

DEVELOPMENT AND
IMPLEMENTATION OF
CRITERIA AND INDICATORS
FOR SUSTAINABLE
MANAGEMENT OF PLANED
FOREST AND COMMUNITY
FOREST

ITTO Project: PD 470/07 Rev. 1 (F)
Host Government THE GOVERNMENT
OF THAILAND
Executing Agency THE ROYAL FOREST
DEPARTMENT OF THAILAND
Royal Forest Department Bangkok
May 2019

*Completion
Report*

September 2017-
April 2019





COMPLETION REPORT

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Host Government

THE GOVERNMENT OF THAILAND

Executing Agency

THE ROYAL FOREST DEPARTMENT OF THAILAND

Starting Date: 1 January 2015

Royal Forest Department, Bangkok
May 2019

Project Management Unit

Project Director:	Deputy Director-General of RFD
Project Deputy Director:	Mr. Sapol Boonsermsuk, Director of International Forestry Cooperation Office, RFD
Project Coordinator:	Dr. Preecha Ongprasert, Director of International Convention and Commitment Division, RFD
Project Coordinator Assistant.	Mr. Montri Inteasaen, Forest Technical Officer
Project Co. Assistant/Financial Office:	Mrs. Rabieb Srigongpan, Forestry Technical Officer
Project Manager:	Ms. Somying Soontornwong

Executing Agency:

International Convention and Commitment Division
Royal Forest Department (RFD)
Ministry of Natural Resource and Environment (MONRE)

Addresses:

International Forestry Cooperation Office
Royal Forest Department
61 Paholyothin Road, Ladyao, Chatuchak, Bangkok 10900, Thailand
Tel. +66-2561-4192-3 ext. 5034
Fax +66-2561-3109

Project Budget (USD)

Approved Revised Budget (From October 2015 to December 2018)

Total Budget: USD 196,622.14 (ITTO, ITTO program support, RFD)

ITTO Budget: **USD 149,003.14** (For project activity implementation)

ITTO Program Support: USD 16,119 (For ITTO and M&E)

RFD: USD 31,500. (In kind)

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List of Abbreviations

AB	Accreditation Body
CB	Certification Body
CF	Community Forest
C&I	Criteria and Indication
CoC	Chain of Custody
DMCR	Department of Marine and Coastal Resources
DNP	Department of National Park, Wildlife and Plant Conservation
FC	Forest Certification
FIO	Forest Industry Organization
FM	Forest Management
FSC	Forest Stewardship Council
ITTO	International Tropical Timber Organization
JAFTA	Japan Forest Technology Association
JIA	Japan Gas Appliances Inspection Association
MAFF	Ministry of Agriculture Forestry and Fisheries, Japan
MONRE	Ministry of Natural Resources and Environment
NGO	Non -Governmental Organization
NRC	The National Bureau of Agricultural Commodity and Food Standards
NSI	National Standard Institute
NWG	National Working group
PEFC	Program for the Endorsed of Forest Certification
PM	Project Manager
PSC	Project Steering Committee
RECOFTC	Regional Community Forest Training Center
RFD	Royal Forest Department
SB	Standardization Body
SCG	Siam Cement Group
SGEC	Sustainable Green Ecosystem Council, Japan
SFM	Sustainable Forest Management
Sub-NWG	Sub-National Working Group
TEI	Thailand Environmental Institute
TISI	The Thai Industrial Standards Institute
VPAs	Voluntary partnership agreements
WWF	Thailand Wildlife Fund



1.

Description of the Project Implementation in September 2017-April 2019

1.1 Forest Situation in Thailand

Thailand National Forest Policy sets target for 40% forest covers with 25% for conservation forest and 15% for economic forest. From current record, the total forest cover of Thailand is 31.68% (RFD, 2018) or about 16.4 million ha, which means there is a need to increase forest area around 4.3 million ha. to reach the target. Since the country logging ban in 1989, the government has implemented measures to protect the remaining natural forests and promote more plantations. Forest plantation has grew through smallholders, state enterprises and some corporations, however the Forest Act B.E.2484 (1941) and the Forest Plantation Act B.E.2535 (1992) had put restrictions on a number of valuable trees made it difficult especially for smallholders to increase forest plantations during the past decades. Under the 20 Year National Strategic Plan, the current government recognized increasing demands on timbers and wood products in the domestic and international markets. Consequently, one of the forest management strategies has geared towards the promotion to increase economic forests, especially on privately owned lands. The government promotes plantation of fast growing trees as well as slow growing high value tree species. Recently, article 7 under Forest Act B.E.2484 (1941) has been amended to allow tree growers on private lands with secured land titles to be able to grow and harvest trees for commercial purposes without getting officer's authorizations. The law amendment aimed to facilitate forest plantations and timber productions to serve the growing demand which were estimated to be 48 million tons in 2005 and projected to be up to 100 million tons in 2026.

Community Forest on the other hand, has been in the debates and policy dialogues for several decades between government, civil society and community-based organizations. As responsible agency, the Royal Forest Department (RFD) has piloted community forests and envisioned a long-term planning and supports through Community Forest Management Bureau. The approach is recognized as a tool to achieve sustainable forest management, encourage community cooperation and participation of local communities. Rural populations in various part of the country have gained benefit from community forest management by collecting non-timber forest products for their own consumptions and additional income. There are different models of community forests emerged in Thailand and seen as strong process to

strengthen community capacity in sustainable natural resource management, maintaining cultural relationships and traditional knowledge between people and nature, food security as well as improving local livelihoods. Currently, around 14,000 community forests have been established in Thailand covering an area of 1.4 million ha. (NLA, 2018). The Community Forest Act has been passed and published in the Royal Gazette in late May 2019. It is expecting to contribute to the expansion of CF areas and strengthen of CF management organizations, the government plans to establish up to 21,000 community forests covering 3 million ha. in 2020.

The development of criteria and indicators for sustainable management of planted forests and community forests are crucial to ensure these areas are managed in a sustainable manner and follow national and international standards. The process of C&I and CoC development and implementation should also create greater opportunities for plantation owners and community forest managers to access and benefit from ongoing markets to improve and sustain their livelihoods.

1.2 The Project Background and Situation:

The proposal for the ITTO Project 470/04 Rev.1 (F), "Development and implementation of criteria and Indicators of sustainable management of planted forests and community forests", was approved by The International Tropical Timber Council in its Forty-third Session conducted from 5-10 November 2007 Yokohama, Japan, with ITTO Budget: \$209,574.00 for 24 Months. The duration of the project was 2 years (24 months) the project agreement was signed on 9 March 2011.

The development objective of the project is to improve availability of timber and NTFPs for sustainable and legal sources, its specific objective is to establish the comprehensive system of C&I for SFM. The outputs of the project are 1) National C&I and standards of performance for SFM developed, tested and adopted, 2) National tracking/CoC system developed, tested and adopted, 3) Auditing system for C&I/standards of performance and CoC/timber tracking developed, tested and adopted, and 4) Adequate personnel trained on auditing of C&I/standards of performance and CoC.

There was a long delay in implementing the planned activities after the project started the first few months, due to flooding, the political situation in Thailand and reshuffle of officers in RFD, and later conflicts and difficulties to process documents and all formalities and activities implementation. The responsible parties were unable to continue the activities. The RFD agreed to request for project extension with reduction of the project budget from ITTO with clear project revision of the plan and activities.

This Yearly Plan of Operation was prepared as required by the Project Agreement of the International Tropical Timber Organization (ITTO) Project PPD 470/07 Rev. 1 (F), "Development and Implementation of Criteria and Indicators of Sustainable Management of Planted Forests and Community Forests". The development objective, specific objectives, and outputs are the same as the initial project document. Activities

and period of implementation had been revised as advised by ITTO. The duration of the project is 10 months, with estimated starting date of February 2017. At that time, RFD had decided to work out on the project implementation for achieving the project objectives. Under the government system, the RFD Director General (DG) approved to change the project implementation unit from Forest Research and Development Office to International Forestry Cooperation Division. Moreover, in February 2017 the DG had appointed the Project Steering Committee (PSC), Project Management Team (Under the International Forestry Cooperation Division), National Working Group (NWG) and Sub-Working Group.

As mentioned on the first progress report document during the project starting until September 2017, activities and sub-activities were executed and some were behind the schedule, the progress of the project was slow due to unexpected situation and the internal reshuffle of the RFD plus the political turmoil, caused to the slow progress of project implementation. Thus, Executing Agency requested an extension from ITTO to fully implement the project activities including necessary amendments to implement the project from 1 January 2015 to 31 December 2016. The 2nd implementation Workplan of February – November 2017 was approved by ITTO for restarting the project implementation with project budget USD 155,991- from ITTO and RFD. The 3rd project activities and budget plan was revised for January 2018 to April 2019, the ITTO total budget transferred to the project = 149,003.14 USD for project implementation.

In the year 2017, after the RFD Executing Agency had been revised and the 2nd Implementation Workplan had been approved, the project started to implement again by focusing on establishment of project mechanism such as project organization, project management unit, national working group and recruiting project manager and project consultants. In the last three months of 2017, the project implementation had been stopped and some activities had to be postponed according the project manager resign and the project management unit was so busy and had overload of work on the roles and duties. However, some activities with related to project management and project mechanism were implemented under the uncertain situation.

January 2018, the Executing Agency and the Project Operation Unit recruited the new project manager to continue the project implementation for achieving the project development objective as the project commitment with ITTO and stakeholders. Some urgent activities and management work had to be readjusted and to be done during the first three months of 2018, but delayed according to system and busy work of the officers. The project had time limits thus the project team tried hard to implement and asked for supports from the PSC and project implementation unit. The project activities had started and implemented under the RFD system since January 2018 to December 2018.

After the Progress Report (September 2017 –August 2018) and Financial Report (December 2018), found out that some activities still behind the schedule and some important activities should be practiced, thus the project team proposed to extent the project implementation without budget increasing, in order to achieve the project objectives in next four months from January to April 2019.

During March –December 2018, the project had focused and worked on C&I and CoC development, many workshops, many meetings with NWGs, sub-working groups and stakeholders always organized, the C&I and CoC had been developed step by step. In each meeting, the consultants would receive more suggestions and comments for the development report. From report draft 0-2 consumed a year for final draft and the C&I and CoC implementing guideline. Draft C&I and CoC were adopted with some comments by the Project Steering Committee (PSC) in Oct 2018. During November to December 2018, the consultants and Project Manager had worked the final draft report and C&I and CoC training designed and organized the first training on 11-14 December 2018.

According to some activities had to be continued and some activities had to be added in the workplan, thus the project team agreed to request project extension in order to ensure the project can achieve the project objectives. The modification of budget and activities plan was proposed to PSC for approval and submission to ITTO. ITTO approved the 4 months project extension without budget increasing. The output 5 with focus on synthesizing the C&I and CoC development results and lessons learned from the project implementation. While expanding C&I and CoC to related stakeholders and public for increasing understanding and practice. The project had developed simple media on C&I and CoC and VDO on Women in Sustainable Forest Management (SFM) for education and advocacy to related community forest and planted forest owners, such as Info Graphics on Introduction on SFM, C&I and CoC. The C&I and CoC guideline book was produced and disseminated to related stakeholders. These media can be used for training, discussion and practicing.

While the project implementation was completed, only one output is not completed but the key persons of the project still work on processing to propose C&I and CoC to the RFD for endorsement them as an internal auditing system in the Royal Forest Department.

1.3. The Project Evidence Timeline in January 2017 –April 2019

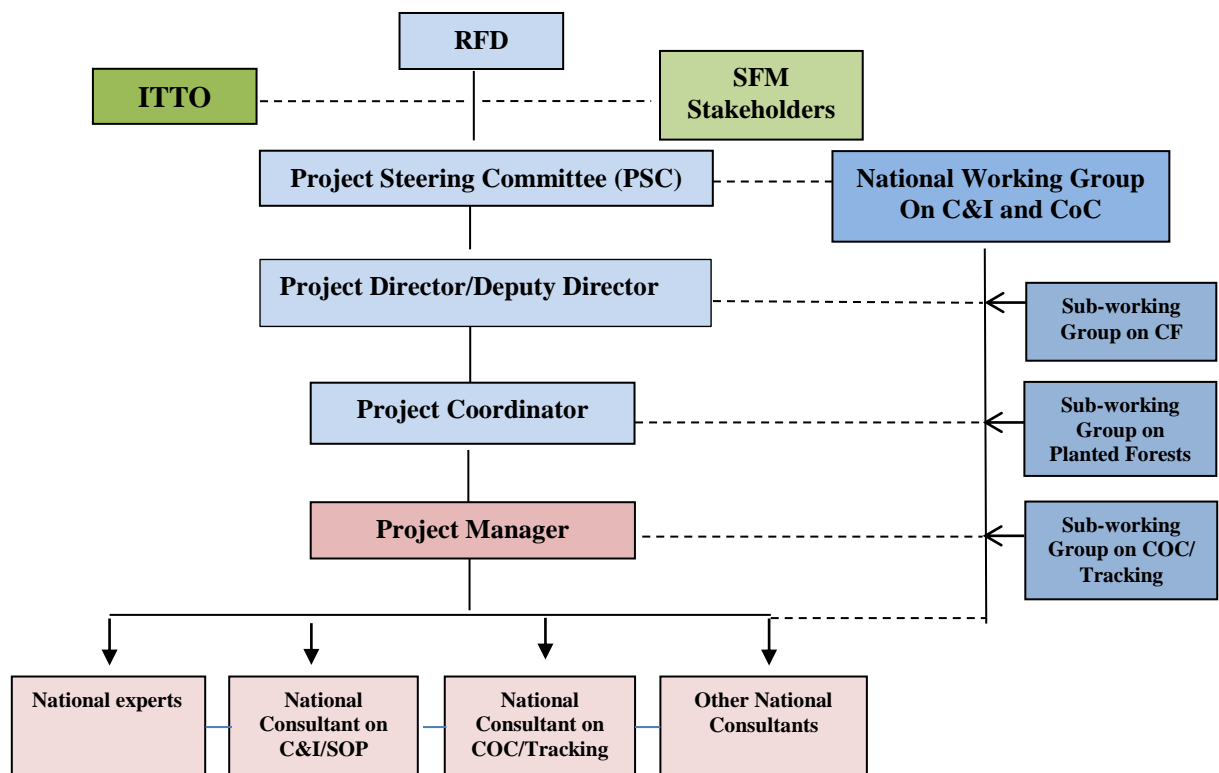
In order to make clear picture on the project time frame and evidence of the project implementation since the project agreement signed to April 2019 as follow:

Date/Month /year	Activities	Remarks
Before 2011	Project development between ITTO and RFD	By international consultant
March 2011	The project agreement between ITTO and RFD was signed 1 st project report from 1 January -30 October 2015	
15 December 2014	2 nd PSC meeting	
27 March 2015	1 st project technical committee meeting 1 st project extension from 1 January 2015 to December 2016	
11 November 2015	1 st installment (2,041,328.7 Baht) 2 nd project extension	65,000 USD
18 July 2017	Appointment of project staff and the Project Operation Team were finalized and signed by Director General of RFD.	
18 July 2017	The Royal Forest Department (RFD) has established and appointed Project Steering Committee (PSC), National C&I Committee. National Working Group (NWG) and Sub-groups (SG) on community forests and plantations Recruitment of consultants was discussed and selection committee selected two consultants on C&I and COC from Faculty of Forestry, Kasetsart University. The workshops for stakeholders to review draft system description were under preparation The Project Management Unit organized the 1 st Meeting of the Project Technical Committee to discuss the progress of the project and to recommend on the implementation.	
18 July 2017	The DG appointed project working group, PSC and other 3 WG on C&I within CF and planted forest, and CoC	
July –October 2017	Mr. Chamras the PM on board and resigned	
January 2018	Ms. Somying the PM on board (the 3 rd)	
12 March 2018	1 st /2018 PSC meeting and approved Project Activity plan and budget revised.	

16 November 2018	2 nd revision of budget and activities	
18 November 2018	2 nd progress report from September 2017-August 2018	
26 November 2018	2 nd Installment (the 2 nd and 3 rd)	84.003.14 USD
21 December 2018	PSC meeting and approved for The 3 rd Project Extension from January to April 2019	
11 January 2019	1 st Submission financial report January 2019-December 2019	January 2018 - December 2018
17-21 March 2019	10 RFD delegation group travelled to Japan for C&I and CoC study	
26 April 2019	Official project closing	
May –June 2019	Completion Report and Financial Report Submission	

1.4 Project Organization, Coordination and Institutional Relations

The project Implementation Unit or Operation Unit under management of International Forestry Cooperation Division under supervision by the Project Steering Committee (PSC) during January 2018 to April 2019 as the project organization as follow as:



1.4.1 Project personnel, partners and support-organizations

1) Project personnel

The appointment of the new project main staff had appointed by the DG on the 18 July 2018 (No.1669/2560), it is noted that some project staffs are actually working in normal positions and assigned to assist with the project as additional work. The Royal Forest Department also assigned the following:

- The Project Steering Committee (PSC) (See the Annex 1)
- National Working Group (See the Annex 1)
- Sub-working Group (See the Annex 1)
- The Project Administration and Coordination Unit (See the Annex 1)
- Project Manager (appointed PSC)

As mentioned on additional work and work load of RFD staffs, thus in practice they did not have much time to contribute to the project

2) Partners and Support-organization

Partner: none

Support-Organizations:

The Royal Forest Department will collaborate with Department of National Park, Plants and Wildlife Conservation (DNP), Department of Marine and Coastal Resources (DMCR) and Forest Industrial Organization (FIO).

3) Involved organizations, stakeholders, communities:

The Ministry of Natural Resources and Environment (MONRE) of Thailand is responsible for the implementation of the project. Within the Ministry, the Executing Agency is the Royal Forest Department (RFD).

The following government agencies will participate as collaborating agencies: Department of National Park, Wildlife and Plant Conservation (DNP), Department of Marine and Coastal Resources (DMCR), Forest Industry Organization (FIO), and National Standard Institute (NSI).

Other stakeholders participate in the Project Steering Committee (PSC), National Working Group and Subgroups working on community forests, planted forests and COC/tracking system and auditing. They include:

- Private sector: Thailand Furniture Association, Forest Plantation Owner Cooperative, Siam Cement Group (SCG),
- NGOs: Thailand Environmental Institute (TEI), NGO-CORD, RECOFTC, WWF (Thailand), Thailand Wildlife Fund, Sustainable Habitat Foundation
- Other civil society: Forestry Alumni Association

- Academic institutions: the Forestry Faculty of the Kasetsart University

4) *Consultants:*

The RFD has signed contracts with Faculty of Forestry, Kasetsart University in Bangkok, Thailand, to recruit 2 consultants on C&I and COC, as stated in the research on C&I and CoC document and worked closely with NWG and Sub-Working Group. The recruitment process took long time for finalizing and contracting, both consultants had started their work in January 2018 after postponed for months.

2.

Project Achievement of Outputs and Activities

As the evidences shown during the project implementation since the project agreement was signed on the 11 March 2011 till the end year of 2017, the project implementation was less progressive in project operation according to internal RFD conditions and unstable nation political situation. RFD and ITTO discussed and agreed to restart the project by down size project activities and budget. During the second half year 2017, the Project Manager was appointed and on boarded for 3-4 months and PM resigned. The revised project was re-discussed and aimed to re project implementation. RFD and ITTO appointed new Project Manager and on boarded January 2018 to manage and implement the project activities for reaching the project objectives. The PSC and National Working Groups were appointed and agreed on some adjustment in project activities and project budget modification.

2.1 Outputs and Activities Achievement (Duration September 2017-April 2019)

As mentioned earlier, the project ITTO Project PD 470/07 Rev. 1(F) did not implement time to time during the year 2011-16 and also delay of the project implementation since January 2015 and re-started again in the year 2017. According of the Manager resigned, the project again suspended and delayed till to January 2018. The new Project Manager started working in January 2018 thus most of activities has delayed and re-implemented since January 2018 to December 2018 and extended the project implementation till to April 2019. Progress of the outputs related to the activities which have re-started in the process of the project implementation as follow:

The project Objective: Comprehensive system of Certification and Identification (C&I) for SFM established

Output 1: National C&I and standards of performance for SFM developed.

According to discussion of PSC and national consultants agreed to withdraw the National C&I Committee (NCIC) from the project strategy because of time limited and RFD situation, it's too ambitious to develop the NCIC in a year. Thus in the project modification some activities were skipped and withdraw such as A1.1 changed from NCIC to PSC, A1.8.2, A3.4 and A 4.3.2

Activity 1.1 Establishment of Project Steering Committee as C&I Committee:

According to the delay of the project implementation for almost four years, RFD had re-started the project again since June 2017. Thus RFD had not establish National C&I Committee because the new agreement between RFD and ITTO agreed that the project

has only one year for implementation and the project will be ended in December 2018. The PSC meeting on the 2nd May 2018, the PSC chair and members agreed that the activity 1.1, the project will not establish the National C&I Committee and canceled some sub-activities as the project activity revision with approval by ITTO.

1.1.1 Assign Project Staff:

The DG of RFD had declared on appointment the team of RFD officers to manage the project and monitor the project implementation, the appointment effected on the 18 July 2017.(See ANNEX 1)

1.1.2 Assign PSC/PTC and strengthening:

On the 18Th July 2017, the DG of RFD assigned the Project Steering Committee (PSC) to audit and monitor the project implementation. (See ANNEX 1)

1.1.3 Recruit Consultant, Project Manager, Auditor:

The project managing team and PSC started the process of the recruitment. National Consultants were recruited and appointed in the end of 2015 and modified ToR and contract extension in the year 2018 and the new Project manager (PM) was appointed and started working in January 2018 to May 2019. The Auditor would be appointed in the end of the project (May) 2019.

Activity1.2 Establishment of National Working Group (NWG) and Sub-groups (SG) on community forests and plantations

The DG of RFD appointed National Working Group (NWG) and Sub-group (SG) on the 18 July 2017. The NWGs is included 3 Sub groups (SGs) are WG of Development of C&I on Planted Forest, WG of Development of C&I on Community Forest and the WG of development on CoC. The WNGs is working with National Consultants on three parts of C&I and CoC. Most of NWG members are representatives from offices of RFD and some from outside RFD. According to work load of RFD officers, during the project implementation, some of them cloud not involve the WG consultation workshops. Please see list NWG members (See the Annex 1)

1.2.1 Assign NWG for the approval of the NCIC:

The PSC and project team agreed to withdraw the NCIC from the work plan and project output according to the implementation appraisal, it would consume more time to process and work out thus in 12 months would not be able to organize because of time limited.

Activity1.3 Elaboration of the first draft of C&I/SOP for planted forests and community forests

The National Consultants have worked on the data collection and made draft report 0 and proposed to the NWG since March but according to time limited and most of them were busy on their own duty. The discussion between National Consultants and project team always taken place for discussion on the content of C&I. In June to November

2018, the NWG-Subgroups and national consultants were motivated for starting on discussion, many meetings were organized and discussion, the report draft 0 had been developed to draft report 1 and draft report 2 in late November 2018.

1.3.1 National Consultant prepares draft C&I:

The National Consultants had prepared the draft both of C&I and CoC for steps of discussion with NWG-Sub groups as planned. The national consultants agreed to combine organizing meeting of C&I and CoC together.

1.3.2 NWGs meeting to discuss draft C&I/SOP:

The NWG was divided in 3 groups and each group with consultants have continuing work on each step for developing the draft report 0 to draft report 2 and final draft. The C&I development report was discussed with NWGs and stakeholders more than 6 meeting time and finalized in the end of December 2018. The consultant worked on the official report and made presentation to PSC in January and the PSC approved the C&I development report in March 2019.

