imported timber	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Due diligence form no.</li> <li>- HS code</li> <li>- Species</li> <li>- Volume (m<sup>3</sup>)/weight (kg.)</li> <li>- Amount (Unit)</li> </ul>	<u>National single window (NSW)</u> Import timber system	
<b>CCP2:</b> Transportation of harvested timber	<u>By each log</u> <ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Log ID number</li> <li>- Species</li> <li>- Circumference (cm.)</li> <li>- Length (cm.)</li> <li>- Amount (unit)</li> </ul> <u>By volume/weight</u> <ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Pile/bunch ID number</li> <li>- Species</li> <li>- Volume (m<sup>3</sup>)/weight (kg.)</li> <li>- Amount of pile/bunch</li> </ul>	<u>RSW</u> Forest Checking Point System  <u>Other platforms employed by operators</u> For harvesting that is not subject to forestry legislation.	
<b>CCP2:</b> Transportation of reclaimed wood	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Pile/bunch ID Number</li> <li>- Species</li> <li>- Volume (m<sup>3</sup>)/weight (kg.)</li> <li>- Amount of pile/bunch</li> </ul>	<u>Other platforms employed by operators</u> (This is under the discussion)	
<b>CCP2:</b> Transportation of imported timber	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Species</li> <li>- Volume (m<sup>3</sup>)/weight (kg.)</li> <li>- Amount (Unit)</li> </ul>	<u>RSW</u> Forest Checking Point System	

Stages	Data inputs	Digital platform	Data analysis
<b>CCP3: Processing mill</b>			
Timber obtaining to the mill	<p><u>By each log</u></p> <ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Log ID number</li> <li>- Species</li> <li>- Circumference (cm.)</li> <li>- Length (cm.)</li> <li>- Amount (unit)</li> </ul> <p><u>By volume/weight</u></p> <ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Pile/bunch ID number</li> <li>- Species</li> <li>- Volume (m<sup>3</sup>)/weight (kg.)</li> <li>- Amount of pile/bunch</li> </ul>	<p><u>RSW</u> Processing mill Permission System</p> <p><u>Other platforms employed by operators</u> For harvesting that is not subject to forestry legislation.</p>	
Processing timber	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Input volume (m<sup>3</sup>)</li> <li>- Output volume (m<sup>3</sup>)</li> <li>- Species</li> </ul>		
Processed timber or timber products derived from the processing line	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Volume (m<sup>3</sup>)</li> <li>- Species</li> </ul>		
<b>CCP4: Transportation</b>	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Volume (m<sup>3</sup>)</li> <li>- Species</li> </ul>	<p><u>RSW</u> Forest Checking Point System</p> <p><u>Other platforms employed by operators</u> For harvesting that is not subject to forestry legislation.</p>	
<b>CCP5: Trade and export</b>	<ul style="list-style-type: none"> <li>- Date</li> <li>- Time</li> <li>- Volume (m<sup>3</sup>)</li> <li>- Species</li> </ul>	<p><u>National single window (NSW)</u> Export Permission of Timber and Timber Products System</p> <p><u>RSW</u> Timber Verification System</p> <p><u>Other platforms employed by operators</u></p>	

Stages	Data inputs	Digital platform	Data analysis
		For harvesting that is not subject to forestry legislation.	

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