1.3.3 National Consultant provides advice to the NWGs:

The sub-activity was process of C&I and CoC development. In the process of developing of the C&I and COC the consultants worked on the drafts and proposed to the NWG-sub group for discussion for adjusting and finding the solutions then agreed among NWG members. 8 NWG-sub groups meeting were organized on C&I and CoC development.

1.3.4 One -day workshop, attended by 20 participants:

The activity was adjusted, 8 sub- group workshops were organized for developing the C&I and CoC. The project organized and each workshop got progressive on C&I and CoC development and always got suggestion from participants.

1.3.5 PC prepares report of the workshop:

According the over load of project coordinator, PM and National Consultants have prepared document for discussion at the stakeholders meeting and other meeting. Thus the role of PC was moved to Project Manager and national consultants.

Activity 1.4 Elaboration of second drafts of C&I/SOP.

The activity related to the Activity 1.3, which had reported on the Activity 1.3. The sub activity 1.4.1 and 1.4.2 are the part of the process of C&I and CoC development. It was reported on the Activity 1.3 (See ANNEX 3)

1.4.1 Prepare the second draft of C&I/SOP through focus group.

It's changed to group workshop and meeting as mentioned.

1.4.2 NWGs meet to review and revise draft C&I/SOP:

NWG meeting was organized and revised the drafts both of C&I and CoC.

1.4.3 Field work on depth stakeholder interview:

The consultants and NWG had worked and had fielded visiting and discussion with FIO field staffs and SGC field office in Kanchanaburi.

Activity 1.5 Organize public consultation on second drafts through communication:

The public consultation is in the process of organizing through the discussion in the NWG and consultants. The C&I and CoC development results were posted on the RFD website. Moreover, the project had organized stakeholders meeting and RFD organized training workshop to introduced basic knowledge on C&I and CoC for 110 RFD officers on the 22nd April 2019. It's effective communication with RFD officers to understand C&I and CoC and prepared them for new policy on economic forestation.

1.5.1 Distribute draft C&I to stakeholders:

The sub activity worked on after the draft 2 completed. The national consultants work on for distribution to stakeholders for discussion at the stakeholder consultation on the 11 September 2018. In each workshop and meeting, the project had shared the document of C&I and CoC to participants both of NWGs and stakeholders.

1.5.2 Post draft C&I on RFD websites:

The sub activity been worked out after the public consultation and the team already discussed among the NWG and project consultants. During November 2018 to January 2019, the C&I and CoC development results were shared on the website of RFD and others website.

Activity 1.6 National Workshop on the second draft of C&I/SOP.

The activity 1.5 and 1.6 had related and had worked together in the same time. The NWG and national consultants had completed the draft report 2 in August both of C&I and CoC. In the meanwhile the consultants had continued working on discussion and consultation with NWG and stakeholders in September and November and finalized in December 2019.

1.6.1 Identify stakeholders to participate at the workshop:

The identify stakeholders was part of the process of participatory approach for consultation and meeting with NWG and stakeholders. The NWG members and consultants had identified 24 stakeholders who represent the 3 key sectors as social, economic and environment and related to forest sector and C&I and CoC for the national stakeholder workshop on the 11 September 2018. The continuing consultation was worked until the final draft was proposed and submitted in December 2018 and made presentation to PSC in December 2018 and March 2019.

1.6.2 Organizing the workshop for 30 participants:

There were more than 50 participants attended the national workshop on the 11 September 2018 and the other meeting and workshop till to March 2019.

1.6.3 National Consultant prepares workshop proceedings:

The consultants had worked new version of C&I and CoC development report for NWG and stakeholders.

Activity 1.7 Elaboration of the final draft C&I/SOP.

The Activity 1.7 also is part of the process of C&I and CoC development and active implemented in last period of 2018 to beginning of 2019 and so many meeting workshops in order to finalize the C&I and CoC development results.

1.7.1 National Consultant prepares final draft C&I/SOP:

The national consultants worked on after got the comment and recommendation from stakeholders on the 11 September 2018. The consultants had continued to adjust the report according to suggestion from NWG and stakeholders and completed the final draft for proposing to PSC approval in December 2018 to March 2019.

1.7.2 Distributes the revised report to NWG for review:

The revised report also always distributed to NWGs and other participants who attended the workshop and meeting. More than 5 NWG workshops and stakeholders meeting were organized, completed the workshops as planned until December 2018.

1.7.3 National Consultant revised the report to include comments from NWG:

The continuing discussion and workshop consultation were organized for revised C&I and CoC reports from draft 0 to final draft and final report from submission to PSC in March 2019.

Activity 1.8 Adoption of the national C&I/SOP by the NWG and the National C&I Committee

The PSC agreed to cancel the establishment of the National C&I Committee thus the PSC will propose to RFD for adoption instead if the NC&I Committee. After completed project activity implementation on Output 1 to Output 4 in the end of December 2018, the project had been extended and worked on output 5 with focus on communication and introduction C&I and CoC to public and in RFD. The activities completed but need time for internal discussion in the RFD for future RFD adoption.

1.8.1 Distribution of final draft report on C&I to NWG and PSC:

The project had worked on.

1.8.2 Meeting of the NCIC and NWG to adopt the C&I report.

The sub activity cancelled

Output 2 National tracking/CoC system developed and tested.

Activity 2.1 Review of legal requirements and national/international experience on tracking/CoC.

The consultants had worked together with C&I consultants and also had separation meeting on CoC and C&I in order to concentrate in each sub WG. The Sub WG on CoC was active participated on working on CoC. The consultants had reviewed on legal requirement on CoC and had adjusted and applied to Thai context.

2.1.1 National Consultant conducts a literature review and prepares draft report:

The consultants had worked on literature review and drafted report also based on FSC, PEEC, ISO/PC308, ISO/PC 287 and others

Activity 2.2 Elaboration of system elements

2.2.1 National consultant prepares systems elements draft report:

The Consultants had presented the outline of the report and sources of literature and plan also shared with NWG meeting in the first three months.

Activity 2.3 Pilot testing by FIO

2.3.1 National Consultant prepares pilot testing procedures at selected FIO plot:

The consultants had prepared and consulted with WG on site of pilot testing. According to time and busy schedule of consultants and WG thus the WG and consultants had delay decided on the site of pilot testing, the project used FIO as field for only interviewing and had tested in ChiangMai and Nan for CoC testing particularly on the testing with small holders in Nan in March 2019.

2.3.2 Field pilot testing:

The consultants used the field testing in Mae Tha (Chiang Mai) and Santisuk (Nan). The CoC was used with small holders in Nan and they were interested and asked for market development. The consultants supported them by connected timber company with the teak timber small holders in Nan and can use as pilot site on CoC.

Activity 2.4 Analysis of pilot test results and finalization of system description.

The NWG and consultants had worked on pilot test in Nan, the results and experience from pilot test was used for adjustment the CoC system.

2.4.1 Analyses pilot results and prepares pilot test report by consultant:

The activity was gone well and was used for report.

2.4.2 Report of the pilot test report: The pilot testing was used for the next step on CoC development as planned.

Activity 2.5 Adoption by the National C&I Committee.

The Activity 2.5 was cancelled as conclusion from the PSC meeting (please see the PSC meeting note as ANNEX 5

Output 3 Auditing system for C&I/standard of performance and CoC/timber tracking

Activity 3.1 Review of ITTO and other reference guidelines for auditing of SFM and CoC/tracking.

The consultants had reviewed ITTO, FSC and other reference guidelines for developing the CoC and auditing of SFM and the consultants had worked with NWG in detail.

3.1.1 National consultant prepares guidelines for auditing of SFM and CoC/tracking.

By the process of participants, the consultants had discussed and prepared guideline for auditing on SFM and CoC among themselves and consulted with NWG for working on the guideline for using the C&I for SFM and CoC for tracking. The consultants finalized the guideline in March 2019

3.1.2 Circulation of guidelines to parties concerned.

As the process on participatory approach, sharing the guideline through the meeting and sharing in the NWG and stakeholders meeting, the consultants had adjusted the report and guideline for PSC approval.

Activity 3.2 Elaborating of draft audit guideline for SFM

The NWG had worked with consultants through 3 meeting workshop for the 2nd draft report and continued to adjust report for presenting to stakeholder meeting. The finalized report had presented to PSC in December 2018 and final report and guideline were approved in PSC meeting in March 2019.

3.2.1 NWGs review and revise draft audit guideline for SFM:

The revised draft audit guideline on the 2nd draft was finalized and presented to the stakeholder meeting on the 11 September 2018 and finalized draft had been presented to PSC in December 2018 and approved by PSC in March 2019.

Activity 3.3 Elaborating of draft guideline for CoC/tracking

The elaborating of the draft guideline for CoC/tracking had been in the process of finalizing of the CoC through NWG workshop meeting. The NWG and consultants made presentation to CoC and C&I NWG on the 11 September 2018.

3.3.1 NWGs review and revise draft audit guideline for COC/tracking.

The auditing guideline was reviewed and adjusted for presenting to the PSC, it was approved by PSC in March 2019.

Activity 3.4 Adoption by the National C&I Committee

Cancelled the activity 3.4

Output 4 Personnel trained on auditing of C&I/standard of performance and CoC

The objective of the Output 4 has target to stakeholders who related to SFM C&I/CoC to understand and practice to work on their forest. The consultants and NWG agreed that the project cannot train them to auditor because it's more complicated and want to train them to understand and extent the C&I and CoC to the public. The training preparation was worked out and planned. The 4 days training was organized at RFD and the field in Chachangsao and Sra Kaew on the 11-14 December 2018. There were 35 participants from RFD, Private sector, civil society organizations, NGOs and community forest leaders. One and half day in class on content of C&I and CoC, and traveled to Chachangsao for visiting community forest and audited SFM through C&I, visited planted forest in SraKaew and audited FSM and practiced CoC system in planted forest. In the last day of the training, the trainers had wrapped up the training both of content and method/process of knowledge transferring.

Activity 4.1 Elaboration of training packages for auditing of SFM and CoC/training for related stakeholders

4.1.1 National consultant prepare packages for related stakeholders on auditing of SFM and CoC/training package:

Made list of participants who involved in SFM and planted forest, the project invited participants from difference sectors. The consultants prepared their content and training curriculum and methods.

4.1.2 NWGs review and revise draft packages on auditing of SFM and CoC/tracking:

The consultants, PM and NWG had worked on training package on C&I and CoC auditing. The training package was applied for the training.

Activity 4.2 Workshop on auditing of SFM and COC/training

4.2.1 Organize pilot training course on auditing of SFM.

The pilot training focus on stakeholders with included RFD officers, private sector, CF leaders, NGOs and civil society organization. The feedback from participants shared that the training is useful and should organize the training for RFD officers and interesting group. About 35 participants were attended the training.

4.2.2 Organize pilot training course on CoC/tracking.

The training had been combined both C&I and CoC together and divided in two parts, all participants had provided both of C&I and CoC. Please see detail as mentioned above.

Activity 4.3 Revision of training packages

As mentioned, the consultants and PM worked on the training packages with focus on how to use C&I and CoC in the SFM both of Community forest and planted forest. The training package was behind the schedule.

4.3.1 National consultants revise training packages:

The consultants had worked but behind the schedule according to busy work of consultants, project management team.

4.3.2 Organize meeting of the NWG and National C&I Committee to finalize the training packages:

Had Cancelled as approved by PSC

Activity 4.4 Training course for personnel prepared to be auditors of SFM and CoC

The Activity 4.4 on training course had been changed the training target and objective for stakeholders to understand and skill not to be auditors. The training organizing had mentioned on the detail above (See the Output 4).

4.4.1 Training course on national C&I of SFM and CoC:

See the detail of the training on the Output 4 as mentioned.

Output 5: C&I and CoC endorsed by RFD as internal auditing system

Activity 5.1 C&I and COC introduced in the RFD and public

5.1.1 Produce C&I and CoC guideline booklets:

The project produced 1 book on guideline of using the C&I and CoC. The guideline was finished behind the schedule and consumed more time as planned. 1,000 copies of C&I and CoC guideline were produced and the content included C&I and CoC, and method and process on how to audit C&I on SFM and CoC with some sample on documentation of CoC system. The C&I and CoC guideline was distributed at the project closing day on the 26 April 2019 and some organizations requested for C&I and CoC guideline.

5.1.2 Produce short DVO on SFM and C&I and CoC:

The project had synthesized the C&I and CoC development report and the guideline which developed from consultants for developing the media to educate relate stakeholders through 3 sets of Info-graphic such as Introduction of Sustainable Forest management, What and How to audit SFM through C&I and What and How to apply to CoC for certify timber and wood & forest production. Moreover, the project had produced a short VDO on Women in SFM and Mobile poster on C&I and CoC.

Activity 5.2 Strengthening PSC/PTC and WG

According to most of high rang and managing team of RFD are so busy and each unit also have to concentrate to their work, the C&I and CoC is on- going discussion and no action yet. Some of them do not realize on value of the C&I and CoC development. Thus the project had designed to introduce C&I and CoC to RFD for applying as internal auditing system in the RFD.

5.2.1 Meeting and workshop on preparing RFD endorsing the C&I and COC:
2 PSC meeting taken place and invited more head of units to involve and been introduced about C&I and CoC.

5.2.2 PSC meeting and 1 NWG meeting/ workshop on C&I and COC training guideline package:

As mentioned on the output 1-4 about the PSC approved the finalized C&I and CoC report and training guideline with some comment for addition.

5.2.3 C&I and CoC training workshop for RFD officers:

According to the internal situation and time limited, the project reduced from 4 days to one day training. The project had organized one day training for 110 RFD officers who involve and related to C&I and CoC. The training was focus to provide basic knowledge of C&I and CoC to participants in order to make understanding for RFD officers as target group of the training.

5.2.4 Project closing ceremony:

The project management unit organized official closing ceremony after most of activities completed, in the meanwhile aimed to promote C&I and CoC for SFM. The project closing ceremony was organized on the 26 April 2019. There were 80 participants attended and shared their expectation and for the future on C&I and CoC. At the ceremony, all media production were presented and distributed to all participants. 3 sets of Info graphics and VDO were shown and C&I and CoC guideline were distributed. About 500 copies of C&I and CoC guideline were disseminated for related stakeholders.

5.2.5 Study tour on C&I and CoC for key persons in RFD:

10 RFD delegation members had 5 days visited in Japan for learning and sharing experience on C&I and CoC between Thailand and Japan. The delegation team visited 5 organizations during 17-21 March 2019. The delegation team visited key organizations such as ITTO, JIA, MAFF, SGEN and JAFTA. More than learning and sharing, the RFD delegation also building good relationship between organizations. (See ANNEX 6.)

Activity 5.3 Pilot site for C&I and COC demonstration

The activity aimed to develop SFM in pilot sites and scale up as good practice on Planted forests and Community forests through C&I and CoC. The project provided

information on C&I and CoC to CF leaders in 2 communities. The workshop based on the participatory approach and used C&I for internal CF evaluated. From the experience of two communities, found out that the C&I can effective tool for self - evaluation for CF and in the meanwhile forest management promotion officers can use C&I and CoC to prepare CF and planted forest managers for auditing the SFM certification.

5.3.1 Forest management in practice:

The Forest Research and Development Office, organized training on teak management for planted forest on forest management in Nan province. The raining will be continued in Nan and other area.

5.3.2 *Develop the pilot site through C&I tool.* As mentioned above under the activity 5.3

5.3.3 CoC practice in the pilot site:

The CoC training and testing was organized in Santisuk sub-district, Nan. The planted forest small holder group was target group of the training. The consultant provided information and process of CoC practice with the small holders. The small holders gained information and skill on process and prepared document for CoC.

2.2 Project Implementation and Activity Delivery in September 2017 –April 2019

Outputs/ activities	Activities	Percentage Executed	Originally planned...	Estimated Completion Date
Development Objective: <i>Improved availability of timber and NTFPs from sustainable and legal sources</i>				
Specific Objective : <i>Comprehensive system of C&I for SFM established</i>				
Output 1. National C&I and standards of performance for SFM developed.				
Activity.1.1	<i>Establishment of The Project Organization and Project Steering Committee (PSC).</i>			
	1.1.1 Assign Project Staff	100	January 2015	July 2017
	1.1.2 Assign PSC/PTC and strengthening	100	January 2015	April 2019
	1.1.3 Recruit Consultant, Project Manager, Auditor (Recruited Auditor in May 2019)	100	September 2017	May 2019
Activity 1.2	<i>Establishment of National Working Group (NWG) and Sub-groups (SG) on community forests and plantations.</i>			
	1.2.1 Assign NWG for to Develop the C&I and CoC	100	January – March 2018	March 2018
Activity 1.3	<i>Elaboration of the first draft of C&I/SOP for community forests and planted forests.</i>			

Outputs/ activities	Activities	Percentage Executed	Originally planned...	Estimated Completion Date
	1.3.1 National Consultant prepares draft C&I	100	April 2018	June 2018
	1.3.2 NWGs meeting to discuss draft C&I/SOP	100	April 2018	December 2018
	1.3.3 National Consultant provides advice to the NWGs	100	June - August 2018	December 2018
	1.3.4 One-day workshop, attended by 20 participants	100	April, August 2018	August 2018
	1.3.5 PC prepares report of the workshop	100	April- August 2018	September 2018
Activity 1.4	<i>Elaboration of second drafts of C&I/SOP.</i>			
	1.4.1 Prepare the second draft of C&I/SOP through focus group.	100	June- Sept2018	September 2018
	1.4.2 NWGs meet to review and revise draft C&I/SOP.	100	June- Sept2018	September 2018
	1.4.3 Field work on depth stakeholders interview	100	June- August 2018	September 2018
Activity1.5	<i>Public consultation on second drafts through communication.</i>			
	1.5.1 Distribute draft C&I to stakeholders.	100	Sept 2018	September 2018
	1.5.2 Post draft C&I on RFD websites.	100	October 2018	December 2018
Activity1.6	<i>National workshop on the second draft of C&I/SOP.</i>			
	1.6.1 Identify stakeholders to participate at the workshop.	100	June- August 2018	August 2018
	1.6.2 Organizing the workshop for 30 participants.	100	July- August 2018	December 2018
Activity1.7	<i>Elaboration of the final draft C&I/SOP.</i>			
	1.7.1 National Consultant prepares final draft C&I/SOP.	100	September 2018	December 2018
	1.7.2 Distributes the revised report to NWG for review	100	August- Sept 2018	October 2018
	1.7.3 National Consultant revised the report to include comments from NWG	100	August- Sept 2018	October 2018
Activity1.8	<i>Adoption of the national C&I/SOP by the NWG and the National C&I Committee.</i>			
	1.8.1 Distribution of final draft report on C&I to NWG and PSC.	100	Oct- November 2018	December 2018
Output 2 National tracking/CoC system developed and tested.				
Activity 2.1	<i>Review of legal requirements and national/international experience on tracking/CoC.</i>			
	2.1.1 National Consultant conducts a literature review and prepares draft report.	100	April 2018	July 2018
Activity 2.2	<i>Elaboration of system elements.</i>			
	2.2.1 National consultant prepares systems elements draft report.	100	Marc h 2018	July 2018

Outputs/ activities	Activities	Percentage Executed	Originally planned...	Estimated Completion Date
Activity 2.3	Pilot testing by FIO			
	2.3.1 National Consultant prepares pilot testing procedures at selected FIO plot.	100	August 2018	October 2018
	2.3.2 Field pilot testing.(only CoC)	100-	August 2018	October 2018
Activity 2.4	Analysis of pilot test results and finalization of system description.			
	2.4.1 Analyses pilot results and prepares pilot test report by consultant. (only CoC)	100	September 2018	March 2019
	2.4.2 Report of the pilot test report. (Only CoC)	100	September 2018	March 2019
Output 3 Auditing system for C&I/standard of performance and COC/timber tracking				
Activity 3.1	Review of ITTO and other reference guidelines for auditing of SFM and CoC/tracking			
	3.1.1 National consultant prepares guidelines for auditing of SFM and CoC/tracking	100	October 2018	December 2018
	3.1.2 Circulation of guidelines to parties concerned.(through RFD website)	100	October 2018	December 2019
Activity 3.2	Elaborating of draft audit guideline for SFM			
	3.2.1 NWGs review and revise draft audit guideline for SFM	100	September 2018	December 2018
Activity 3.3	Elaborating of draft guideline for CoC/tracking			
	3.3.1 NWGs review and revise draft audit guideline for CoC/tracking.	100	October 2018	December 2018
Output 4 Personnel trained on auditing of C&I/standard of performance and COC				
Activity 4.1	Elaboration of training packages for auditing of SFM and COC/training for related stakeholders			
	4.1.1 National consultant prepare packages for related stakeholders on auditing of SFM and CoC/training package	100	September 2018	March 2019
	4.1.2 NWGs review and revise draft packages on auditing of SFM and CoC/tracking	100	September 2018	March 2019
Activity 4.2	Workshop on auditing of SFM and CoC/training			
	4.2.1 Organize pilot training course on auditing of SFM.	100	October 2018	December 2018
	4.2.2 Organize pilot training course on CoC/tracking.	100	October 2018	March 2019
Activity 4.3	Revision of training packages			
	4.3.1 National consultant revise training packages	100	November 2018	April 2019
Activity 4.4	Training course for personnel prepared to be auditors of SFM and COC			
	4.4.1 Training course on national C&I of SFM and CoC	100	November 2018	March 2019
Output 5: C&I and CoC endorsed by RFD as internal auditing system				
	5.1.1 Produce C&I and CoC guideline booklets (1set included 2 booklets: C&I for community forest, C&I for planted forest and CoC)	100	February 2019	April 2019
	5.1.2 Produce short DVO on SFM and C&I and CoC (3 info graphics: Introducing of C&I, CoC, Climate change and SFM and 1 VDO on gender& SFM) and Mobile posters	100	February 2019	April 2019
Activity 5.2	Strengthening PSC/PTC and WG			

Outputs/ activities	Activities	Percentage Executed	Originally planned...	Estimated Completion Date
	5.2.1 Meeting and workshop on preparing RFD endorsing the C&I and CoC	80	January 2019	April 2019
	5.2.2 PSC meeting and 1 NWG meeting/ workshop on C&I and COC training guideline package	100	Jan-March 2019	March 2019
	5.2.3 C&I and CoC training workshop for RFD officers (4 Days in the field) 25 participants (Adjusted to Introduction C&I and CoC to RFD officers)	100	February 2019	April 2019
	5.2.4 Project closing ceremony (80 participants)	100	April 2019	April 2019
	5.2.5 Study tour on C&I and CoC for key persons in RFD (organize study tour on C&I and CoC in Japan for RFD key persons who involve in C&I and CoC in practicing and endorsement)	100	February 2019	March 2019
Activity 5.3	<i>Pilot site for C&I and CoC demonstration</i>			
	5.3.1 Forest management in practice (Operated by Forest research and development Office)	100	January – March 2019	April 2019
	5.3.2 Develop the pilot site through C&I tool.(Only 2 sites could be implemented)	80	January-April 2019	April 2019
	5.3.3 CoC practice in the pilot site	100	January-April 2019	March 2019

2.3 Project Planned and Implemented: January 2018 –April 2019

Project No. PD 470/07 Rev.1) F)

Project Title: Development and Implementation of Criteria and Indicators of Sustainable Management of Planted Forests and Community Forests

Project Planned and Implemented: January 2018 –April 2019

Date: 20 May 2019

Remark: Gray color =Planned

✓ =completed

Outputs/ Activities	Activity Plan	Responsible parties	2018												2019			
			Jan-Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr		
Output 1 National C&I and standards of performance for SFM developed.																		
A.1.1	<i>Establishment of National C&I Committee (NCIC)</i>	RFD																
	1.1.1 Assign Project Staff		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
	1.1.2 Assign PSC/PTC and strengthening		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
	1.1.3 Recruit Consultant, Project Manager, Auditor		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
A.1.2	<i>Establishment of National Working Group (NWG) and Sub-groups (SG) on community forests and plantations.</i>	RFD, Consultants, PM																
	1.2.1 Assign NWG for the approval of the NCIC		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
A.1.3	<i>Elaboration of the first draft of C&I/SOP for community forests and planted forests.</i>	C&I Consultant, PM				✓												
	1.3.1 National Consultant prepares draft C&I			✓	✓	✓				✓								
	1.3.2 NWGs meeting to discuss draft C&I/SOP			✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
	1.3.3 National Consultant provides advice to the				✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		

Outputs/ Activities	Activity Plan	Responsible parties	2018												2019			
			Jan-Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr		
	NWGs																	
	1.3.4 One-day workshop, attended by 20 participants			✓						✓								
	1.3.5 PC prepares report of the workshop					✓												
A.1.4	Elaboration of second drafts of C&I/SOP.																	
	1.4.1 Prepare the second draft of C&I/SOP through focus group.	C&I Consultant						✓										
	1.4.2 NWGs meet to review and revise draft C&I/SOP.								✓									
	1.4.3 Field work on depth stakeholders interview									✓		✓		✓	✓			
A.1.5	Public consultation on second drafts through communication.																	
	1.5.1 Distribute draft C&I to stakeholders.	C&I Consultant								✓								
	1.5.2 Post draft C&I on RFD websites.										✓	✓	✓					
A.1.6	National workshop on the second draft of C&I/SOP.																	
	1.6.1 Identify stakeholders to participate at the workshop.	C&I Consultant, PM		✓				✓				✓						
	1.6.2 Organizing the workshop for 30 participants.											✓						
A.1.7	Elaboration of the final draft C&I/SOP.																	
	1.7.1 National Consultant prepares final draft C&I/SOP.	C&I Consultant,									✓	✓	✓					
	1.7.2 Distributes the revised report to NWG for review							✓	✓									
	1.7.3 National Consultant revised the report to include comments from NWG									✓	✓							
A.1.8	Adoption of the national C&I/SOP by the NWG	C&I																

Outputs/ Activities	Activity Plan	Responsible parties	2018												2019				
			Jan-Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr			
	and PSC.	Consultant, PM																	
	1.8.1 Distribution of final draft report on C&I to NWG and PSC.																		
	1.8.2 Meeting of the PSC and NWG to adopt the C&I report.																		
Output 2 National tracking/CoC system developed and tested.																			
A.2.1	Review of legal requirements and national/international experience on tracking/CoC.	CoC Consultant																	
	2.1.1 National Consultant conducts a literature review and prepares draft report.																		
A.2.2	Elaboration of system elements.	CoC Consultant																	
	2.2.1 National consultant prepares systems elements draft report.																		
A.2.3	Pilot testing by FIO	CoC Consultant, PM																	
	2.3.1 National Consultant prepares pilot testing procedures at selected FIO plot.																		
	2.3.2 Field pilot testing.																		
A.2.4	Analysis of pilot test results and finalization of system description.	CoC Consultant																	
	2.4.1 Analyses pilot results and prepares pilot test report by consultant.																		
	2.4.2 Report of the pilot test report.																		
Output 3 Auditing system for C&I/standard of performance and COC/timber tracking																			
A.3.1	Review of ITTO and other reference guidelines for auditing of SFM and CoC/tracking	CoC Consultant																	
	3.1.1 National consultant prepares guidelines for auditing of SFM and CoC/tracking																		

Outputs/ Activities	Activity Plan	Responsible parties	2018												2019			
			Jan-Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr		
	3.1.2 Circulation of guidelines to parties concerned.											✓	✓					
A.3.2	Elaborating of draft audit guideline for SFM	CoC Consultant																
	3.2.1 NWGs review and revise draft audit guideline for SFM												✓					
A.3.3	Elaborating of draft guideline for COC/tracking	CoC Consultant																
	3.3.1 NWGs review and revise draft audit guideline for CoC/tracking.												✓					
A.3.4	Adoption by the PSC	C&I, CoC Consultants, RFD, PM																
	3.4.1 Meeting of PSC and multi stakeholders for adoption of CoC/tracking guidelines												✓					
	3.4.2 Meeting report.																	
Output 4 Personnel trained on auditing of C&I/standard of performance and COC																		
A.4.1	Elaboration of training packages for auditing of SFM and CoC/training for related stakeholders	CoC Consultant PM																
	4.1.1 National consultant prepare packages for related stakeholders on auditing of SFM and CoC/training package																✓	
	4.1.2 NWGs review and revise draft packages on auditing of SFM and CoC/tracking																✓	
A.4.2	Workshop on auditing of SFM and CoC/training	C&I, CoC Consultant, RFD, PM																
	4.2.1 Organize pilot training course on auditing of SFM.													✓				
	4.2.2 Organize pilot training course on CoC/tracking.													✓				
A.4.3	Revision of training packages	C&I/CoC Consultant, PM																
	4.3.1 National consultant revise training packages													✓			✓	

Outputs/ Activities	Activity Plan	Responsible parties	2018												2019				
			Jan-Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr			
A.4.4	Training course for personnel who prepared to be supporters of SFM and CoC	C&I, CoC Consultant, RFD, PM																	
	4.4.1 Training course on national C&I of SFM and CoC																		
Output 5: C&I and CoC endorsed by RFD as internal auditing System																			
A.5.1	C&I and CoC introduced in the RFD and public	RFD, PM																	
	5.1.1 Produce C&I and CoC guideline booklets (1 set included 2 booklets: C&I for community forest, C&I for planted forest and CoC)																		
	5.1.2 Produce short DVO on SFM and C&I and CoC (3 info graphics: Introducing of C&I, CoC, Climate change and SFM and 1 VDO on gender& SFM) and Mobile posters																		
A.5.2	Strengthening PSC/PTC and WG	RFD, PM																	
	5.2.1 Meeting and workshop on preparing RFD endorsing the C&I and CoC																		
	5.2.2 PSC meeting and 1 NWG meeting/ workshop on C&I and CoC training guideline package																		
	5.2.3 C&I and CoC training workshop for RFD officers (4 Days in the field) 25 participants																		
	5.2.4 Project closing ceremony (80 participants)																		
	5.2.5 Study tour on C&I and CoC for key persons in RFD (organize study tour on C&I and CoC in Japan for RFD key persons who involve in C&I and CoC in practicing and endorsement)																		
A.5.3	Pilot site for C&I and CoC demonstration	RFD, PM																	

Outputs/ Activities	Activity Plan	Responsible parties	2018 Months 2019															
			Jan-Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr		
	5.3.1 Forest management in practice													✓	✓			
	5.3.2 Develop the pilot site through C&I tool													✓	✓	✓	✓	
	5.3.3 CoC practice in the pilot site														✓	✓		

3. Project Results and on Criteria & Indicators and Custody of Chain (CoC)

As mentioned earlier the project had delay in implementation according to national policy and political situation and unstable internal situation of RFD. The agreement was signed but the project had moved from office to the other office, it caused to the project delayed and nobody on board to start the operation. The project started again in 2017 and had suspended because of the project manager resigned. January 2018, the new project manager was on board and restarted the project implementation till the project ended in April 2019.

16 months of project implementation, the Project Manager and the project Operation Unit had reviewed and revised the project workplan and worked with the national consultants for implementation. Thus most of activities had been rushed in working within many conditions and factors while most of project activities had been implemented under the project plan, only few activities could not worked out in time.

The project 16 months long had many successful in activity and output level but still need the project operation unit to continue in scale up and enforce the RFD to endorse the project C&I and CoC to practice as internal auditing system in RFD in the near future. Some detail of project results and lessons learned of the project are follow as:

3.1 Developing Criteria and Indicators: The National Consultants

(By Dr. Sunrin Onprom) finished and completed the C&I development.

CREITERIA 1: COMPLIANCE WITH NATIONAL LAWS, POLICIES AND STRATEGIES		
Indicators	Planted forest	Community forest
1.1 Availability of documentation of legal status, land tenure ownership and resource utilization	+	+
1.2 Existence of forest management plan	+	+
1.3 Monitoring and evaluation of forest management is conducted continuously	+	+
1.4 Availability of appropriate budget administration and accounting system	+	+

1.4.1	Transparency of budget and accounting		
1.4.2	Accountability of budget and accounting		
1.5	Existence of appropriate conflict management mechanism and solutions	+	+
1.6	Availability of communication channels with relevant stakeholders	+	+
1.6.1	Local stakeholders		
1.6.2	National stakeholders		
1.6.3	International stakeholders		
1.7	Forest plantation manager and community are aware of international agreements and willing to apply them into forest management activities	+	+
CRITERIA 2: EXTENT AND CONDITION OF FORESTS			
Indicators		Planted forest	Community forest
2.1	Availability of forest land and ecosystem information	+	+
2.2	The size and extent of forest land is appropriated	+	+
2.2.1	Forest conservation zone and/or		
2.2.2	Forest utilization zone (subsistence use, cultural, tradition, community beliefs and tourism/recreation)		
2.3	Availability of map, sketch map, layout and signs to show clearly the forest management boundary	+	+
CRITERIA 3: FOREST ECOSYSTEM HEALTH AND ADAPATION			
Indicators		Planted forest	Community forest
3.1	The extent of forest cover changes over time is positively observed both quantity and quality	+	+
3.2	Provision of diversity of forest goods and services to address the various needs of household, forest users groups and communities	+	+
3.3	Availability of information regarding risks and threat to forest and ecosystem	+	+
3.4	Existence of guidance, measure and methods to manage, prevent the identified risks and threats as well as having long term monitoring system	+	+
3.5	Forest manager shall have sufficient resources (cash and non-cash) to support the implementation of forest management	+	+
CRITERIA 4: FOREST PRODUCTION AND ECOSYSTEM SERVICES			

Indicators	Planted forest	Community forest
4.1 Availability of forest stock and productivity information/data	+	+
4.2 Existence of documentation or record to show the statistic of forest product utilization and generated income from the managed forests	+	+
4.3 Availability of information regarding risk and threat which will be impacting on forest products and services	+	+
4.4 Forest manager shall provide the guidance and method for managing and utilizing forest product and services as well as to apply appropriate silvicultural techniques for managing forest products and services in the area	+	+
4.5 Forest manager shall conduct impact assessment of forest utilization activities and shall present the assessment result to involved stakeholders	+	+
CRITERIA 5: FOREST BIODIVERSITY		
Indicators	Planted forest	Community forest
5.1 Availability of biodiversity information (plant, animal and fungi)	+	+
5.1.1 Information of species biodiversity found in the managed forest		
5.1.2 Information of animal, bird and insect species found in managed forest		
5.1.3 Information of fungi biodiversity found in the managed forest		
5.2 Availability of information regarding risk, threat and effect of forest biodiversity	+	+
5.3 Existence of guidance and measure for conserving and protecting forest biodiversity especially rare and/or extinct species	+	+
5.4 Forest manager shall implement to assess and evaluate the impact of forest utilization activity and shall present the result to relevant stakeholders	+	+
5.5 Forest manager shall communicate and present activities of biodiversity conservation to local stakeholders	+	+
CRITERIA 6: SOIL AND WATER CONSERVATION		
Indicators	Planted forest	Community forest
6.1 Availability of basic information on type and condition of soil and water resource in the managed forest area	+	+
6.2 Forest manager shall implement soil and water conservation activity by involvement with local community and stakeholder	+	+
6.3 Implementation of extension activity and learning exchange mechanism to	+	+

conserve and maintain soil and water quality		
6.4 Forest manager shall assess the impact of forest utilization activity on soil and water and identify appropriate method for reducing the impact of utilization activity	+	+
CRITERIA 7: ECONOMIC, SOCIAL AND CULTURE OF LOCAL COMMUNITIES		
Indicators	Planted forest	Community forest
7.1 Forest management implementation shall respect to traditional beliefs, community culture and local knowledge and apply them into forest restoration and conservation activity	+	+
7.2 Development of network with local community and/or involved organization	+	+
7.3 Promotion of women and youth group as well as forest stakeholders to participate in forest management activities	+	+
7.4 Promotion of community group formation to advance forest utilization techniques and to add value to resource use		+
7.5 Initiative local or community financial mechanism for self-reliance development in the long term		+
7.6 Forest manager shall initiate forest benefit sharing mechanism to share benefits with stakeholders		+

3.2 Developing the Custody of Chain (CoC):

The National Consultants (Dr. Nikom Leamsak and Dr. Sutep Jankiew) finished and completed the CoC. On this report, just take some part of the result report for presenting some results. The full document of the CoC is on the technical report.

1. Chain of Custody (CoC) Requirements

<u>Principle 1</u> Within the forest
Criteria 1.1 Wood Non-wood and Product Identification
➤ Marking/labeling each tree above and below the point of cutting (i.e. the log and the tree stump)
➤ All log sections should be marked/labeled with a classification mark denoting their origin to enable traceability back to the stump or felling block.

<ul style="list-style-type: none"> ➤ Wood classification methods of CoC <ol style="list-style-type: none"> 1) Community enterprises have legal rights to operate and harvest wood, non-wood, and products in specified forest areas. 2) Planted forest must be approved in the harvest operation, which depends on wood cutting approval and utilization of non-wood products.
<ul style="list-style-type: none"> ➤ In the case of community forests, the classification of wood, non-wood, and products must be approved by the community committee in writing according to government regulations.
<ul style="list-style-type: none"> ➤ Non-wood: quantitative units that can be certified
Criteria 1.2 Documentation
<ul style="list-style-type: none"> ➤ There must be a record of the details of the numbers and volumes of logs removed from each coupe or cut block that can be cross-checked against the legal authorization to harvest wood, non-wood, and products.
<ul style="list-style-type: none"> ➤ The records should allow for cross checking of the log/load numbers with the identification and enumeration of all harvestable trees in an approved forest management plan which includes estimated harvestable timber volume.
<ul style="list-style-type: none"> ➤ Recording details of the source, number, and quantity of the harvested non-wood that can be cross-checked against the legal authorization or permission to harvest from the committee of the community forest.
<ul style="list-style-type: none"> ➤ Data must be checked back by recording forest products, which is a record of the wood, non-wood, and products from the beginning to processing to check with the next steps in CoC.
<ul style="list-style-type: none"> ➤ In the case of community forests, there must be a classification of the numbers and types of forest, including the names or numbers of certified community forests. Bringing community forest information for inclusion in the document must be approved by the relevant forest management organization in writing.

Information on the quantity, origin, and terminal point of materials should be sufficiently detailed and consistent with previous steps and the next step in the CoC system. The classification of documentation and other information for certified material should be maintained whenever it is transported.

Principle 2 Transportation
Criteria 2.1 Documentation
<ul style="list-style-type: none"> ➤ Information on the origin and terminal point, quantity and number, carrier and evidence confirming that the product is from a certified source must be transported with the product to the destination. In addition, the information should be consistent with previous steps and the next step.
<ul style="list-style-type: none"> ➤ The document storage period is 4 years (based on the time required for holding the certificate being 4 years).

<ul style="list-style-type: none"> ➤ There are legal documents for timber transportation control of wood, non-wood, and products by land / water / air (quantity or weight) such as transport permits and moving licenses.
<ul style="list-style-type: none"> ➤ In the case of community forests, wood, non-wood, and product transport must be approved by the forest management organization in writing.
<p>Criteria 2.2 Separate</p>
<ul style="list-style-type: none"> ➤ There are preventive measures between certified wood, non-wood, and products and uncertified wood, non-wood, and products.
<ul style="list-style-type: none"> ➤ There should be adequate controls in place at interim storage facilities, such as timber terminals, to ensure that material from certified sources is kept segregated from material from all other sources.
<ul style="list-style-type: none"> ➤ During transportation and storage segregation is required such as packing product on pallets, in containers, or in boxes, simultaneously with identification through labeling products.

<p><u>Principle 3 Storage</u></p>
<p>Criteria 3.1 Documentation</p>
<ul style="list-style-type: none"> ➤ Information on the origin and terminal point, quantity and number, carrier and evidence confirming that the product is from a certified source must be transported with the product to the destination. In addition, the information should be consistent with previous steps and the next step.
<ul style="list-style-type: none"> ➤ There should be a document showing the verification and confirmation of the correct number, quantity, and type that matches with material information for the origin until the final storage.
<ul style="list-style-type: none"> ➤ There must be legal documents for control storage of products and related products such as construction permits, requesting permission to store, and payment of tax.
<ul style="list-style-type: none"> ➤ In the case of community forests, wood, non-wood, and product transport must be approved by the forest management organization in writing.
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<ul style="list-style-type: none"> ➤ During transportation and storage there must be segregation, such as packing

product on pallets, in containers, or in boxes, simultaneously with identification through labeling products.

Principle 4 Inside processing facilities

Criteria 4.1 Approval of Purchases

- Documentation of the purchase of certified wood, non-wood, and products
- Documentation of the origin of wood, non-wood, and products
- Documentation of legal transportation
- Documentation of audit by independent auditor that the origin forest area is under sustainable management
- Documents for inspecting the owner of the wood, non-wood, and products that the tracking and inside processing facilities are being used.
- Evidence showing that the wood, non-wood, and products are correctly matched with the manufacturer's order.
- Evidence of purchase order must clearly specify the terms that wood, non-wood, and products must be certified.

Criteria 4.2 Verification of Delivered Wood Non-wood and Product

- At the processing organization's gate, there must be adequate controls to ensure that all wood, non-wood, and products accepted into the facility are from certified or verified legal sources.
- Wood, non-wood, and products that are received should be checked against an approved purchase order.
- Wood, non-wood, and products that are received should be checked against the origin of the forest that has been certified as sustainable.
- If forest-based products are procured after processing for further processing and if the supplier uses a percentage-based method, the percentage of certified raw material in the goods must be known.

Criteria 4.3 Storage

- Certified materials should be clearly labeled and/or segregated from other materials.
- A system to maintain a record or identification code of the origin of all certified materials held in stock should be established.
- There is a clear separation of certified and uncertified materials in the system.

Criteria 4.4 Processing

There are two optional approaches for chain of custody: 1) physical separation method and 2) percentage-based method. The supplier may choose only one approach.

1) Physical separation method : The most straightforward way to comply with chain of custody requirements is to purchase certified material, keep it separate throughout all stages of processing, and create a finished product that is 100% certified.

- The status of the material should remain identifiable throughout the process and this can be achieved by using identification tags, color coding and/or unique identification numbers/marks. If marking is not possible, another method must be developed to distinguish certified and uncertified products.

<ul style="list-style-type: none"> ➤ Batches of certified materials should be processed separately in time or space from other materials, or, should be clearly marked at each stage of the processing to ensure they are not confused with or substituted by other materials.
<ul style="list-style-type: none"> ➤ Production runs for certified products should be undertaken on separate production lines (physical separation) or carried out at specific times from other production runs using the same production line (separation in time).
<ul style="list-style-type: none"> ➤ Because some of the wood materials may become waste during the production process, reliable conversion ratios must be established to estimate how much product could be expected from the volume of material entering the facility.
<ul style="list-style-type: none"> ➤ There should be regular reconciliation to ensure that the quantity of product produced that carries the sustainability claim does not exceed the amount which can be reasonably expected to be produced from the quantity of raw material used.
<p>2) Percentage-based method: Is an optional approach for where the different products cannot be physically separated to know the proportion of certified and uncertified materials. Can use both 100% certification and percentage-based method.</p>
<ul style="list-style-type: none"> ➤ Controversial sources <ul style="list-style-type: none"> - Controls should be used for percentage-based claims to ensure that the uncertified timber is a controlled material, i.e. is from legal sources and is not from controversial sources. - A risk assessment procedure should be established to distinguish between high and low risk supplies. The high risk supplies must confirm that the material is not from controversial sources. If the area has a high level of risk, there must be confirmation by a second or third party. - Any organizations procuring raw material listed in the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) appendices must follow the regulations defined by CITES and other international as well as national legislation.
<ul style="list-style-type: none"> ➤ Minimum thresholds <ul style="list-style-type: none"> - A minimum threshold for the percentage of certified material required in the processed product should be set, and criteria set at 75 percent per 25.
<ul style="list-style-type: none"> ➤ Categorizing materials <p>To calculate percentages can be complicated as composite products such as chipboard, MDF (medium density fiberboard) may contain a variety of wood materials including virgin fiber, recycled material, and waste.</p> <p>Three categories of materials are commonly recognized: certified material; uncertified material (excluding neutral material); and neutral material. Neutral material is material not directly derived from logging such as recycled fiber, waste wood, agricultural fibers (bagasse, rice stalks, etc.), oil palm fiber, coconut fiber, and urban wood.</p> <p>The calculation of percentages is based on the quantities of certified and uncertified materials, and materials from neutral sources are excluded from the</p>

equation. The uncertified portion should comprise controlled material, i.e. legal material which complies with the requirements of the RFD (Royal Forest Department) Criteria and Indicators for Legality of Timber, and not be from controversial sources.

➤ Method for controlled mixing

The two methods for controlled mixing are: 1) percentage in individual products and 2) percentage in individual product lines or processes. In all cases, control of certified and uncertified materials is required to the point where the raw materials enter the production process.

The formula for calculating certification percentage is:

$$Pc [\%] = (Vc \times 100) / (Vc + Vo)$$

Pc = Certification percentage

Vc = Volume of certified raw material

Vo = Volume of other raw material

Calculations must be based on a single measurement unit. If this requires conversion, credible conversion ratios must be used.

There are 4 methods for calculating the minimum value of certified materials.

- 1) Individual product-based percentage: Under this approach, the product claim specifies the minimum percentage of certified material used in the final product, which can be calculated either by weight or by volume. Controls must be in place to allow precise calculation of the percentage of certified material in the final product.

Example: a cabinet, where 70% of the cabinet is MDF, 30% of the cabinet is other wood materials, and the only certified component of the cabinet is 50% of the MDF: therefore, the total certified content of the cabinet is 50% of 70% (MDF) = 35%.

- 2) Product line or Process-based percentage: For many products containing wood materials, it is impossible to control or calculate the percentage of certified material used in individual products. In such cases, control must be established at the level of the product line or process.

If the certification scheme or the product label or claim specifies a minimum proportion of certified material that must be in the product line, then controls must be adequate to ensure that this is delivered. When the production is on an individual batch basis, the percentage of certified material is calculated according to the input into the batch. The calculation for continuous processes has to be based on either a nominal batch or a rolling average approach.

- 3) Nominal batches: A nominal batch period must be set (e.g. 1 week or 1 month, or a maximum period could be set). The calculation of the percentage of certified and uncertified material is made at the end of

each nominal batch period. When the percentage of certified material used meets the requirements of the certification scheme, then all the products made during the nominal batch period can be considered certified.

For example, if the nominal batch length is 1 week and the proportion of certified material required is 50%, then half the raw material used during the week must be from a certified source.

- 4) Rolling averages for continuous processes: The batch period may be calculated as a rolling average in order to reduce the extent to which the proportion of certified and uncertified material in a product fluctuates. In a rolling average approach, the average percentages of certified and uncertified raw materials used are calculated regularly at a defined period that is shorter than the nominal batch period. For a rolling average approach, the input of raw material must be controlled to ensure that the rolling average of certified material never drops below the minimum allowed.

➤ Transfer of the calculated percentage to the outputs

There are two methods for transferring the calculated percentage to the outputs 1) Average percentage method 2) Volume credit method (also referred to as percentage in – percentage out).

- 1) Average percentage method

All the products within the production batch are labeled as certified according to the minimum threshold (contains a minimum of 75% certified wood materials).

- 2) Volume credit method

Only a proportion of the outputs are recognized as 100% certified based on the proportion of certified materials input. For example, if the certification percentage for a production batch producing 100 t of product is 50%, then 50 t of the product can be sold as 100% certified.

Criteria 4.5 Claims and labeling

➤ Labels are accurate and not confusing and follow the guidelines of ISO/IEC 14020 Environmental labels and declarations: General principles.

➤ For percentage-based production, labels and claims must reflect the fact that only a percentage of the wood material in the product is certified.

➤ Must have a label description.

Criteria 4.6 Sales

➤ Must have traceability (i.e. that the product can be traced back to certified production)

➤ Must have identification (i.e. the product must be clearly labeled as certified)

➤ Must have documentation (i.e. the accompanying documentation must specify the certification status)

Criteria 4.7 Management system

➤ The commitment of management to implement the chain of custody should be defined and documented.

<ul style="list-style-type: none"> ➤ A member of the senior management should be appointed as the management representative to have overall responsibility and authority for the chain of custody.
<ul style="list-style-type: none"> ➤ There is a senior manager team that is responsible for monitoring and following up on chain of custody or internal auditing at least once a year.
<ul style="list-style-type: none"> ➤ Staff whose work affects the chain of custody should be identified and their responsibilities for implementing and maintaining the chain of custody should be established and documented.
<ul style="list-style-type: none"> ➤ The processing organization should have a documented system that shows how certified timber is purchased, processed, and sold without mixing with uncertified timber, or with controlled mixing.
<ul style="list-style-type: none"> ➤ This document should identify the management representative who will be responsible for overseeing the system, identifying the critical control points, and outlining the procedures for ensuring uncontrolled mixing does not occur at each point.
<ul style="list-style-type: none"> ➤ Records <ul style="list-style-type: none"> - Records of purchases, sales, and production of wood, non-wood, and products should be kept for 4 years. - The record must specify: <ol style="list-style-type: none"> 1) All suppliers 2) The volumes of certified and uncertified wood, non-wood, and products purchased from each supplier 3) The volume and status (certified, uncertified, neutral) of timber used in each production order or batch. 4) The volume of certified product purchased and sold. - These records should ensure that any sold finished product can be matched to production records, which themselves can be matched to stock material of known status and origin. - They should be sufficient records to trace the certified timber product back to the previous supplier. - The records that should be maintained include <ol style="list-style-type: none"> 1) Purchase records 2) Stock records 3) Production records 4) Sales and marketing records 5) Records of any audits of the chain of custody system 6) Records of staff training on implementing the chain of custody system.
<ul style="list-style-type: none"> ➤ Internal audits covering all aspects of the chain of custody system should be conducted at least once a year, and corrective and preventive measures should be established, if required. The results of the internal audits should be documented, and the audit reports should be reviewed by the senior management annually. ➤

- All staff involved in implementing the chain of custody system should be made aware of their responsibilities and be provided with the necessary training to implement the system. Records of the training provided should be properly documented and kept.

4.

Project Results and Lessons Learned

As mentioned earlier the project had delay in implementation according to national policy and political situation and unstable internal situation of RFD. The agreement was signed but the project had moved from office to the other office, it caused to the project delayed and nobody on board to start the operation. The project started again in 2017 and had suspended because of the project manager resigned. January 2018, the new project manager was on board and restarted the project implementation till the project ended in April 2019.

16 months of project implementation, the Project Manager and the project Operation Unit had reviewed and revised the project workplan and worked with the national consultants for implementation. Thus most of activities had been rushed in working within many conditions and factors while most of project activities had been implemented under the project plan, only few activities could not worked out in time.

The project 16 months long had many successful in activity and output level but still need the project operation unit to continue in scale up and enforce the RFD to endorse the project C&I and CoC to practice as internal auditing system in RFD in near future. Some detail of project results and lessons learned of the project are follow as:

1. The last period of the project implementation during the year 2017-2019, the forest policy in the national level is so supportive the forest utilization and sustainable forest management. While it's the right time for developing the C&I and CoC for supporting the forest governance under the global and local market. Thus the C&I and CoC will come to be minimum requirement in auditing for certify the SFM. In the meanwhile the Law of Community Forest was declared in May 2019 and is practicing, C&I and CoC will be keys on supporting the SFM and marketing in Thailand.
2. The output 1 and output 3 were focused on the project developing the C&I and CoC system for national C&I and CoC as standards of performance for SFM. The project had completed developing the 7 criteria and 36 Indicators and CoC system adopted by PSC as the project result and in the process of proposing the RFD to endorse the C&I and CoC as the internal auditing system of RFD.

3. The output 3, the project expected that the C&I and CoC could be endorsed by RFD. The project designed and tested the process of training and the RFD as the internal auditing system of the RFD. According to time limited and personal limited, the project cannot success in endorsing both of C&I and CoC to be national standard performance as planned. But the Project Operation Unit is continuing the proposing to RFD for endorsing the C&I and CoC as national standard.
4. The project output 4, focus on capacity building for stakeholders and RFD facilitation, the C&I and CoC guideline handbook was produced with included the process and method of facilitation on using the C&I and CoC for promotion and extension. Beside the handbook, the Info-graphic media on SFM, C&I and CoC, VDO on Women in SFM and mobile post were produced. All media and material are for training on C&I and CoC as auditing system for SFM certification. The output 4 results are high potential achieve the project objective in C&I and CoC performance and practice.
5. The project output 5 is addition output in achievement the project objective. The project workplan focus on communication for advocate and introduce the C&I and CoC in RFD and public for understanding and implement on forest management and get to the channel on forest utilization and market for rural community livelihood in the near future. The High rang of RFD and extension forester and forest managers are the target of the output5. The project expected that the RFD can be endorsed the C&I and CoC for internal auditing system in RFD. According to time limitation and lack of human resource to continue and follow up with RFD. Anyhow the project operation unit committed to continue to propose to the RFD.

Results and Lessons Learned of project implementation

During 16 months of project implementation, some changed and project activities had been active implemented and some had been shown and completed as results of the project implementation. Such as 8 WGs meeting, 3 stakeholders meeting, PSC and consultation meeting and C&I and CoC were tested in 4 sites in difference part of Thailand. Media production completed and been used such as 3 sets of info graphics on SFM, introduction on C&I and CoC, VDO on Women in Sustainable Forest Management, mobile poster on C&I and CoC and C&I and CoC guideline handbook. Beside the successful and effective results, during the implementation the project

implementation unit also had learned on facing and solving some challenges and difficulty as well. Some effective results and lessons learned as follow as:

4.1 Results of Project Implementation and Management

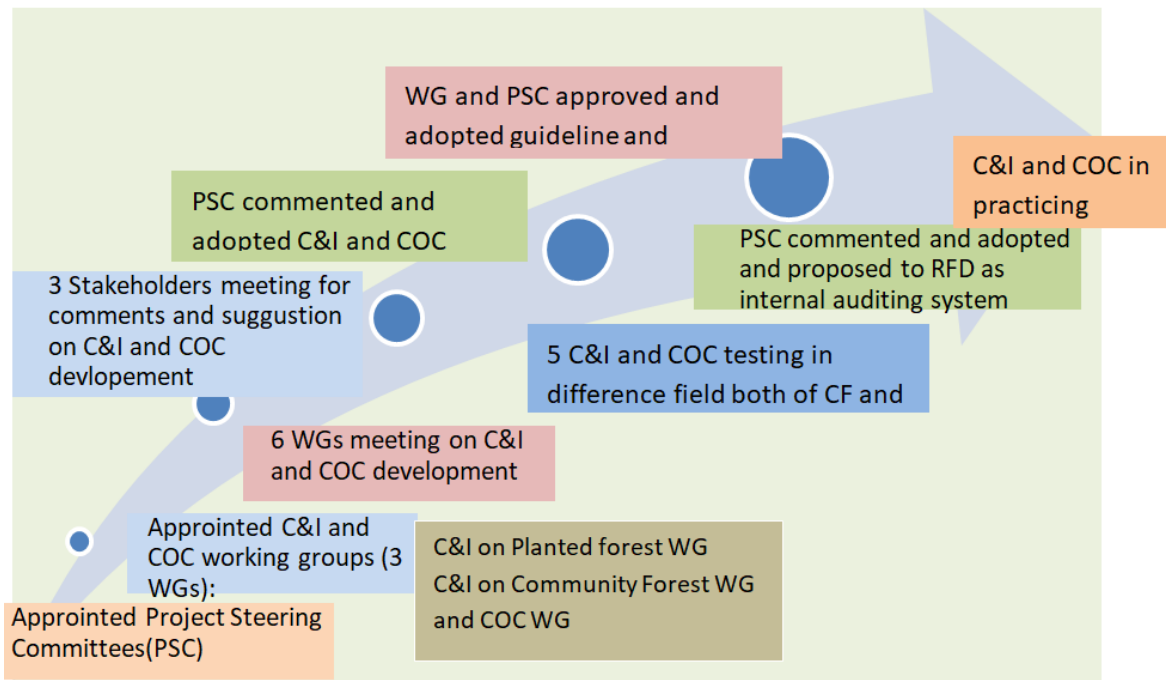
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4.2 Participatory Processing of Project Implementation

Participatory process in develop and implementation: the project implementation concerned and allowed stakeholders involved and participated in the project of C&I and CoC system development. It's effective to communicating and providing information to related stakeholders and public in generation.

Participatory processing of project implementation:

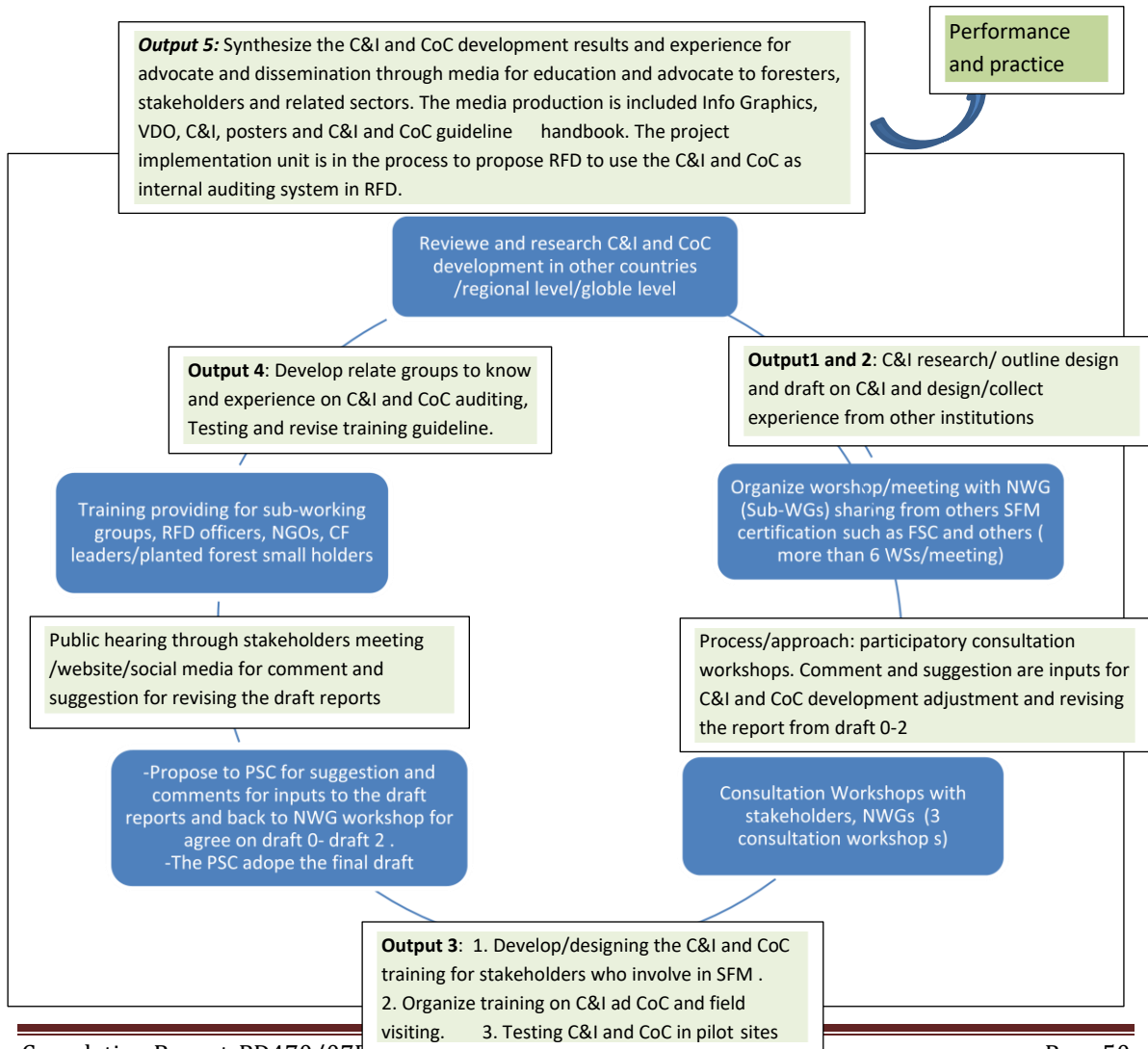


The project Implementation Process under The Project Outputs and Objectives

The national consultants of C&I and CoC development agreed to work together particularly on the NWG workshop/meeting and consultation with stakeholders. Thus the process of research and develop the C&I and CoC always combine in the same workshop. The project had to adjust the sub-activities in each output for more effective in organizing the NWG and sub-working group according to time limitation and most of NGW and Sub-working groups are work load and busy in their duty. In the first, we had to discuss on the process and they agreed to combine both C&I and CoC in the workshop/meeting.

Synthesis of project implementation:

The Relationship of Output 1 to 5 in the Process Cycle of Stakeholder Participation and Capacity Building through the C&I and CoC system.



4.3 Lessons Learned and Challenges on the Project Implementation

The original project designed and agreement signed since 2011 but the project started for few months then the project was inactive and delay in implementing the planned activities after the project started the first few months, due to flooding, the political situation in Thailand and insecurity of officers in RFD. According to unstable of line of command and unsure of authority exercise cause to difficulties to process documents and all formalities and activities implementation. The project operation unit and responsible parties were unable to continue the activities.

The three project extension were proposed and approved by ITTO with agreement of RFD. In the year 2017, the project restarted again and had revised the project implementation plan and budget then the project had stopped for months according to situation of unstable and in-securing of RFD officers and lack of human resource also the project manager resigned, all cause to delay of the project implementation. In the meanwhile the time pass by, thus the project operation unit had recruited for the new project manager and started in January 2018. The project activity and budget plan was revised and adjust again for ensure to complete the project plan.

The lack of project staff, overload work and changing responsibility parties/officers in RFD still are the key critical issue and challenge to project implementation. Long process for activity approval and complicated of procurement system also causes to delay of activity implementation such as delay of organizing meeting and workshop and etc.

5. Financial Report

Project Budget (USD)

Approved Revised Budget (From October 2015 to April 2019)

Total Budget: USD 149,003.14 (Transferred from ITTO)

Total ITTO Budget: USD 149,003.14 (For project activity implementation)

Budget Transferred from ITTO to RFD

31/10/2015 (1 st installment)	USD 65,000.00	2,041,378.70 Baht
26/11/2018 (2 nd and 3 rd installment)		2,749,762.80 Baht
2 nd installment	USD 57,003.14	
3 rd installment	USD 27,000.00	
01/01/2018 -30/04/2019 Expensed	USD 144,301.76	4,619,838.90 Baht
31/08/2018 Total Balanced	USD 4,701.38	171,252.60 Baht

PROJECT CASH FLOW STATEMENT

Project No. No. PD 470/07 Rev.1(F) Period ending on: 30 April 2019
 Development and Implementation of Criteria and Indicators for Sustainable Mangement of Planted Forests and
 Project Title: Community Forests

Component	Reference	Date	Amount		
			in US\$	Local Currency (Baht)	
A. Funds received from ITTO:					
1.	1st Instalment: 6 August 2013	Bank statement	06-Aug-13	\$65,000.00	฿2,041,328.70
2.	Second Instalment	Bank statement	\$43,452.00	\$84,003.14	฿2,749,762.80
3.	Third instalment				
4.	Fourth instalment				
	ETC.				
	Total Funds Received:			\$149,003.14	฿4,791,091.50
B. Expenditures by Executing Agency:					
10.	Project Personnel				
11.10	Project Manager			\$47,500.00	฿1,510,800.00
11.10	Project Coordinator				
11.30	National Experts			\$32,500.00	฿1,031,825.00
12.	Other Personnel (other labour)			\$4,000.00	฿130,284.00
13.	National Consultant (2 project consultants)				
14.	Other Labour				
15.	Fellowships and Training				
16.	International Experts				
19.	Component Total:				
20.	Sub-contracts				
21.	Sub-contract (on Leaflet printing, publication)			\$15,270.56	฿499,500.00
22.	Sub-contract (with B)				
29.	Component Total:				
30.	Duty Travel				
31.	Daily Subsistence Allowance			\$5,932.89	฿192,300.00
32.	Transport Costs			\$15,766.86	฿507,864.90
39.	Component Total:				
40.	Capital Items				
41.	Premises				
42.	Land				
43.	Vehicles				
44.	Capital Equipment				
49.	Component Total:				
50.	Consumable Items				
51.	Raw materials (document paper, C & I and COC document, meeting document)				
52.	Spares				
53.	Utilities				
54.	Office Supplies				
59.	Component Total:				
60.	Miscellaneous				
61.	Sundry (Meeting, Workshop, Training logistic costs)			\$22,108.58	฿707,265.00
62.	Audit cost			\$1,222.87	฿40,000.00
69.	Component Total:				
	Total Expenditures To-date:			\$144,301.76	฿4,619,838.90
	Remaining Balance of Funds (A-B):			\$4,701.38	฿171,252.60
Notes:	(1) Amounts in U.S. dollars are converted using the average rate of exchange when funds were received by the Executing Agency				
	(2) Total Expenditures To-date (in local currency) should be the same as amount shown in Sub-Total of column (C) of the Financial Statement.				

ANNEX 1.

Appointment on Project Steering Committee (PSC), National
Working Group (NWG) and Project Operation Unit

Appointment on Project Steering Committee and project Operation Unit

Memo of RFD on Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests”

1. RFD No. 1668/2560

Appointment of Project Steering Committee for the project on “Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests”

The Project Steering Committee has been appointed under RFD Order No.1668/2560 on 18 July 2017. The component of Project Steering Committee as the following;

- | | |
|--|---------------|
| 1) Deputy Director General of Royal Forest Department
(supervises Planning and Information Technology Bureau) | Chairman |
| 2) Director of Planning and Information Technology Bureau | Vice-chairman |
| 3) Representative of Japan Ambassador to Thailand | Member |
| 4) Representative of ITTO | Member |
| 5) Director General of Department of National Parks, Wildlife
Plant Conservation, or representative | Member |
| 6) Director General of Department of Marine and Coastal Resources,
or representative | Member |
| 7) Director of Forest Industry Organization, or representative | Member |
| 8) Dean of Faculty of Forestry, or representative | Member |
| 9) Director of Center for People and Forests (RECOFTC),
or representative | Member |
| 10) President of Thai Furniture Association, or representative | Member |
| 11) Director General of Siam Forestry Company Limited,
or representative | Member |
| 12) Director of Community Forest Management Bureau | Member |
| 13) Director of Forest Plantation Extension Bureau | Member |
| 14) Director of Forest Research and Development Bureau | Member |
| 15) Director of Forest Protection and Fire Control Bureau | Member |
| 16) Director of Permission Bureau | Member |
| 17) Director of Legal Bureau | Member |
| 18) Director of International Forestry Cooperation Office,
Planning and Information Technology Bureau and Secretary | Member |

- 19) Mr. Preecha Ongprasert, Forestry Technical Officer Professional Level, Community Forest Management Bureau, on temporary duty at Planning and Information Technology Bureau Member & Ass. Secretary
- 20) Mr. Montri Intasen, Forestry Technical Officer Practitioner Level, Forest Resource Management Office 6 (Udonthani), on temporary duty at Planning and Information Technology Bureau Member & Ass. Secretary
- 21) Ms. Rabieb Srikongpan, Forestry Technical Officer Practitioner Level, Forest Resource Management Office 6 (Udonthani), on temporary duty at Planning and Information Technology Bureau Member & Ass. Secretary

Authority and function:

2. Approve the yearly plan of operation.
3. Give recommendations on the project operation to achieve its goal, and resolve any problems or obstacles that show up
4. Supervise the project operation to achieve its goal in development of C&I in sustainable forest management and verification process that appropriates for Thailand

5. RFD No. 1669/2560

Appointment of Project Officers and Working Groups for the project on “Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests”

The Project Officers and Working Groups have been appointed under RFD Order No.1669/2560 on 18 July 2017;

1. Administration and Project Coordination Unit:

- 23) Deputy Director General of Royal Forest Department (Supervises Planning and Information Technology Bureau) Project Director
- 24) Director of Planning and Information Technology Bureau Deputy Project Director
- 25) Director of International Forestry Cooperation Office Deputy Project Director
- 26) Mr. Preecha Ongprasert, Forestry Technical Officer Professional Level, Community Forest Management Bureau, on temporary duty at Planning and Information Technology Bureau Project Coordinator
- 27) Mr. Montri Intasen, Forestry Technical Officer Practitioner Level, Forest Resource Management Office 6 (Udonthani) Assistant project Coordinator
- 28) Ms. Rabieb Srikongpan, Forestry Technical Officer Practitioner Level, Forest Resource Management Office 6 (Udonthani) Assistant Project Coordinator

Authority and Function:

Responsible for project administration and management including budget, control and monitor the project operation, and provide technical advice to project officers to follow the project planning, as well as constantly report results according to the project document.

2. Finance and Accounting Unit:

- Ms.Rabieb Srikongpan, Forestry Technical Officer, Practitioner Level, Forest Resource Management Office 6 (Udonthani), and on temporary duty at Planning and Information Technology Bureau, *as Head of Finance and Budget Unit and Head Procurement Officer*
- Ms.Sasima Ari, Foreign Relations Officer Practitioner Level, Planning and Information Technology Bureau, *as Finance and Budget Officer and Procurement Officer*
- Ms.Monthuda Suthipong, General Administration Officer Practitioner Level, Planning and Information Technology Bureau, *as Procurement Officer*

Authority and Function:

Responsible for producing project financial reports, procurements, and control supplies following the Regulations of the Office of the Prime Minister on Procurement B.E.2535 (1992), and amended in 2002.

3. Project Management Unit:

- 1) Mr.Preecha Ongprasert, Forestry Technical Officer Professional Level, Community Forest Management Bureau, on temporary duty at Planning and Information Technology Bureau, *as Head of Project Management Unit*
- 2) Mr.Montri Intasen, Forestry Technical Officer Practitioner Level, Forest Resource Management Office 6 (Udonthani) and on temporary duty at Planning and Information Technology, *as Bureau Head of Database System Unit*
- 3) Ms.Rabieb Srikongpan, Forestry Technical Officer, Head of Community Unit Practitioner Level, Forest Resource Management Office 6 (Udonthani), and on temporary duty at Planning and Information Technology Bureau, *as Head of as Head of Finance and Budget Unit and Head Procurement Officer*
- 4) Ms.Sasima Ari, Foreign Relations Officer Practitioner Level, Planning and Information Technology Bureau *as Head of Administration Unit*

Authority and Function:

1. Develop project activity planning by conducting preliminary study and analysis, and develop database system for the project site in order to design yearly plan of operation to propose to the Project Steering Committee (PSC).
2. Manage the activities as approved by the PSC.
3. Coordinate with relevant organizations both internal and external of RFD in order to accommodate the project implementation as planned.
4. Produce technical progress reports, project results including problems and obstacles to report to RFD and PSC.
5. Take action on other matters indicated in the project document or other relevant documents.

4. Working Groups comprise of 3 WGs as the following:

4.1 Working Group on Development of C&I for Sustainable Management of Forest Plantation

- | | |
|---|-------------------------|
| 1) Director of Forest Research and Development Bureau | WG Leader |
| 2) Director of Forest Plantation Extension Bureau | Member |
| 3) Representative of Forest Industry Organization | Member |
| 4) Representative of Siam Forestry Company Limited | Member |
| 5) Representative of Faculty of Forestry, Kasetsart University | Member |
| 6) Representative of Center for People and Forests (RECOFTC) | Member |
| 7) Director of Silvicultural Research Division,
Forest Research and Development Bureau | Member |
| 8) Director of Private Reforestation Division,
Forest Plantation Extension Bureau | Member & Secretary |
| 9) Director of Forest Economics Division,
Forest Research and Development Bureau | Member & Ass. Secretary |
| 10) Ms.Rabieb Srikongpan, Forestry Technical Officer,
Practitioner Level, Forest Resource Management Office 6
(Udonthani), and on temporary duty at Planning and Information Technology
Bureau | Member & Ass. Secretary |

Authority and Function:

Responsible for coordination and implementation of activities to enable the project to achieve its planning and objectives, and working in collaboration with project consultants on the following:

1. Develop Criteria and Indicators for sustainable management of forest plantation
2. Design Standard of Performance for sustainable management of forest plantation
3. Test the C&I and Standard of Performance for sustainable management of forest plantation
4. Develop and test audit system for sustainable management of forest plantation
5. Take action on any relevant matters.

4.2 Working Group on Development of C&I for Sustainable Management of Community Forest

- | | |
|---|--------------------------------|
| 1) Director of Community Forest Management Bureau | WG Leader |
| 2) Director of Community Forest Promotion and Management Division, Community Forest Management Bureau | Member |
| 3) Director of Public Participation Promotion Division, Community Forest Management Bureau | Member |
| 4) Director of Forest Biodiversity Division, Forest Research and Development Bureau | Member |
| 5) Representative of Faculty of Forestry, Kasetsart University | Member |
| 6) Representative of Center for People and Forests (RECOFTC) | Member |
| 7) Director of Community Forest Development Division, Community Forest Management Bureau | Member & Secretary |
| 8) Mr.Komsan Rueangritsarakul, Forestry Technical Officer Professional Level, Community Forest Management Bureau, | Member and Assistant Secretary |
| 9) Mr.Montri Intasen, Forestry Technical Officer Practitioner Level, Forest Resource Management Office 6 (Udonthani) and on temporary duty at Planning and Information Technology Bureau, | Member and Assistant Secretary |

Authority and Function:

Responsible for coordination and implementation of activities to enable the project to Achieve its planning and objectives, and working in collaboration with project consultants on the following:

1. Develop Criteria and Indicators for sustainable management of community forest

2. Design Standard of Performance for sustainable management of community forest
3. Test the C&I and Standard of Performance for sustainable management of community forest
4. Develop and test audit system for sustainable management of community forest
5. Take action on any relevant matters.

4.3 Working Group on Timber Tracking or Chain of Custody (COC)

- | | |
|---|-----------------------|
| 1) Director of Pemiission Bureau | WG Leader |
| 2) Director of Wood and Forest Products Development Division,
Forest Research and Development Bureau | Member |
| 3) Director of Forest Economics Division,
Forest Research and Development Bureau | Member |
| 4) Director of Private Reforestation Division,
Forest Plantation Extension Bureau | Member |
| 5) Director of Forest Certification Division,
Permission Bureau | Member & Secretary |
| 6) Director of Forest Check-point Division,
Forest Protection and Fire Control Bureau | Member& Ass.Secretary |
| 7) Ms.Sasima Ari, Foreign Relations Officer Practitioner Level,
Planning and Information Technology Bureau | Member& Ass.Secretary |

Authority and Function:

Responsible for coordination and implementation of activities to enable the project to Achieve its planning and objectives, and working in collaboration with project consultants on the following:

1. Develop timber tracking or Chain of Custody (COC)
2. Develop and test audit system for timber tracking or Chain of Custody (COC)
3. Produce an operational guideline
4. Take action on any relevant matters.

6. RFD No.1670/2560

RFD Order No.1670/2560 on 18 July 2560 to Authorize the Officer to Work on behalf of Director General for the project on “Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests”

This RFD order authorizes the Deputy Director General (who supervises Planning and Information Technology Bureau), as a Project Director to obtain detailed authority as following;

1. Each purchasing or hiring by all means should not exceeding 1,500,000 Baht (One Million and Five Hundred Thousand Baht Only)
2. Hiring project consultant, each contract should not exceeding 1,500,000 Baht (One Million and Five Hundred Thousand Baht Only)
3. Hiring for designing or directing works, each contract should not exceeding 1,500,000 Baht (One Million and Five Hundred Thousand Baht Only)
4. Order to procure under section 2 of Regulations of the Office of the Prime Minister on Procurement B.E.2535 (1992), and amendment to exempt the exchange and penalizing contractors who abandon the work, under the authorized amount and following;
 - 4.1 Sign in contract or agreement
 - 4.2 Revise the contract or agreement
 - 4.3 Extending the contract or agreement
 - 4.4 Approve to refrain or reduce the fine
 - 4.5 Appoint the procurement officers and head procurement officer
 - 4.6 Approve other matters related to procurement
5. Approve each payment not exceeding 1,500,000 Baht (One Million and Five Hundred Thousand Baht Only)
6. Approve money lending to operate the work as planned
7. Approve payments to organize events following the letter of the Comptroller General's Department at GorKor 0409.6/vor95 on 2 October 2549 subjecting the regulations of Ministry of Finance on expenses for training, event, and international conference B.E.2549 and letter of the Comptroller General's Department very urgent at GorKor 0406.4/vor413 on 12 October 2555 subjecting the regulations of Ministry of Finance on expenses for training, event, and international conference (3rd document) B.E.2555
8. Approve matters under the letter of the Comptroller General's Department very urgent at GorKor 0406.4/vor322 on 8 September 2553 subjecting the regulations of Ministry of Finance for budget advance of government's administration B.E.2553
9. Approve the budget payments under the letter of Ministry of Finance very urgent at GorKor 0526.7/vor112 on 9 October 2543
10. Produce the prove documents for domestic air fares following item 2 (2.4.2) under the letter of the Comptroller General's Department very urgent at GorKor 0408.6/vor101 on 9 September 2547
11. Approve for organizing seminar following the project plan

12. The authorized officer will control and responsible all procurements under the project or acquired by the project. Under RFD should follow the Regulations of the Office of the Prime Minister on Procurement B.E.2535 (1992), and the amendment on section 3 on related to controlling and transferring. In addition, all new equipment to be reported with the list of information as stated in gor.vor.por.'s examples in the last part of the regulations.

13. Approve officers, permanent employees, and government employees under the project to travel in order to operate the project, following the letters of the Prime Minister Office on approval for travel and organize government's meeting B.E.2524

Under this order, if the Deputy Director General (who supervises Planning and Information Technology Bureau) as a Project Director could not take the duties, then the Director of Planning and Information Technology Bureau as Deputy Project Director, Director of International Forestry Cooperation Office, Planning and Information Technology Bureau as Deputy Project Director, and Mr.Preecha Ongprasert as Project Coordinator shall be acting on the duties indicated in this order accordingly.

ANNEX 2

Project Budget Plan September 2017- December 2018 and January –April 2019

Project No: PD 470/07 Rev.1 (F))

Project Title: Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests

The 2nd project budget revision from September 2017-February 2019

16 November 2018

Outputs/Activities	Code	Quantity	Inputs	No.	Unit	Unit Cost	Subtotal p.a.	Year 1	Source		Total USD	Budget modification
									ITTO	RFD		
Output 1 National C&I and standards of performance for SFM developed												
Activity 1.1 Establishment of National C&I Committee (NCIC).	10.11	1	Project Manager	17	m/m	2,500	2,500	42,500	42,500		42,500	Changed PM and had to pay the former PM and 2 months extended
	12.2	1	Financial Assistant	2	m/m	600	600	1,200	1,200		1,200	Temporarily hire local staff for assisting project financial assistant
		1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	RFD responsibility on the Project Co salary
Activity 1.2 Establishment of National Working Group (NWG) and Sub-groups (SG) on community forests and plantations.	60.61	3	PTC and PSC Meeting logistic costs	3	lump sum	400	400	1,200	1,200		1,200	Most of meeting be organized at RFD office and no DSA for PSC
	11.1	1	Project Coordinator	0.5	m/m	1,400	700	700		700	700	RFD responsibility on the Project Co salary
Activity 1.3 Elaboration of the first draft of C&I/SOP for community forests and planted forests.	10.13	1	National Consultant C&I	1	m/m	2,500	2,500	2,500	2,500		2,500	The same contract and the same budget
	10.13	1	National Consultant C&I	1	m/m	2,500	2,500	2,500	2,500		2,500	The same contract and the same budget
	60.61	1	Workshop logistic cost	1	lumpsum	400	400	400	400		400	Cost might be slidly change and will intergate to the code 60.61
	30.31	1	Lunch and coffee break	15	lumpsum	400	400	400	400		400	based on standard of RFD and standard payment
	30.33	1	Travel cost for participants	15	m/meeting	40	600	600	600		600	Based on RFD and standard of project payment. RFD staffs will be not pay
Activity 1.4 Elaboration of second drafts of C&I/SOP.	10.13	1	National Consultant (C&I)	1	m/m	2,500	2,500	2,500	2,500		2,500	
	60.61	2	Workshop logistic costs	1	lump sum	400	400	800	800		800	
	30.33	2	Travel cost for participants and consultant	20	lump sum	400	400	800	800		800	Base on RFD and standard of payment
	30.31	2	Lunch for participants and consultants (Lunch)	20	Lump su	600	600	1,200	1,200		1,200	Based on RFD and standard of project payment
	10.11	1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	

Activity 1.5 Public consultation on second drafts through communication.	10.13	1	National Consultant C&I	1	m/m	2,500	2,500	2,500	2,500		2,500	
	30.33	1	Communication costs	1	lump sum	600	600	600	600		600	Adjusted base on situation and RFD standard
Activity 1.6 National workshop on the second draft of C&I/SOP.	10.11	1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	
	10.13	1	National Consultant C&I	1	m/m	2,500	2,500	2,500	2,500		2,500	
	60.61	1	workshop logistic cost	1	lump sum	600	600	600	600		600	
	30.31		DSA and food	1	lump sum	600	600	600	600		600	
	30.33	1	Tranportation &Accom for participants	15	m/day	40	600	600	600		600	Adjusted base on situation and RFD standard (10 participants from outside RFD)
Activity 1.7 Elaboration of the final draft C&I/SOP.	60.61	1	Workshop logistic costs	1	lump sum	1,000	1,000	1,000	1,000		1,000	
	10.13	1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	
	10.13	1	National Consultant C&I	0.5	m/m	2,500	2,500	1,250	1,250		1,250	
Activity 1.8 Adoption of the national C&I/SOP by the NWG and the National C&I Committee.	10.13	1	National Consultant C&I	0.5	m/m	2,500	2,500	1,250	1,250		1,250	
	60.61	1	Meeting logistic costs	1	lump sum	400	400	400	400		400	
	30.33	1	transportation and food	20	m/day	40	800	800	800		800	Adjusted base on situation and RFD standard
	10.11	1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	
	20.21	1	Leaflet printing, Publication	1	lump sum	5,500	5,500	5,500	5,500		5,500	Will complete in beginning in February 2019
	20.21	1	Dissemination	1	lump sum		500	500	500		500	Will be base on RFD standard
			Sub-Total					82,400	74,700	7700	82,400	
Output 2 National tracking/COC system developed and tested.												
Activity 2.1 Review of legal requirements and national/international experience on tracking/COC.	10.13	1	National Consultant COC	0.5	m/m	2,500	1,250	1,250	1,250		1,250	
Activity 2.2 Elaboration of system elements.	10.13	1	National Consultant COC	0.5	m/m	2,500	1,250	1,250	1,250		1,250	
	10.11	2	National expert	1	m/m	1,400	2,800	2,800		2,800	2,800	

Activity 2.3 Pilot testing by FIO	10.13	1	National Consultant COC	0.5	m/m	2,500	1,250	1,250	1,250		1,250	
	10.11	1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	
	10.11	4	National expert	1	m/m	1,200	4,800	4,800		4,800	4,800	
	30.33	2	Travel cost national consultants and WG representatives	8	lump sum	120	960	1,920	1,920		1,920	Adjusted base on RFD standard and project standard of payment
	30.33	2	Workshop logistic and food for participants	30	lump sum	600	600	1,200	1,200		1,200	
	30.31	2	DSA National Consultant	10	days	40	400	800	800		800	Adjusted base on RFD standard and project standard of payment
	30.31	2	DSA national experts	10	days	40	400	800		800	800	Adjusted base on RFD standard and project standard of payment
Activity 2.4 Analysis of pilot test results and finalization of system description.	10.13	1	National Consultant COC	0.5	m/m	2,500	1,250	1,250	1,250		1,250	
Activity 2.5	60.61	1	Meeting logistic costs	1	lump sum	400	400	400	400		400	
	10.11	1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	
			Sub-Total					20,520	9,320	11200	20,520	
Output 3 Auditing system for C&I/standard of performance and COC/timber tracking												
Activity 3.1 Review of ITTO and other reference guidelines for auditing of SFM and COC/tracking	10.13	1	National Consultant COC	1	m/m	2,500	2,500	2,500	2,500		2,500	
Activity 3.2 Elaborating of draft audit guideline for SFM	10.13	1	National Consultant C&I	1	m/m	2,500	2,500	2,500	2,500		2,500	
Activity 3.3 Elaborating of draft guideline for COC/tracking	10.13	1	National Consultant COC	0.5	m/m	2,500	1,250	1,250	1,250		1,250	
Activity 3.4 Adoption by the National C&I Committee	60.61	1	Meeting logistic costs	1	lump sum	400	400	400	400		400	
	30.33	1	transportation and food	15	m/day	40	600	600	600		600	
	10.11	1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	
			Sub-Total					8,650	7,250	1,400	8,650	
Output 4 Personnel trained on auditing of C&I/standard of performance and COC												
Activity 4.1 Elaboration of training packages for auditing of SFM and COC/training for related stakeholders	10.13	1	National Consultant COC	1	m/m	2,500	2,500	2,500	2,500		2,500	

Activity 4.2 Revision Workshop on auditing of SFM and COC with WG and training packages	60.61	1	Workshop logistic costs	1	lump sum	600	600	600	600		600	The workshop will be in Bangkok
	30.33	1	Travel cost participants	15	m/trip	40	600	600	600		600	
	10.11.1	1	Project Coordinator	1	m/m	1,400	1,400	1,400		1,400	1,400	
	30.31.1	1	DSA for participants	15	days	40	600	600	600		600	
	10.13	1	National Consultant C&I	1	m/m	2,500	2,500	2,500	2,500		2,500	
Activity 4.4 Training course for personnel prepared to be auditors of SFM and COC	60.61	1	Training course logistic costs	1	lump sum	1,000	1,000	1,000	1,000		1,000	
	30.33.1	1	Travel cost participants	30	m/trip	80	2,400	2,400	2,400		2,400	
	30.31.1	1	DSA for participants	60	days	40	2,400	2,400	2,400		2,400	
	10.13	1	National Consultant COC	0.5	m/m	2,500	1,250	1,250	1,250		1,250	
	60.62	1	Audit cost	1	lump sum	2,000	2,000	2,000	2,000		2,000	
	10.15.1	1	Study trip to for C&I and COC	6	m	1,196	1,196	7,175	7,175		7,175	Trip to Japan for learning on C&I and COC
Sub -total								27,225	23,025	4200	27,225	
Sub-Total ITTO								114,295	114,295		114,295	
Subtotal RFD								24,700		24,700	24,700	
Subtotal								138,995			138,995	
ITTO M&R								5,000			5,000	
Ex-post evaluation												
ITTO Program Support costs (8%)								11,119			11,119	
TOTAL								155,114			155,114	
ITTO Contribution								130,414			130,414	
RFD								24,700			24,700	

Remark:

1. The budget from ITTO for activities is the same as earlier
2. The RFD budget less than the 2017 because of the national expert DSA and transportation
3. Total contribution from ITTO is the same amount of the budget 2017 (Sub total 114.295 USD)

2.2 Project budget plan Period 2: From January-April 2019

Output 5: C&I and COC endorsed by RFD as internal auditing syst										
	Activities	Code	Quantity	Inputs	No.	Unit	Source		Total USD	Budget modification
							ITTO	RFD		
	5.1 C&I and COC introduced in the RFD and public									
A.5.1	guideline booklets (1set included 2 booklets: C&I for community forest, C&I for planted forest and COC)	20.21	1,000/ topic	Booklets printing : 2 booklets, 1,000 books/title)	2	2,000	4,000		4,000	2 booklets will be printed as training package with included C&I and COC training package
	5.1.2 Produce short DVO on SFM and C&I and COC (3 infor graphics: Introducing of C&I, COC, Climate change and SFM and 1 VDO on gender& SFM) and Mobile posters	20.21	3 topics	Outsources on inf	3	2,200	6,600		6,600	By discussed with producer, 1 topic and 1 minute is 2,200USD
		20.21	2 pieces	Outsources on mo	2	400	800		800	400USD/ mobile poster with included SFM and introduction on C&I and COC
		20.21	1 story	Out source VDO	1	4,000	4,000		4,000	VDO on gender and SFM, will film in the eastern forest community
A.5.2	5.2 Strengthening PSC/PTC and WG									
	5.2.1 Meeting and workshop on preparing RFD endorsing the C&I and COC (2PSC meeting, 1 C&I and COC training workshop and project closing)	60.61	20 per/ meeting	Logic cost (food and etc) for PSC meeting	2	150	300		300	Half day meeting, coffee break and lunch in RFD
		30.33	5 per/ meeting	Transportation (PSC meeting)	2	150	300		300	Only some PSC members transportation
	5.2.2 PSC meeting and 1 NWG meeting(workshop) on C&I and COC training guideline package	60.61	30per/ meeting	Logistic for NWG workshop (food and others)	1	600	600		600	WS will be organize outside RFD and whold day meeting
		30.33.1	10per	Transporttation	1	200	200		200	Only some participant' transportation

5.2.3 C&I and COC training workshop for RFD officers (4	60.61	25per/meeting	Logistic	25p	30	750	750	Included document, training metirial and others
	30.31.3		Food and accommodation	25	100	2,500	2,500	The training will be at RFD and the field
	30.33.1		Transportation	25	50	1,250	1,250	Transportation of participants from provinces and go to the field
	10.15	2 trainers	trainers and facilitators	2	1200	2,400	2,400	2 trainers, 1 speaker and facilitation assistant
5.2.4 Project closing ceremony (80 participants)	30.31	80	Logistic, transportation,	80	40	3,200	3,200	The closing ceremony will be organize at RFD meeting hall and participants are
	30.32		Transportation and others for Dr. MA	1	1,042	1,042	1,042	Dr. MA will be invited
5.2.5 Study tour on C&I and COC for key persons in RFD (organize study tour on C&I and COC in Japan for RFD key persons who involve in C&I and COC in practising and endorsement)	30.32	10	Air ticket,	10	700	7,000	7,000	10 RFD decision makers are participants. The names of participants will be selected by the DG and deputy DG.
	30.32	10	Local transportation	10	170	1,700	1,700	
	30.31	10	participants in 4 days	10	260	2,600	2,600	65 USD/days/person
	60.61		Coordination and communication		400	400	400	
	30.31.1	10	Accommodation for 3 nights	10	300	3,000	3,000	95 USD/night
A.5.3	<i>Pilot site for C&I and COC demonstration</i>							
5.3.1 Develop Forest management in practice through C&I tool (provide training on forest management planning, baseline survey, transportation and others) in 3 communities	10.15	3	Facilitator fee for 5 days/ community in 3	15	300	900	900	60\$/day
	30.32	3	transportation	3 con	200	600	600	3 communities will be selected from northeast, eastern forest and northern. 2 of them are CFs and one is planted forest. The project will use the C&I tool for CF and planted forest to develop FM planning and basedline data and others.

5.3.2 COC practice in the pilot site (facilitator fee for preparing document, on forest product, others)	10.15	1	facilitator fee	1	350	350		350		
	30.33	1	for facilitator	1	200	200		200		
	30.31	1	DSA for facilitator	2	35	70		70		
5.3.3 Monitoring and mentoring	30.33	3	Transportation for project team	3	350	1,050		1,050	PM and national expert and project team will visit for monitoring and mentoring the pilot sites.	
	30.31	3	accommodation for PM and	11	66	726		726		
Sub Total								47,138	47138	
<i>Management and administration</i>	10.11	1	Project Manager	8	2,500	20,000		20,000	payment started from Sseptember 2018 to April 2019	
		1	Project Coordinat	4			5,600	5,600	RFD responsibility	
		1	National Expert	1			1,200	5,600	RFD responsibility	
	12.12.1	1	Project Manager	4	600	2,400		2,400	Started form Janury to April 2019	
	12.12.2	1	Financial and accounting Ass.				1,600	1,600	started from October 2018 to April 2019	
	60.62	1	Auditor				1,200	1,200	Total payment	
	10.13.1	1	C&I consultant	4	2,500	10,000		10,000	started from October 2018 and the last payment will be after the training package completed	
	10.13.2	1	COC consultant	1	2,500	2,500		2,500	Only one installment left and will pay after the training package completed	
	Sub Total								37,700	6800
								84,838		
Total budget support by ITTO 84,003 (install 2nd and 3rd +budget remianed)								84,832.25	Received budget from ITTO 84,003.14 USD and budget remained from year 2018 =829 USD	
Total budget support by RFD								6,800		

ANNEX 3
List of meetings and Workshops during
The January 2018- April 2019

Project No. PD 470/07 Rev. 1 (F)**Project Title:** Development and Implementation of Criteria and Indicators of Sustainable

Management of Planted Forests and Community Forests

List of meetings and Workshops during the January 2018- April 2019

Date/ Month	Meetings/ Workshops	No. Participants	Remarks
23 January 2018	Meeting with RFD representative of the PD 470/07 Rev.1(F) for understanding on the project concept and background	3	To clarification and made understanding on the project and planning to the Project Manager.
5 Feb. 2018	Meeting with the 3 national consultants for introduction and planning. (Dr. Nikhom, Dr. Suthep and Dr. Surin)	4	To discuss on the project plan and project activity revision.
12 March 2018	Official project team meeting (part of PSC, national working group, National Consultants, and Dr. Ma)	9	To introduce the new Project Manager and meeting with Dr. MA
13 March 2018	National working group (NWG) and stakeholders meeting, to restart the project implementation and make presentation on project implementation plan. Dr. MA attended the meeting.	29	According to delay on the project implementation and the project had been stopped because of no project manager. When the project would be started again, the meeting had introduced and made presentation on the new plan and process of implementation.
30 March 2018	Project team meeting: monitoring and follow up the project implementation	6	According all RFD officers were busy and hard to monitor the project implementation. PM invited project team to discuss on how and plan for the project implementation
9 , 30 April 2018	Meeting with National consultant on C&I and COC meeting preparation and implementation plan	5	Meeting with National Consultants on planning and challenges and collaboration with RFD.
2 May 2018	1/2018 PSC meeting: Official PSC meeting with included NWG members, National Consultants and project team.	More than 30	The 1 st PSC meeting, the RFD deputy DG opened the meeting and responded to all participants. The project objectives and outputs were

			revised for realistic activities and able to implement such as the national committee will be not appointed until the C&I and COC completed and submit to the RFD for applying and utilizing will be designed. Thus the project aim to complete the C&I and COC and submission to RFD then the RFD will design for the next.
31 May 2018	Meeting with National Consultants	4	The consultants and PM discussed on the activities and plan and clarified and made understanding on the meeting results in order to enable to continue the project implementation. Also prepared the 1 NWG meeting.
26 June 2018	1 st Official National Working Group Meeting.	29	Invited all NWG both of COC and C&I for discussion and clarified roles and duty of the NWG. The NWG proposed some steps and method of the NWG workshop. Also planning was proposed and next meeting will be taken place soon.
7 August 2018	2 nd NWG –COC workshop: Presentation on the 0 draft of COC and the draft revision discussion among WG members for the 1 st draft	15	The NWG-COC workshop concluded the NWG members and consultants team. Took some time for clarification on roles and duty of the NWG. The discussion was focus on the COC process and revising the draft 0 and adjusted to the draft1. The consultants made clear and responded all questions and planned together for the next workshop.
20 August 2018	3 rd NWG -COC workshop on the 1 st draft and discussion for improving and make the 2 nd draft. And discussion on selection of the represent of stakeholder for the reflection of the C&I and COC development	15	The NWG –COC workshop focused on the draft 1 and developed the draft 2 with discussion on unclear of process and indicators. The participants had discussed for planned on the stakeholders meeting and proposed the key stakeholders who should participate the

			stakeholders workshop on the 11 September
21 August 2018	4 th NWG –C&I workshop. The workshop discussion on the 0 draft of C&I criteria and indicators, revision the draft for develop for the 1 st draft. C&I NWG included representative from RFD, NWG members, consultants, project team.	20	C&I NWG workshop on the 1 st draft of C&I, the NWG discussed, revised and adjusted the 1 st draft for the 2 nd draft. It took some time for clarification on the roles of the NWG and made understanding of the C&I objectives and process of proposing to the RFD.
27 August 2018	5 th NWG-C&I workshop. The NWG worked on the adjusting the 1 st draft for developing the 2 nd draft and preparing the stakeholders meeting on the C&I and CoC development. The workshop included consultants, RFD representatives, NWG members and project team.	20	C&I NWG workshop on the 2 nd draft and had discussion on preparing the stakeholder workshop on the 11 September on the numbers of stakeholders who related to C&I, category of representatives from each sectors.
3 Sep 2018	Meeting and consulted with Mr. Sapol and team on the project implementation and management	4	Internal meeting on management and project implementation
11 Sep 2018	CoC and C&I Working Group Meeting and consultation with the national consultants	25	Continuing meeting on the CoC development with WG members. In the morning focused on C&I and in the afternoon was CoC
10-12 Oct 2018	Test on C&I and CoC development with CF and community members in Mae Tha Sub-district, Chiang Mai	40+	The pre training was test the C&I and CoC can be practice in the community level and small holders. The CF members were interested and many questions were raised. The national consultants learned and got more information for adjust the C&I and CoC
18-20 Oct 2018	Test on C&I and CoC development with CF and planted forest small holders in Santisuk, Nan	35	The C&I and CoC development results were tested and consultation with participants. Some problems on small holders were raised. Mr. Suchat provided training on Trek management to them.
19-20 Nov 2018	PSC and WG with ITTO meeting and site visiting in Kanchanaburi.	40+	The meeting was included PSC, WG and few of stakeholders.

	11 Nov, meeting at RFD 12 Nov, working in the FIO site in Kanchanaburi		The national consultants made presentation on the C&I and CoC draft report and many suggestions from the participants for adjusting the draft report. The 12, the PSC and Dr. MA visited the site of FIO and SCG in Kanchanaburi on the timber tracking.
11-14 Dec 2018	4 day training on C&I and CoC Introduction for multi stakeholders with included RFD officers, business sectors, NGOs and CF leaders.	30+	Day 1-2, information provided and knowledge on SFM Day 2 -4, traveled to the Srakaew and Chachangsao for sites visiting and training on C&I and CoC in implementation. Mr. Suchat and Mr. Sapol joined the group in the field. Many suggestions from participants.
19 Dec 2018	Project team meeting and preparing for the PSC meeting on the 21December.	5	The internal meeting was organized for follow up and preparing the PSC meeting.
21 Dec 2018	The Urgent PSC meeting on the approval of the project extended for next 4 months.	15	According to the project team agreed to extend the project then some activities can be support the project objectives. The PSC agreed to continue the project till to April 2018.
15 Jan 2019	The project team meeting	5	To inform about the project extended and activity plan with included budget plan.
21 Jan 2019	Meeting with media production house on producing some media such as Info Graphic and VDO	3	Discussion on the project needs and objectives on the production. Shared some thought on media production and asked them to work for the project.
4 Feb 2018	Meeting with Mr. Suchat on project supporting	2	Discussion on the project implementation and plan with included media production
11 Feb 2019	Meeting with RFD technician on filming and VDO making	3	Discussion on preparing VDO film and contend but the RFD technician cannot support because on difference office and they had too much work.

25-26 Feb 2019	Visiting and testing the C&I in the process of C&I promotion in Kanchanaburi province	28	Coordinated with NGO and CF leaders on the objectives of site visit and meeting with CF in Tha Kradan. We used C&I guideline for promoting the CF planning and forest inventory. The CF members agreed that they will continue and work on forest inventory for rechecking the forest situation and use for CF management planning.
27-28 Feb 2019	Visiting and testing the C&I in the process of C&I promotion in Udonthani province	24	Coordinated with RFD officer and CF leaders on the objectives of site visit and meeting with CF in Udonthani. We used C&I guideline to examine the CF situation and CF leaders found out that they need to review their CF management plan.
3-4 March 2019	CoC system testing and training	15	Meeting with planted forest small holders to inform about the visiting and objectives. The discussion was helpful and useful for small- holders, moreover the Teak trading was discussed and negotiated.
6 March 2019	The Working Group of C&I and CoC workshop for finalizing the C&I and CoC development report	25	The WG of C&I and CoC involved and discussed on the final draft report and provided some suggestion and approved the report which will be used for C&I and CoC handbook.
11 March 2019	Last PSC meeting for approval the C&I and CoC development and preparing the closing event	25	The PSC agreed and approved that the final draft C&I and CoC development report. The C&I and CoC report editing was developed as the C&I and CoC handbook for related stakeholders and published for public. Remarks: The meeting report was attached on the (Annex 5)
12-13 March 2019	Visiting and meeting with CF and women group on roles of women in SFM. Filming on Women in SFM finished.	10	Visiting some CF leaders for interviewing on roles of women in Bann Thung Yao CF.
17-21 March	Thai Royal Forest Department Study Tour to Japan for C&I for	10	10 key persons of RFD delegation joined the group for

2019	Sustainable Forest Management.		gaining experience and knowledge on C&I and CoC in Japan. Remark: The trip report was attached on the Annex 6
9 April 2019	Project Meeting on preparing the training and Closing ceremony	7-8	Internal meeting with the director of Office Planning on the schedule of training with would provide to 110 RFD officers and as well as on the closing ceremony on the 26 April 2019.
22 April 2019	The Introduction of C&I and CoC training for RFD Officers and related. The training taken place at Maruay Garden Hotel,	110	The participants from difference offices and related offices in RFD. The one day training, the consultants and knowledgeable on economy forest and certification were made presentation and shared their experiences through panel discussion.
26 April 2019	Project Closing Ceremony (official project closing), the event was organized like workshop with included panelist discussion, sharing and proposing for next future. The C&I and CoC development result was presented through Info-graphic, VDO, Mobile backdrop and handbook on using C&I and CoC. The event was taken place at Maruay Garden Hotel.	90	As planned, 80 participants joined the meeting but about 10 more participants attended. Participation from varies-multi-stakeholders with included RFD officers, other sectors, academics, planted forest holders, cooperative forest planted, NGOs, community forest leaders, local government and others. Remark: The report was attached on the Annex 5
8 May 2019	Working Group Meeting on process the C&I and CoC to RFD	10	Meeting participants from difference units and discussion was focusing on how to process to RFD.

ANNEX 4
Project Financial Report
January 2018-April 2019

PROJECT CASH FLOW STATEMENT

Project No. No. PD 470/07 Rev.1(F) Period ending on: 30 April 2019
 Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and
 Project Title: Community Forests

Component	Reference	Date	Amount		
			in US\$	Local Currency (Baht)	
A. Funds received from ITTO:					
1.	1st Installment: 6 August 2013	Bank statement	06-Aug-13	\$65,000.00	฿2,041,328.70
2.	Second Installment	Bank statement	\$43,452.00	\$84,003.14	฿2,749,762.80
3.	Third installment				
4.	Fourth installment				
	ETC.				
	Total Funds Received:			\$149,003.14	฿4,791,091.50
B. Expenditures by Executing Agency:					
10.	Project Personnel				
11.10	Project Manager			\$47,500.00	฿1,510,800.00
11.10	Project Coordinator				
11.30	National Experts			\$32,500.00	฿1,031,825.00
12.	Other Personnel (other labour)			\$4,000.00	฿130,284.00
13.	National Consultant (2 project consultants)				
14.	Other Labour				
15.	Fellowships and Training				
16.	International Experts				
19.	Component Total:				
20.	Sub-contracts				
21.	Sub-contract (on Leaflet printing, publication)			\$15,270.56	฿499,500.00
22.	Sub-contract (with B)				
29.	Component Total:				
30.	Duty Travel				
31.	Daily Subsistence Allowance			\$5,932.89	฿192,300.00
32.	Transport Costs			\$15,766.86	฿507,864.90
39.	Component Total:				
40.	Capital Items				
41.	Premises				
42.	Land				
43.	Vehicles				
44.	Capital Equipment				
49.	Component Total:				
50.	Consumable Items				
51.	Raw materials (document paper, C & I and COC document, meeting document)				
52.	Spares				
53.	Utilities				
54.	Office Supplies				
59.	Component Total:				
60.	Miscellaneous				
61.	Sundry (Meeting, Workshop, Training logistic costs)			\$22,108.58	฿707,265.00
62.	Audit cost			\$1,222.87	฿40,000.00
69.	Component Total:				
	Total Expenditures To-date:			\$144,301.76	฿4,619,838.90
	Remaining Balance of Funds (A-B):			\$4,701.38	฿171,252.60
Notes:	(1) Amounts in U.S. dollars are converted using the average rate of exchange when funds were received by the Executing Agency				
	(2) Total Expenditures To-date (in local currency) should be the same as amount shown in Sub-Total of column (C) of the Financial Statement.				

PROJECT FINANCIAL STATEMENT						
(in United States dollar)						
Project No.	No. PD 470/07 Rev.1(F)	Period ending on: 30 April 2019				
Project Title:	Development and Implementation of Criteria and Indicators for Sustainable Mangement of Planted Forests and Community Forests					
	Component	Approved Amount (A)	Expenditures To-date			Unexpended Amount (E) { A - D }
			Committed (B)	Expended (C)	Total (D) { B + C }	
I. Funds managed by Executing Agency						
10.	Project Personnel					
11.	National Experts (Project Manager)	\$35,000.00		\$47,500.00	\$47,500.00	(\$12,500.00)
12.	Other Personnel (Assistant and other labour)	\$6,000.00		\$4,000.00	\$4,000.00	\$2,000.00
13.	Consultants (2 project consultants)	\$32,500.00		\$32,500.00	\$32,500.00	\$0.00
14.	Other Labour				\$0.00	\$0.00
15.	Fellowships and Training				\$0.00	\$0.00
16.	International Experts				\$0.00	\$0.00
19.	Component Total:	\$73,500.00	\$0.00	\$84,000.00	\$84,000.00	(\$10,500.00)
20.	Sub-contracts					
21.	Sub-contract (leaflet printing, publication)	\$6,000.00		\$15,270.56	\$15,270.56	(\$9,270.56)
22.	Sub-contract (No. 2xx, etc.)				\$0.00	\$0.00
29.	Component Total:	\$6,000.00	\$0.00	\$15,270.56	\$15,270.56	(\$9,270.56)
30.	Duty Travel					
31.	Daily Subsistence Allowance	\$7,500.00		\$5,932.89	\$5,932.89	\$1,567.11
32.	Transport Costs	\$15,450.00		\$15,766.86	\$15,766.86	(\$316.86)
39.	Component Total:	\$22,950.00	\$0.00	\$21,699.75	\$21,699.75	\$1,250.25
40.	Capital Items					
41.	Premises				\$0.00	\$0.00
42.	Land				\$0.00	\$0.00
43.	Vehicles				\$0.00	\$0.00
44.	Capital Equipment				\$0.00	\$0.00
49.	Component Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
50.	Consumable Items					
51.	Raw materials				\$0.00	\$0.00
52.	Spares				\$0.00	\$0.00
53.	Utilities				\$0.00	\$0.00
54.	Office Supplies				\$0.00	\$0.00
59.	Component Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
60.	Miscellaneous					
61.	Sundry (workshop, meeting and training logistics, food, documents, etc.)	\$8,345.00		\$22,108.58	\$22,108.58	(\$13,763.58)
62.	Audit	\$3,500.00		\$1,222.87	\$1,222.87	\$2,277.13
69.	Component Total:	\$11,845.00	\$0.00	\$23,331.45	\$23,331.45	(\$11,486.45)
	Sub-Total:	\$114,295.00	\$0.00	\$144,301.76	\$144,301.76	(\$30,006.76)
II. Funds retained by ITTO						
70.	Miscellaneous					a/
71.	Sundry					a/
72.	Refund of Pre-Project Costs					a/
73.	Ex-Post Evaluation					a/
74.	Contingencies					a/
79.	Component Total:					a/
80.	ITTO Monitoring & Administration					a/
81.	Monitoring and Evaluation					a/
82.	Administrative/Programme Support					a/
89.	Component Total:					a/
	Sub-Total:		-	-	-	a/
99.	GRAND TOTAL:					

ANNEX 5

Meeting Report and Others

The Meeting of the Project Technical Committee (the 1st/2018)

ITTO Project PO 470/07 Rev. 1

Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests

12 March 2018, 13.30-15.30 PM.

Royal Forest Department, Bangkok-THAILAND

Item 1: Opening of the Meeting (by the Deputy of DG/RFD or representative)

Mr. Suchat Kalyawongsa, Director of Planning and Information Technology Bureau, the chair of the meeting on behalf of the DG welcomed to all meeting participants particularly Dr. Ma Dr.Ma Hwan-ok, The representative of ITTO.

-Mr. Suchat mentioned that the project was approved long time ago and RFD has long relationship with ITTO more than 10 years ago so that why ITTO still allow RFD to continue to implement and complete the project of C&I development. It's good opportunity for RFD that ITTO understand and be patient with RFD on the situation and still supporting RFD till present.

- According to the short time calling meeting, some of PTC members could not attend this meeting. Thus next meeting should be well preparing.

Action point:

1. The participants names list will be addressed and use for the meeting.
2. The next meeting should be well preparation on meeting calling and earlier invitation for PTC members well as the committee members should be involved and attended the meeting.

Item 2: Introduction of Participants and new Project Manager (PM)

- All participants introduced themselves.

-Welcome Ms. Somying Soontornwong who take the role of the Project Manager. She has long experience on community forest and CBNRM at RECOFTC.

-The Chair provided information and background of the project and the challenges of the project implementation during last year particularly on the internal RFD system.

-The project aim to develop the C&I and strengthening stakeholders who close to the SFM and C&I

- Looking forward to see the project team work actively and effectively in the project implementation for this year.

Action Points

- 9 participants attended the meeting. (See the name list)

Item 3: Progressing development and implementation of C&I of SFM both of Planted Forest and Community Forest

-The project started again in this January and has one year for completion the project thus all project team have to work hard and all need more collaboration from the consultant team both of C&I and COC team.

-The project target is still focus on community forest and planed forest and also need more defining on the definition, target, method and process of the C&I development. The C&I consultant will work on the C&I development framework.

-The project plan and budget to be revised according to situation and in order to better and effective implementation.

-Concerning from the consultant team:

3.1 The project management, need to be improved for more effective implementation.

3.2 The roles and duties of project team also need to be revised and rearrangement then the project implementation should be successful. As concerning, the organization management is not effective enough thus need to improve.

-According to overload work and all busy for project secretariat and last year the PM was absence thus it's so hard to work effectively and in time as planned. The challenges cannot solve by the project because of the RFD system.

-The contract of consultant team did not effective according to the project implement and management thus the contract has to be amended then renewed for restarting. The renew contract will be extended for this January to end of the year.

- The consultant team proposed to define the NWG and NCIC and make clearer for project implementation.

- Proposed that the consultant should develop both C&I on forest and non- timber product.

Action points:

- The PM will work on the revision of project plan and budget.
- The PM and consultants will work on the project plan revising.
- The PM will work on the standard of payment to avoid the conflict of interest and fair payment.
- The PM and consultants will discuss and rearrange the project activities and contract.
- The project secretariat will provide all NWG and NCIC name list and detail.

Item 4: Submission of project plan for the year 2018

- The Chair proposed and informed Dr. Ma the representative of ITTO that the project has to be revised according to situation.
- Mr. Sapol, the project director asked the PM and consultant team to revise the project plan and budget for better management and implementation.
- Dr. Ma agreed that the project plan and budget have to be revised and asked PM to work on and submit officially to ITTO

Action point:

- The project plan and budget will be revised after the 1st workshop and propose to ITTO informally and officially.
- The PM will work on that and will propose and send to all project team members and consultants.
- The consultant proposed that the output 4, the target will be changed to key stakeholders not auditors.

Item 5: The 1st C&I National Workshop on the 13 March 2018

- The 1st national workshop will be taken place on the 13 March 2018.
- According to too short time for preparing thus will have small numbers of participants to attend the workshop.
- The workshop program was approved and shared roles and duties among consultants and PM.
- Dr. Ma will make presentation on the ITTO, the consultant will share their progress and their concern at the workshop.

-The PM will facilitate the workshop on the 13 March.

-The trip for Dr. Ma had planned but can be adjust up to Dr. Ma schedule.

Action point:

-The project secretariat will work on the workshop logistic with included lunch, registration, coffee break and travel re imbusement.

-The PM will be facilitator.

-The workshop summary will be working out.

-The trip had planned to visit Kanchanaburi on the 14 March 2018 will be adjusted both of place and date. Final decision is the trip will be postponed to the 24 March according to ITTO and Teak Project.

Item 6: Others business

-The project document should be provided to the new PM.

-the RFD approved the new PM for management and implementation.

Action Point

The PM affective from January 2018, and Khun Rabaib will transfer all project document to the PM.

Item 7 Closing of Meeting

-Closing at the 15.30

Names of meeting participants

1. Mr. Suchat Kalyawongsa, Director of Planning and Information Technology Bureau, RFD
2. Mr. Sapol Boonsermsuk , The Director, International Forestry Cooperation Office , RFD
3. Dr. Preecha Angprasert, Director of International Convention and Commitment Division, International Forestry Cooperation Office, RFD
4. Dr. Ma Hwan ok, Project Manager, ITTO
5. Dr. Surin Onprom, Lecturer of Forestry Faculty , KU
6. Mr. Suthep Junkhiaw, Project Manager, Forestry Faculty , KU
7. Ms. Pakamon Srikunthod, Lecturer Assistant, Forestry Faculty, KU
8. Ms. Rabieb Srigongpan, Forestry Technical Officer, RFD
9. Ms. Somying Soontornwong, Project Manager of C&I for FSM, RFD&ITTO

Meeting Minute

2nd PSC Meeting

Project Steering Committee and Project Officers

Under the Project on “Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests”
At Forest Plantation Extension Bureau Meeting Room
4th Floor Thiem Komkrit Building, Royal Forest Department

2nd May 2018 at 13.00-16.00 hrs.

Opening of the meeting by Mr.Jaresak Nantawong, Deputy Director General, Royal Forest Department (RFD) as a chairman of the meeting

Meeting agenda 1: Matters informed by the chair of the meeting

- Item 1.1 RFD’s Order No.1668/2560 dated July 18, 2017 on appointing Project Steering Committee of the project on Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests
- Item 1.2 RFD’s Order No.1669/2560 dated July 18, 2017 on appointing project officers and working groups of the project on Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests
- Item 1.3 Appointing Ms.Somying Soontornwong as Project manager (PM)

Decisions:

- RFD’s Deputy Director General as a chairman of the meeting greeted and welcomed meeting attendees, and then informed meeting agenda 1 which details were given by the project coordinator.
- The chair informed all items and all items were accepted, then moved to agenda 2.

Meeting agenda 2: Matters to notify

- Item 2.1 Reporting on the project progress by project coordinator and project manager

- *Project coordinator (Dr.Preecha)* : informed on meeting agenda 2 as matters to notify
- *Project manager (Ms.Somying)* : presented the rational and progress of the project (details are in project document)
 - Project implementation was according to the plan including organized the meeting between ITTO's coordinator (Dr.Ma) and project officers, meeting with project technical consultants, updating works with project consultants, meeting with stakeholders, meeting among project officers, revising of the project plan and budget, keeping contact with ITTO's coordinator, disbursement for project consultants and previous project manager. Therefore activities were implemented as planned, especially for A1.1 and A1.2 which are very important to push the project forward, and it was reported that the PSC was well established.
 - Project manager introduced three project technical consultants comprised of Dr.Nikhom Laemsak the Dean of Faculty of Forestry, Dr.Suthep Junkhiaw and Dr.Surin Onprom.
 - Activities A1.3 / A.1.4 / A1.5 are related to the process to identify C&I/COC which will be designed and developed by the project consultants. First draft will be revised and further develop the second draft. The second draft will be presented to project working groups and PSC, after that it will be presented to stakeholders and communicate to the public via RFD's website as well as Community Forest Management Bureau or forest plantations' existing channels, in order to ensure C&I/COC are precise and applicable. Finalized version will be produced as document for RFD. The whole process is planned to finish in December.
 - However, some activities needed revisions to fit with the remaining time frame such as capacity building for relevant personnel to be expertise. Target groups and expected results had to change to be providing knowledge to persons directly involve with the project and related stakeholders, to increase their awareness of and able to implement C&I/COC. More importantly when C&I/COC are fully developed, RFD needs to be able to support the future implementations which still unclear how much this can be pursued.

Decisions:

- The chair (Deputy Director General) summarized key points presented by project manager on four results and clarified on RFD's role in supporting future implementation. He mentioned further consultation with project officers and project coordinator is needed to determine whether it is possible and how. The chair summarized item 2.1 as matters to notify in the meeting and moved to item 3.1.

Meeting agenda 3: Matters for consideration

- Item 3.1 Proposal to revise project activities and budget by project manager and project consultant team. Details were presented by project manager.
 - Project manager presented main activities and some revisions on the activities and budget taking into account the current situation and remaining time frame (details are in attached material).
 - Detailed procedure in relation to proposing to ITTO after approval from this meeting was clarified. In addition, budget plan according to project results was presented as well as detailed implementation of activities. Considering limited timeframe the revisions have been made especially on result 1, activity 1.3, 1.4, and 1.5 were combined to be only 1.3 and 1.4, and details were given by the project consultant team. Budget could not be added due to ITTO's comment that the project was quite behind, however overall budget was not reduced. The detailed budgeting was revised for implementation following ITTO standards to avoid problems during implementation. Total budget from ITTO is 114,295 USD, for the implementation until the end of the project (revised activity and budget plan as presented are in the meeting material).

Decisions:

- The chair summarized key points on item 3.1 and convinced the project working groups that project will be implementing smoothly and can be finished by December as planned. The meeting approved draft project activity and budget plan and moved to item 3.2.
- Item 3.2 Proposal to revise order related to project operation and management
 - Project coordinator proposed to revise RFD's Order No. 1669/2560; to change the organization name in item 4.3 Working group on transportation and forest products utilization control, no.5 in the list, stated Director of Forest Certification Division, Permission Bureau as working group member.

Due to Forest Certification Division has been changed to be Forest Certification Office, therefore it needs to be noted and corrected.

- Item 3.3 Proposal to organize “National Workshop on C&I/COC” by project consultant team
 - Project manager informed that there was a plan this month to organize the workshop in order to discuss with project working groups. It was agreed in the meeting that project consultants would discuss and inform the working groups of suitable date for the workshop.

Decisions:

- Items were acknowledged by the meeting and agreed to proceed as planned.

Meeting agenda 4: Other issues

- There were some discussions and suggestions on the content, approach, process, and procedure to implement C&I/COC at different levels.
- The chair emphasized that project would finish by December 2018, and the results should be consulted within RFD. Recommendations gather from the consultation will be proposed to ITTO. However it is also depending on the end results and potentials arise through the development of C&I/COC under this project (see materials as attached).
- The chair expressed his thanks to the meeting attendees and closed the meeting.

Meeting closed at 15.40 hrs.

Report by

Somying Soontornwong, PM

The 4th /2561

Project Steering Committee (PSC) Meeting

The Project of Development and Management of Certification and Indicators for Sustainable Management of Planted Forest and Community Forest

(PD 470/07 Rev. 1 (F))

Collaboration of RFD and ITTO

Date Monday 19th November 2018

At Meeting Room, Royal Forest Department, Bangkok

Background

The Project of Development and Management of the Criteria and Indicators for Sustainable Management of Planted Forest and Community Forest, the collaboration between Royal Forest Department, Thailand and ITTO had restarted the project implementation since January 2018.

The project aims to develop the criteria and indicators for the sustainable management of plants forests and community forests as well as the Chain of Custody (COC). In order to support forest small holders and rural community to scale up and strengthening governance forest management.

The project is implementing and the draft of C&I and COC were commented and suggested through the several C&I and COC working group workshops and consultation workshop of multi stakeholders and representatives from communities. In last October 2018, the project consultants, representatives of working groups and project team had tested the final draft C&I and COC in the community forest area and planted forest in Chiang Mai and Nan Province, the consultants received some comments and suggestion. The forests managers agreed and expect the C&I and COC will support them well and the forest management should be upscale their livelihood and recognize by government and public.

The developing of C&I and COC come to the last state, the final draft of the C&I and COC development will be presented to the Project Steering Committee (PSC) and C&I and COC working groups for consideration and approval in order to finalize and continue the developing C&I and COC manual for evaluators, assessors and certifiers. The consultants will provide a training of sustainable forest management assessment based on C&I and COC tools and guideline.

The project team and working groups will organize the PSC meeting on the 19 November 2018 with under the project output 1, Activity 1.8 and Output 2, Activity 2.3. The meeting objectives are:

Objectives:

1. Monitor the project implementation of C&I and COC development
2. Consider of the final draft C&I and COC with presenting by the project consultants
3. Consult with PSC and participants on the activities of C&I and COC publication and direction of C&I and COC implementation and utilization after completed C&I and COC development.
4. Monitoring the C&I and COC development in the field by the ITTO representative (Dr. MA) (Field visiting on the 19-20 November, Kanchanaburi)

Participants:

About 35-40 participants

- Project Steering Committee members (PSC)
- Working groups of C&I on Planted Forest and Community forest , and COC working group
- Representative of multi stakeholders
- Project staffs

Meeting Schedule:

Monday 19 November 2018

- | | |
|-------------|---|
| 08.30 | - Registration |
| 09.00 | - Meeting Opening by the Deputy of DG, Royal Forest Department (RFD), the Chair of PSC
- Introduction and objectives of the meeting by the Representative of International Collaboration on Forest Management Office |
| 09.30-10.00 | - Presentation on Project implementation report by Ms. Somying Soontornwong, Project manager |
| 10.15-12.30 | - Presentation on the final draft of C&I and COC development results by the project Consultants
- Reflection and suggestion from participants
- Discussion and consultation on how use the C&I and COC and who would be the key implementers
- Discussion on the collaboration between RFD and ITTO
- Close the meeting |

Field visiting (Kanchanaburi)

Monday 19 November 2018

- | | |
|-------|--|
| 15.00 | - Leave from RFD
- Visit community forest |
|-------|--|

- Dinner
- Stay over-night at Kanchanaburi
Tuesday 20 November 2018
08.00 - Visit teak planted forest
- Visit SCG office for discussion on COC and C&I
15.00 -Back to Bangkok (should arrive about 18.00)

Remark:

The field visiting has to be confirmed according the situation and available of community and the SCG (paper business company. I have to discussion on the schedule with them soon.

Reported Note By Somying Soontornwong, PM

Meeting Minute

Project Steering Committee Meeting 5/2561

Development Criteria & Indicators for Planted Forest & Community Forest SM
Collaboration of RFD and ITTO (PD470/07 Rev.1 (F))
21 December 2018 at 16.00-17.30, Meeting Room 2, RFD

Agenda 1 Meeting opening by Mr. Sapol Boonseamsuk, Director of International Forest Management represented the Chair of PSC.

- Director Sapol, explained about the emergency called meeting, according to the urgent submission of modification budget and activity plan within the project 4 months extended.
- The objective of the meeting is to adopt the project plan on the budget and activities for the next 4 months from the end of December 2018. The ITTO approved 84,003 USD for implementation project activities but we have to modify the project activity plan and budget for the next 4 months.
- The PM had worked on the next 4 months activity and budget plan for submission to the PSC if it adopted by PSC then the modification plan will be submitted to ITTO for official approval.

Agenda 2 Presentation of Project situation and project activity implementation

- Khun Somying Soontornwong reported on project situation and implementation as follow:
 - The project activities were implemented and most of activities done in this year, only 2 activities (C&I and COC training manual and NWG meeting) will completed in January 2019.
 - The PSC and NWG meeting on C&I and COC adoption on the 19 November 2018, the meeting was gone well and Dr. MA representative of ITTO also attended the meeting. The meeting adopted the developed C&I and COC and the meeting will propose to the RFD as soon possible for C&I and COC endorsement as internal auditing system.
 - 11-14 December 2018, the project organized the C&I and COC training for 30 participants from RFD, CSOs, private sector and forest managers.
 - ITTO received the project progress report and the financial report. ITTO appreciated the project implementation and also informal approval the 4 months extended and transferred the installment 84,003 USD to the project. Moreover, ITTO advised that the project should produce media such as VDO, posters and infor-graphic for understanding the C&I and COC among stakeholders and public.

Agenda 3 Proposing the project activity and budget plan in the next 4 months
(January-April 2019).

- Khun Somying Soontornwong, PM made presentation on the project activities and budget plan for January to April 2019.
- The project developed output 5 by focusing the continuing the project by strengthening the PSC and NWG to endorse the C&I and COC in the RFD as the internal auditing system.
- All activities in output 5, aim to the C&I and COC endorsed by RFD as internal auditing system and implement internally. The project activities included PSC and NWG meeting, training for RFD officers, study tour for RFD key persons and produce some media such as mobile posters, info-graphic and VDO.
- The project budget is 84,003 USD for the next 4 months.
- The project will organize the project closing ceremony in the end of March or beginning of April 2019.

Agenda 4 Suggestion and adoption

- The meeting Chair opened the discussion and suggestion as follow:
 - The meeting agreed on the project added the Output 5 for supporting the RFD to endorse the C&I and COC in the RFD and practice internally.
 - In 4 months still have more activities to implement and all activities will be completed in April 2019.
 - The media producing will be started soon because its take more time for production.
 - All production and report will be completed and presented on the closing ceremony
 - The project will prepare the study tour on C&I and COC in Japan and DR. Nikom will find out more information on the trip.

Meeting Adopted

- The meeting approved the project extended with included project activity plan and budget modification with total budget 84,003 USD. The PM will prepare the document to submit ITTO for official approval and have to active implement the project activities in April 2019.
- The meeting closed at 17.30

Reported by: Somying Soontornwong, PM

**Meeting Note of Project team meeting
02.00 PM on the 18th February 2019
C&I and COC Development Project Meeting,
Royal Forest Department, Bangkok**

Agenda 1: Project progress report

Most activities are going well as planned but just activities have to be postponed according to timing and internal condition.

Activity 5.1: *C&I and COC introduced in the RFD and public* (Produce C&I and COC guideline booklets (1 set included 2 booklets: C&I for community forest, C&I for planted forest and COC) and Produce short DVO on SFM and C&I and COC (3 info graphics: Introducing of C&I, COC, Climate change and SFM and 1 VDO on gender& SFM) and Mobile posters)

We are in the process of hiring a company to work on our media production. We do not have much time to complete our Info graphic, VDO and poster. According to late production and procedure of approval, we need more time and all of our production will be showed at our project closing ceremony, thus it will effect to the project closing.

Activity 5.2: *Strengthening PSC/PTC and WG*

5.2.1 Meeting and workshop on preparing RFD endorsing the C&I and COC, we have several informal meeting among team members to find out for encouraging RFD leaders to understand and support C&I and COC.

5.2.2 PSC meeting and 1 NWG meeting/ workshop on C&I and COC training guideline package, The PSC meeting will be organized on the 11th March 2019. The invitation letters is in the process of distribution. The NWG meeting will be organized on the 6th March 2019.

5.2.3 C&I and COC training workshop for RFD officers (4 Days in the field) 25 participants: According to activities implementation is take some time for approval thus the activity of training workshop also postponed and will not be organizing in this 2 months. As discussion among team members, the activity budget will be moved to the activity 5.2.5 because of budget limited for study tour.

5.2.4 Project closing ceremony (80 participants): As mentioned earlier, the media production are postponed, it effected to all activities. As planed the project closing ceremony would be on the 28th March if the media production is not completed, we have to postpone the project closing to the 25 April before the last day of the project implementation. Anyhow, we are preparing some agenda and tentative schedule of project closing.

5.2.5 Study tour on C&I and COC for key persons in RFD (organize study tour on C&I and COC in Japan for RFD key persons who involve in C&I and COC in practicing and endorsement): We are working on preparation of the organizing the study tour. It's so hard to schedule the travelling date according to RFD leaders are busy but they intent to join the tour. According to our less experience on organizing the study tour, we contact travelling agency to organize our study tour for our RFD delegation. The study tour will be taken place on the 17-21 March 2019 and will visit ITTO, SGEC, JIA and Model Forest International. The delegation included 13 members such as Deputy DG, directors of Community Forest Bureau, Planning Bureau, Forest Research Bureau, Forest Certification Bureau, consultants and project team members.

As discussion with Dr. MA for coordinating with Japan Forest Office and other, for learning and sharing during the RFD delegation in Japan.

Activity 5.3: Pilot site for C&I and COC demonstration

Forest management in practice and develop the pilot site through C&I tool: The implementation plan was designed and prepared. Three sites were selected and tentative schedule were confirmed and will be implemented in the end of February and beginning of March. Ban Tha Kradan Community Forest (Kanchanaburi), Ban MarkYha community forest (Udonthani) and Ban Santisuk Planted Forest (Nan) were selected. The introduction of C&I will be organized on the 26, 28 February and the 3-5 March will work on COC in Santisuk. The 3 communities will be C&I and COC testing and use for CF and planted forest management supporting. The activities will complete in the end of March 2019.

Agenda 2: Japan Study Tour

- As the study tour is organizing and contacting SGEC and JIA for learning and collaboration in the near future. We asked supporting from ITTO to contact with Japan Forest Office for meeting and discussion on future collaboration.
- According to high cost of living in Japan and the budget is not enough for study tour, the project need more budget for study tour, Dr. MA agreed in case the budget is not enough and can move other activity budget to study tour.

Agenda 3: Others

- The project finance will be audited by external auditor after the project closed (April) and the submission will be in May 2019.
- The progress report will be submitted in beginning of March 2019.
- The completion report will be completed and submitted in of May 2019.

Remark:

Meeting attendances: Dr. MA Hwan Ok, Mr. Sapol Boonsermsuk, Ms. Somying Soontornwong and Ms. Saichon Mutarapat

Meeting Noted by Praewpan , Ms. Somying Soontornwong, Project Manager

Minutes of Project Steering Committee meeting 1st /2019

Project Development and Implementation of Criteria and Indicator for Sustainable Management of Planted Forest and Community Forest”

Date/time: March 11, 2019 / 13.00 -16.30

Venue: Meeting room, 3rd floor, the Royal Forest Department

Participants

1. Mrs. Umnuayporn Chondumrongkul Royal Forest Department
2. Mr. Aek-kathad Wongthipak Royal Forest Department
3. Miss Kanjana Wangtao Royal Forest Department
4. Mr. Sririthep Sujanya Royal Forest Department
5. Mrs. Wandee Supprasert Forest Industry Organization
6. Miss Warawan Thanakijmoongsena Royal Forest Department
7. Mrs. Poonsri Wanthongchai Department of Marine and Coastal resources
8. Mr. Khawnchai Chareonkrung Royal Forest Department
9. Mr. Suwan Tungmith-chareon Royal Forest Department
10. Mr. Seksan Kawayapanik Royal Forest Department
11. Mr. Saphon Boonsermsook Royal Forest Department
12. Mr. Suchart Kal-layawongsa Royal Forest Department
13. Assist. Prof. Dr. Nikhom Laemsak Project consultant, KUFF
14. Dr. Suthep Jankeaw Project consultant, Faculty of Forestry
15. Miss Somying Soontornwong Project Manager

Agenda 1 Chairman’s Report

Mrs. Umnuayporn Chondumrongkul., deputy director of RFD, as a chairman of the meeting informs an approval of the project steering committee which comprises

various representatives and recommend to include a representative from the upcoming unit of RFD regarding economic timber and plantation as project steering committee for next phase.

Meeting conclusion: The meeting acknowledged the letter of project steering committee appointment.

Agenda 2 Matters of Report

2.1 Mr. Saphon Boonsermsook introduces and reports the progressing of the project as following:

1. The project on Development and Implementation of Criteria and Indicator for Sustainable Management of Planted Forest and Community Forest Project aimed to develop and elaborate of criteria and indicators for the standard of sustainable forest management include Chain of Custody. Since 2018, the project appointed Miss Somying Soontornwong as the project manager and 2 consultants from Faculty of Forestry, Kasetsart University, Assist. Prof. Dr. Nikom Laemsak and Dr. Surin Onprom to implement the project with 4 outputs are expected includes

- Development of the National Criteria and indicators for the standard of Sustainable Forest Management
- Development of the National Chain of Custody
- Auditing system for Criteria and indicators and the National Chain of Custody are developed
- Personal development for Criteria and indicators and the National Chain of Custody auditing process

2. For the efficient and successful implementation, end of the project will be extended to April 2019. The revision of budget and activity plan was agreed by Mr. Hwan-ok Ma, representative of ITTO on January 18, 2019 (ITTO Ref.No.F.19-0006).

3. The meeting for project closing will be organized on 26th April 2019 to disseminate and deliver the criteria and indicators for Sustainable Management of Planted Forest and Community Forest Project include Chain of Custody for the Royal Forest Department and concerned agencies as well as to propose the administrative unit of RFD to apply C&I and CoC in Sustainable forest management strategies as an internal auditing system.

2.2 Miss Somying Soontornwong report the meeting for national working group on 6th March 2019 as final working group meeting to consider and recommend for preparation of guidelines and manual for C&I and CoC.

Asst. Prof. Dr. Nikom Laemsak, Project Consultant, further added recommendations from the meeting as follow:

1. the project focuses on supporting farmers and small entrepreneurs Including community forest managers in Thailand to access an appropriate certification systems while other related standards such as FSC (Forest Stewardship Council) and PEFC (Program for the Endorsement of Forest Certification Scheme) is complicated and costly.
2. Recommendation for the Royal Forest Department to coordinate and propose the National Bureau of Agricultural Commodity and Food Standards (ACFS) to work as Accreditation body (AB) and determine the qualifications of the certification body (CB).
3. The Royal Forest Department should conduct activities for dissemination and continuously public relations to ensure widespread use of the certification system.

Meeting conclusion: The meeting acknowledged and details of the meeting report are amendatory.

Agenda 3 Matters for Consideration

3.1 Certification of Criteria and Indicator for Sustainable Management of Planted Forest and Community Forest

Miss Somying Soontornwong summarize development of Criteria and Indicator for Sustainable Management of Planted Forest and Community Forest that has developed with various stakeholders includes community, private sector, public sector, government and non-government representatives and educational institutions who interested in both economic and social issues. Thus, the C&I have been approved by the working group. In summary, detail of 7 criterias comprises

Criteria 1: Compliance with relevant laws, policies and measures

Criteria 2: figure and condition of forest area

Criteria 3: Healthy and resilient of forest ecosystem

Criteria 4: Forest products and ecosystem service

Criterion 5: Ecosystem Biodiversity

Criteria 6: Soil and water conservation

Criteria 7: Socio-Economic and community cultural and wisdom

And consists 36 indicators that are comparable and consistent with the ASEAN C&I. Furthermore, the criteria 3, 4 and 5 will be consistent and interconnected, and criteria 7 on economic, social and cultural local community is consistent with the Sustainable Development Goals (SDG) goals.

The manual of C&I consist 2 parts which 1st part comprise introduction of criteria and indicators, development process and description of criteria and indicators for both planted forest and community forest, when 2nd part will present as a guideline for staffs to apply C&I in promoting and auditing forest management. In order to be recognized and implemented, C&I guideline and manual must be published and produced in appropriate form such as info-graphic, cartoon and illustrations.

Meeting conclusion and resolution

The meeting approved and certified the criteria and indicators for sustainable forest of planted forest and community forest management with notices and additional considerations as follows

1. The name of "Guideline of criteria and indicators for sustainable forest management in Thailand" will be specified to "guideline of criteria and indicators for sustainable forest of planted forest and community forest management" and using the printing format and cover in the same form as CoC.
2. The meeting participants noted that combination of criteria and indicators for planted forest and community forest areas is not appropriate due to context, complexity and management objectives. However, from the pilot testing, the project found that C&I was applicable for both planted forest and community forest areas with clearly identification of the guideline.

3.2 Certification of Chain of custody (CoC)

Dr. Suthep Jankeaw, Project Consultant, presented a manual of CoC which was prepared and developed to support communities and farmers for certification process including applications form and examples, organizational structure. The manual also contains recommendations for both farmer and auditor. He emphasized that CoC is one of mechanism for national standard certification to confirm sustainable forest management in Thailand. And, the certification process needs an accreditation body (AB) who defined as professional and independent entity to ensure reliable and acceptable of the standard. Thus, several public relations

activities to introduce and illustrate of the standard such as publications development and exhibitions must be highlighted.

Meeting conclusion and resolution

The meeting approved and certified Chain of Custody (CoC) with additional recommendations and suggestions as follows

1. Although this certification focuses on supporting farmers and small plantation owners, but in practice, group or management unit certification are necessary and sufficient conditions.
2. Using of road map as a guideline for application procedure including implementation, revision and updating the standard.
3. Recommendation for the Royal Forest Department to prepare and create incentives for community and farmers regarding benefits of certification.
4. As a minimum requirement of the Criteria and indicators, there are some detailed issues of community forests management could not be specified in this standard, such as networks, organizations and management systems but it will be considered during revision process if necessary.
6. The development of C&I provides several benefits includes international credibility and community level as tools for internal auditing to improve their management.
7. The meeting proposes following activities to advocate application of C&I and CoC
 - The Royal Forest Department establishes or assigns a responsible group to operate and advocate C&I and CoC standard includes appointment of Accreditation Body (AB) and Certification Body (CB)
 - Coordinate with other units within the Royal Forest Department to develop mechanisms or a license system that is consistent with the certification process.
 - Advocate application of C&I for sustainable forest of planted forest and community forest management as mechanisms for internal auditing to various partners and units within the Royal Forest Department to promote sustainable community forests management.
 - “TH-Wood” is proposed for the name of standard.

Agenda 4 Other matters

A study trip on Development and Implementation of Criteria and Indicator for Sustainable Management of Planted Forest and Community, Japan on 17-21 March 2019

Miss Somying Soontornwong inform that the study trip will provide concrete examples of the development and implementation of C&I and CoC in Japan including introduction of criteria and indicators for sustainable forest , development process of criteria and indicators from local standards to national standards. And this study trip also provides opportunity for a forum to negotiate with funding agencies and partners for further collaboration and supporting systems.

Reported by

Somying Soontornwong, Project Manager

Workshop summary

The 1/2018 National Workshop

On Present C&I Development Draft Study and Consultation

“Criteria & Indicators for Sustainable Management of Planted Forests and Community Forests”

Project on Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests

RFD and ITTO

Conference room 1, Thiem Komkrit Building, Royal Forest Department

March 13, 2018: 08.30 -14.30

Current collaboration between the Royal Forest Department (RFD) and International Tropical Timber Organization (ITTO) to implement a project of Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests: PD 470/07 Rev.1 aims to strengthen Thailand on sustainable use of timber and timber products from legal sources and through participatory process. In order to develop criteria and indicators for sustainable management of planted forests and community forests at the national level, RFD has organized a workshop to present the draft study (workshop 1) of criteria and indicators for sustainable management of planted forests and community forests. The workshop’s objectives include sharing of situations related to forest management and development of standards for sustainable forest in Thailand and at the regional level, as well as to present a draft study of criteria and indicators, and to consult, get feedbacks and suggestions from the participants and working group members.

The workshop was held on March 13, 2018 with 25 participants attended from relevant agencies comprised of 15 participants from several offices under RFD (International Forestry Cooperation Office, Forest Protection and Fire Control Bureau, Community Forest Management Bureau, Forest Research and Development Office, Permission Bureau, Forest Plantation Extension Bureau, Planning and Information Technology Bureau), 4 participants from private sector (Forest Plantation Cooperative, Tree Bank of the Bank of Agriculture and Agricultural Cooperatives, Eucalyptus Technology Company Limited), 4 from the project team included project manager and consultants, 1 participants from ITTO, and 1 from the Center for People and Forests (RECOFTC).

Mr.Surat Kanjanakunchorn Director of Planning and Information Technology Bureau represented RFD Director General to be a chair and gave opening remarks of the workshop. He acknowledged Dr. Ma Hwan-OK for attending this workshop and emphasized this was the first workshop that involved stakeholders, officials, working group, consultants and representatives from ITTO, aiming to establish a study framework and preliminary report under the project. The workshop provided platform for learning and sharing towards designing standardized set of criteria and indicators for sustainable management of planted forests and community forests. Director Surat also expressed his thanks to all participants and wished the workshop came out with standardized set of criteria and indicators.

1. Presentation of project background

Mr.Saphon Boonsermsuk, Director of International Forestry Cooperation Office presented the project background as a summary below.

Royal Forest Department (RFD) and International Tropical Timber Organization

(ITTO) have been collaborated for the a project on Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests : PD 470/07 Rev.1 (F), aiming to strengthen Thailand on sustainable use of timber and timber products from legal sources through development of criteria and indicators for sustainable management of planted forests and community forests. The two partners signed MoU to implement this project for 2 years (January 2015-December 2016), however the project was delayed for sometimes. Currently the project could be reorganized and will continue to implement C&I/COC work, and aims to finalize the project by December 2018.

The project's goal is to establish standardized system on criteria and indicators with the scope for sustainable forest management. There are 4 project outcomes comprise of:

- Outcome 1: Criteria and indicators, and national standard for sustainable forest management are developed, tested and endorsed.
- Outcome 2: Monitoring and controlling system for transport and use of forest products are developed, tested and endorsed.
- Outcome 3: Verification system for C&I / performance standards and monitoring and controlling system for transport and use of forest products are developed, tested and endorsed.

- Outcome 4: Sufficient number of staffs and stakeholders trained on verification of C&I / performance standards and COC.

2. Forest management situations and establishment of national working group for the development of criteria and indicators for sustainable management of planted forests and community forests.

2.1 International situations

The International Tropical Timber Organization (ITTO) is promoting sustainable management, use and trade of tropical forest resources, based in Yokohama Japan, with 73 member countries, administered by ITTC and following the policies of ITTA. Established in 1986 and has been working closely with the Royal Forest Department of Thailand. ITTO members represent two key groups including users/consumers (China) and producers in the tropical countries. Its works facilitate the development of key mechanisms; committees and area experts.

There are three thematic of work including Forest Management, Forest Industries, Trade & Markets, with administrative structure both at the national level and area-based level through project implementations.

ITTO initiated a process to develop criteria and indicators (C&I) since 1990. The initial C&I have been developed through several schemes such as National C&I processes, African timber forest management (ATO), Tarapoto Process, Montreal Process, Pan-European C&I, etc. Further development will integrate with SDGs, because C&I play as a vital instrument in measuring how much we are achieving the sustainable goals. When new approach was introduced most people would question “what are criteria and indicators?”, and when considering C&I there is a monitoring framework called PC&I: Principle Criterion and Indicator.

There are agreed set of criteria when considering sustainable forest management, 1) scope of forest resource, 2) forest biological diversity, 3) forest ecosystem condition, 4) economic forest, 5) protected forest, 6) role of forest on socio-economic aspects and 7) law and policy and framework or institutional mechanism. ITTO used these criteria to develop C&I although some details might be different. ITTO’s main objectives are 1) assisting forest management implementation and monitoring in each country, 2) to report the progress towards achieving sustainable forest management. The application will be on 3 levels include the national level, landscape level, and local level/forest management unit.

In addition, key criterion to measure sustainability for supporting sustainable forest management, comprise of 7 criteria, 18 groups of indicators, and 54 indicators. Key criteria are as the following:

- 1) Enabling conditions for sustainable forest management
- 2) Extent and condition of forests
- 3) Forest ecosystem health and resilience
- 4) Forest production
- 5) Forest biological diversity at ecosystem level, as well as species and genetic
- 6) Soil and water protection
- 7) Economic, social and cultural aspects

These C&I to measure sustainable forest management need to integrate with the contexts on climate change and biodiversity conservation without breaking the already agreed set, especially participation of indigenous people in forest management still requires further development of reporting system. However, the reporting system related to restoration of degraded forests was developed and different reports have been prepared as examples at all levels include national, landscape and forest management unit, by reporting the areas under each restoration system.

In summary, sustainable forest management will be considered under 7 key criteria which can be divided into 4 groups.

1. Providing the enabling conditions for sustainable forest management comprises of 2 criteria, 1) Enabling conditions for sustainable forest management and 2) Extent and conditions of forests.

2. Maintaining the multiple functions of forests, comprises of 2 criteria 1) forest protection and 2) conservation of forest biological diversity.

3. Ensuring ecosystem health and vitality, comprises of 1 criteria which is forest ecosystem health and resilience.

4. Integrating social, cultural and economic aspects, comprises of 2 criteria 1) soil and water protection and 2) economic, social and cultural aspects.

2.2 Thailand situations

Thailand currently has 2 key standards to verify sustainable forest management including 1) FSC (certification system) and 2) EU PEFC (government negotiations), and the two systems have different processes. Additionally Thailand also developed its national standards which already enforced including 1) Thailand Industrial Standard or TIS.14061 - a standard for Forest Management (FM) and 2) TIS.2861 (COC). These

two standards are under responsibility of Thailand Industrial Standards Institute (TISI) and also under a process to be endorsed in comparing with international standards. TFCC is endorsing PEFC standards and for FSC there are implementations on both international and national levels, are under endorsement as well. This workshop considers ITTO standards that will become another national standard, and needs development of criteria and indicators which is also under an ongoing process. Another standard known to people is importing standard of fuel to Japan (JIA) which is likely a regional certification system. As well as standard for sustainable palm oil production which Thailand is also under certification process. In conclusion the standards mentioned are in the process to be integrated with sustainable forest management and implementing by private sector. In addition, Mr. Suthep Jankhiaw has been involved in advisory body of FSC and JIA to develop certification system for coconut farms and rubber woods in the southern and eastern regions.

Forest based certification should be relevant to international mechanism which has to include 3 components 1) Standardizing Body (SB) 2) Accreditation Body (AB) - should be certified with ISO 17011 to accredit/licensing the certification body and 3) Certification Body (CB) that needs ISO 17201/ISO 17065 certified and licensed as certification body (Lead Auditor, Auditor), also needs ISO 19011 or ISO 9001. In Thailand, TISI acts as both SB and AB which may cause some problems as international mechanism requires the 3 components should separate. Several organizations act as AB in Thailand including TISI, FDA, Department of Science Service, etc. However the agency works as AB should be only one. Currently these 3 components are under development and nearly complete. Furthermore for certification mechanism in Thailand, a network has been established to provide advice and consulting following the designed standards. Therefore, this network involves in the development of TECC and ISO standards, as well as helping in the ITTO standards development.

Discussion:

- Dr.Surin Onprom : concerning the fact that Standardization Body (SB) and Accreditation Body (AB) are in the same organization, are there any limitations and advantages for Thailand contexts?

Dr.Suthep explained – as the case of Thailand, TISI acts as SB and AB which may cause some problems when declaring with IMF. Therefore some measurements need to be developed to ensure that they are separated and no relations between those responsible for AB and those responsible for SB, even though they are under the same organization. TISI is under development of such mechanism to ensure independence of all functions. In addition following the requirement to increase options for buyers and sellers, JIA implementation will support item 1 of TFCC.

▪ Participant: with understanding on ISO, if considering FSC and PEFC as private sector's standards in the region, I wonder if people perceived and understood the same way? Because most people would be confused that each "Body" will have their own mechanism and criteria, such as FSC implemented in the country in 1991 while PEFC just came in and both of them came from different countries, and have set different rules and standards due to trading competitions. The trade under ITTO is more on technical rules which try to avoid legal measures because trading under ITTO the member countries need to follow the same rules. The two organizations have to work on criteria in order to encourage the markets in each country under brand awareness. Therefore how FSC and PEFC's criteria have laid out the component and structure from the producers towards the market ends? Each country may have advantages and disadvantages on the process and methods including the size of operations for certification. For the case of Thailand the operation size is small which may not suit the requirements. Thus we need to emphasize on standards under TIS which we now have TSI.14061 and TSI.2861. However these 2 standards are still under development and not yet appropriate for the contexts in Thailand. Relevant agencies will need to develop rules and practical guidelines. The following question would be "if we finally have the system and national standards, can we use it as our brand to sell the products in international markets in comparing with FSC and PEFC?". All progressive countries in ASEAN would need to adopt ITTO criteria to develop rules in their country. Because if we can implement these in Thailand and other countries, then we may be able to develop regional rules. This is another important role of ASEAN.

▪ Dr. Ma Hwan-ok: ITTO is not a certification or endorsing body in forestry, but acts as supporting agency and building capacity for the countries on sustainable forest management. Therefore we are different from FSC and PEFC. That is why ITTO is supporting the country to develop C&I for sustainable forest management. If any country has its own existing standards they can use them as a basis in this process. For example Forest Industry Organization has its own forest plantation standard, although this still needs to develop following international mechanism. What we would like to see is the process to certify sustainable forest management with not too high costs and participation should be enhanced towards the promotion of sustainable forest management.

▪ Participant: the initial draft of TIS was developed using FSC standard, and the second draft tried to get PEFC certified. If considering ITTO criteria from the works in other countries and compare to FSC, they are not so different. Problematic part is the verification process includes practicality of indicators for the country. As most indicators are required from audit reports, but in most local contexts, farmers/cooperatives/small holders may be unable to implement some indicator audits. Therefore indicator development for each level in the country should consider what would be most appropriate (area size, planted species), and should set up the rules to constantly review those indicators in order to improve for the better. Another thing to consider is how to support the producers to be certified with the standards. Therefore

the country needs some supports to develop C&I, getting accepted internationally, and use those indicators to develop own mechanisms.

- Somying: under this project, we can work together to develop and implement C&I. Under this the committee will also process for approval to be part of the policy and link to COC.

- Mr.Suthep Jankhiaw: the key question is “do we want C&I for Thailand?”. I believe Thailand never have its C&I, therefore this is an initial stage for the country to develop national C&I. However if we get this national C&I, then we have to start negotiate with our trading partners. If our partners accept this standard then we can use as a future mechanism.

3. Presentation on the 1st draft of C&I development and defining COC

Criteria and Indicators (C&I) can contribute to the process towards sustainable forest management, as well as trade. Therefore C&I is one of the key elements to support good forest governance, and provides similar standard in forest management. The advantage from dividing ITTO members into 2 categories (producer and consumer members) is that if Thailand develops C&I under ITTO supports, the next step is to scale up to be part of FSC and PEFC mechanisms to increase competitiveness for trade. Concerning C&I development to cover planted forests, forest plantations, and community forests, the participants whom represent such forest sectors were encouraged to share ideas related to their area of works on “what they would like to see as C&I, and how to use them?”, additionally they encouraged to also share long term vision on forest management in Thailand.

In this workshop, main objective was to brainstorm ideas and suggestions from relevant agencies, and conclude with information gained from literature reviews to develop a first draft of Criteria and Indicators. Issues discussed in the workshop are as the following:

1. Direction, format and application/use of C&I

2. Level of C&I application in the Thai contexts, and which level should be focused (in ASEAN C&I have been developed under supports from ITTO under three levels include national, landscape, and forest management unit)

3. Component and structure of organization working on C&I

4. Suggestions for C&I development

From the brainstorming and sharing on C&I development in the workshop, there are key suggestions that can be considered in the development process, as the summary below:

- Agreed set of C&I should be included in the national policies with national committee as a controlling body or supports the policy advocacy.
- It is important that the scope of C&I should cover community forests and planted forests, however details indicators to suit all sizes (big plantations to small plots) need to be designed and agreed.
- Would like to see C&I and collaborative mechanism to work together
- There have been several schemes working on C&I and SFM such as FLEGT, need to consider how much these can be applied in the project
- C&I and CoC should reflect the needs of grassroots and poor people, especially community forest groups and small holders.
- Clarity on land tracking, and timber tracking/sources from the lands with different titles.
- Defining some key terms as a basis to C&I development, which should consider community forests
- C&I development should base on the existing processes/mechanisms, and taking into account the timeframe limitation of only 7-8 months.
- If the agreed C&I are effectively implemented, they should be integrated to the market system or prepared for the market integration.

In summary C&I development aims to respond to the needs of local users and the local areas, as well as forest plantations or economic forests. Under the assumption in which “C&I are the standards to promote better forest management practices”, therefore community forest management should be scaled up and be strengthened. Community forests can be appropriately managed by communities and following the international standards. Concerning forest plantations, it is important that land owners as well as the owners of forest plantation who have already invested feel secure to use the lands. Although the forest plantations may focus on economic returns, but further consideration should ask “how these forest plantations can gain economic benefits while also under good practice and governance”. Thus in general, there are expectations that C&I will contribute to improve forest management governance for sustainability.

The workshop participants also suggested some key elements for C&I development:

1. Goal and objectives for development of national C&I
 - 1.1 Should be a broad framework to be easy to use, and set up forest categories so common standards of C&I could be designed to cover all forest categories.
 - 1.2 Concerning trading aspects, the process should base on existing process implement by other organizations such as FLEGT RECOFTC, Community Forest Management Bureau of RFD, etc. In order to realistically working without too specific on some parts.

2. C&I development methodology
 - 2.1 Contribute to sustainable aspect of forest management, and encourage the C&I application in forest management planning, strategic planning, and monitoring and evaluation process, which are the key elements in ensuring sustainable forest management. The 7 criteria should be applied and following international standards.
 - 2.2 Base line data is needed in assessment process
 - 2.3 Use focused group discussion, seminar, and In-depth Interview in the field to discuss specific issues such as resource conditions in the past, and resource utilizations etc. which can be used in the C&I development process through focused group discussion and seminar at the national level.
3. Application of C&I
 - 3.1 C&I should be common standard to promote appropriate use and application
 - 3.2 Should be tested and scaled up from time to time
 - 3.3 Application with SFM on 2 levels 1) for the communities to assess themselves and improve their practices according to international standards and 2) to support small forest clusters to trade following the standards.
4. The process should be expanded and further developed.

This workshop has opened the discussion and consultation process for C&I development. Information gathered from the workshop including general comments for both national and regional development as well as existing processes will be summarized in order to develop C&I framework within the remaining 7 months. However the process still needs to follow project planning and designed outcomes. Some participants who are part of the working group, both for community forest and trade related will be invited for further discussion with project consultant team. And one of the important parts is applying the draft C&I, the team will provide training and capacity building to related agencies, and would try to adjust the activities to be most realistic. After presenting the results and develop further plan, the project team will organize further workshops.

Appendix

1. List of participants

Name	Position	Contact Number
1. Offices under Royal Forest Department		
1.1 International Forestry Cooperation Office		
1) Mr.Sapol Boonsermsuk	Director	Tel. 02-5614292-3 ext. 5036
1.2 Forest Protection and Fire Control Bureau		
2) Mr.Alongkorn Setchuea	Director of Forestry Division	
1.3 Community Forest Management Bureau		
3) Komsan Rueangritsarakul	Forestry Technical Officer, Professional level	Tel. 02-5614292-3 ext. 5644
4) Mr.Pakawat Ponak	Forestry Technical Officer	Tel. 02-5614292-3 ext. 5549
1.4 Forest Research and Development Office		
5) Mrs.Benjawan Kongrouy	Economist, Professional Level	Tel. 02-5614292-3 ext. 5421
6) Mr.Krittipas Chanjina	Research Assistant	Tel. 02-5614292-3 ext. 5421
7) Ms.Satjaporn Hongthong	Forestry Technical Officer, Senior Professional Level	Tel. 02-5614292-3 ext. 5408
8) Mr.Aphiwat arilert	Aer- Forestry Technical Officer, Practitioner Level Forest Biodiversity Division	Tel. 02-5614292-3 ext. 5030
9) Ms.Utharat Pupaiboon	Forestry Technical Officer, Senior Professional Level Forest Products Development Division	Tel. 082-2336431
1.5 Permission Bureau		
10) Ms.Nisabhat Tonwoot	Forestry Technical Officer, Professional level Non-timber Forest Product Permission Division	Tel. 02-5614292-3 ext. 5206
1.6 Forest Certification Office		
11) Mr.Boonsuree Jirawongpanit	Forestry Technical Officer, Professional level	Tel. 02-5614292-3 ext. 5249
1.7 Forest Plantation Extension Bureau		
12) Mr.Hongsepjarn Buakhai	Forestry Technical Officer, Professional level	Tel. 02-5614292-3 ext. 5675

Name	Position	Contact Number
	State Reforestation Division	
13) Mr.Thatchai Jaiplod	Senior Forestry Officer Private Reforestation Division	Tel. 02-5614292-3 ext. 5531
14) Mr.Niwat Luengborisut	Senior Forestry Officer Private Reforestation Division	Tel. 02-5614292-3 ext. 5531

1.8 Planning and Information Technology Bureau

15) Mr.Surat Kanjanakunchorn	Director
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Private Sector

2.1 Forest Plantation Cooperative

16) Mrs.Yingluck Patithanthewa	Head of Forest Plantation Coooperative	Tel. 090-2416355 email: Pying945@gmail.com
17) Mr.Montri Yotharak	Committee	Tel. 081-8401165

2.2 Bank of Agriculture and Agricultural Cooperatives

18) Mr.Sawai Sangsawang	Director of Tree Bank Scheme	Tel. 081-8912334
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2.3 Eucalyptus Technology Company Limited

19) Mr.Amornpong Hirunwong	CEO R&D	Tel. 095-4541551
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3. Project Manager and Consultant Team

1) Dr.Suthep Jankhiaw	Project Consultant Faculty of Forestry Kasetsart University	Tel. 089-1170419
2) Dr.Surin Onprom	Project Consultant Faculty of Forestry Kasetsart University	
3) Ms.Pakamon Saikuntod	Teaching Assistant Faculty of Forestry Kasetsart University	
4) Ms.Somying Soontornwong	Project Manager	

4. Other organizations

4.2 International Tropical Timber Organization : ITTO

Name	Position	Contact Number
1) Dr.Ma Hwan-ok	Project manager Division of Forest Management	email: ma@itto.int
4.2 The Center for People and Forests (RECOFTC)		
1) Mr.Rawee Thaworn	Community Forestry Partnership Coordinator	Tel.084-6759775
4.3 Forest For All		
2) Ms.Rattanatika Petthongma	Researcher	Tel. 089-6468007

2. Workshop pictures





Project Final Workshop Summary

Project Closing Ceremony

On the 26 April 2019

Maruay Garden Hotel Bangkok

Conclusion of the Project on Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests

1. Introduction

The project on Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests was implemented under International Forestry Cooperation Office of the Royal Forest Department (RFD) with funding support from International Tropical Timber Organization (ITTO), and aimed to develop sets of criteria and indicators (C&I) for sustainable management of planted forests and community forests which can be used for forest certification in the country. This project was following the policies and RFD's strategies in enhancing forest governance, strengthening local and national economy through increasing production forests and sustainable management of forest products. The collaboration on C&I development had been initiated since 2011 from the signing of MoU between RFD and ITTO, however due to some reasons the project had been delayed until the beginning of 2018 that it could resumed and actively implemented.

During the past 16 months, from January 2018 to April 2019, the project has achieved its expected outcomes included the national approved of C&Is for sustainable management of planted forests and community forests and Chain of Custody (CoC) for timber and forest products which were developed under participation of key stakeholders and key divisions within RFD. Furthermore, the project team with approval of Project Steering Committee and ITTO highlighted the importance to communicate the results and raise awareness on using C&I/CoC within RFD as well as for the general public. Therefore, the project also implemented several activities in order to disseminate the project results and encourage the adoption of C&I/CoC as one of standards for national forest certification system.

On 26th April 2019, the project final workshop was organized at Maruay Garden Hotel Bangkok as part of project's output 5 activity 5.2.4, which invited representatives and experts from RFD and related organizations and the main objectives of this final workshop were;

1. To present project results on the development of C&Is for sustainable management of planted forests and community forests and CoC for timber and forest products.
2. To hand over C&I/CoC which have been developed under the project for the application within RFD following RFD's strategies.
3. To encourage officials and staffs at the management level from RFD and organizations involved to adopt C&I/CoC into their policy as well as their works related to forest certification.

There were 79 participants attended the workshop comprised of 38 from RFD, 1 from DNP, 2 from DMCR, 1 from ITTO, 31 from NGOs and private organizations, 3 academic, and 3 project team (project manager, and project consultants).

2. Workshop process

The half day workshop designed on three stages,

1. Presentation of overall project results
2. Panel discussion on opportunity and constraint for using C&I/CoC
3. Plenary discussion on the way forward in adopting C&I/CoC in the national forest certification system.

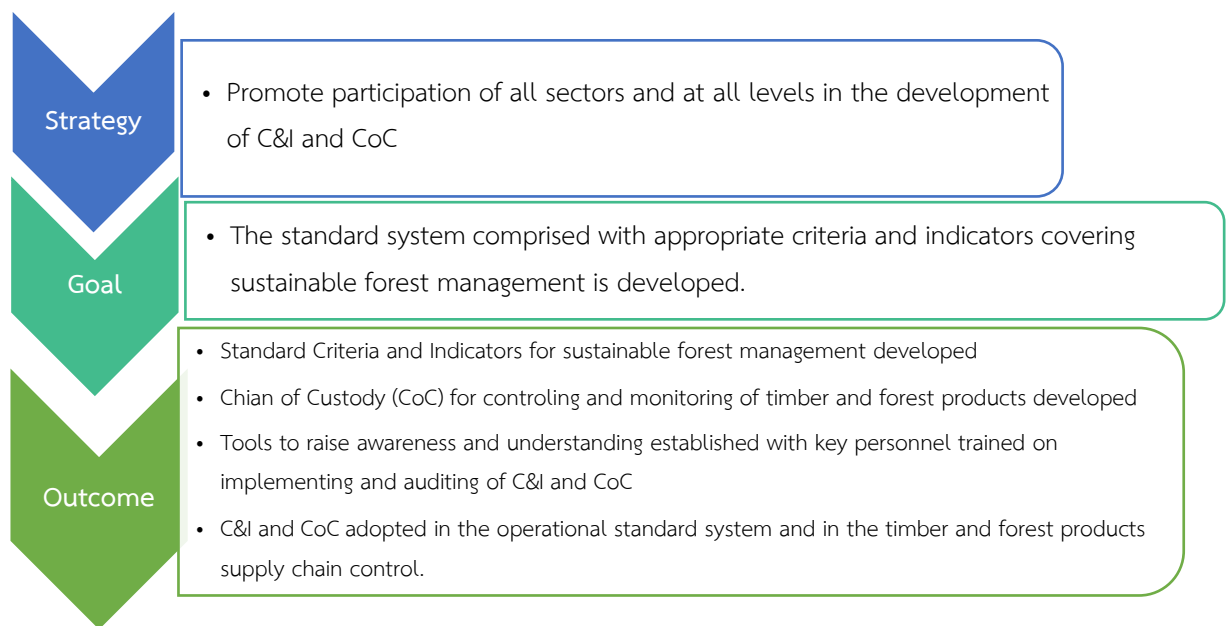
RFD's directors and officials who were part of the Project Steering Committee and Working Groups, as well as project consultants took the lead role in facilitating the discussions throughout the workshop. The participants were encouraged to participate in the discussions by raising questions and concerns, as well as giving suggestions on the way forward to enable implementation of C&I/CoC in the real practice, which will be effectively contribute the sustainable forest management of the country.

3. Summary of key results

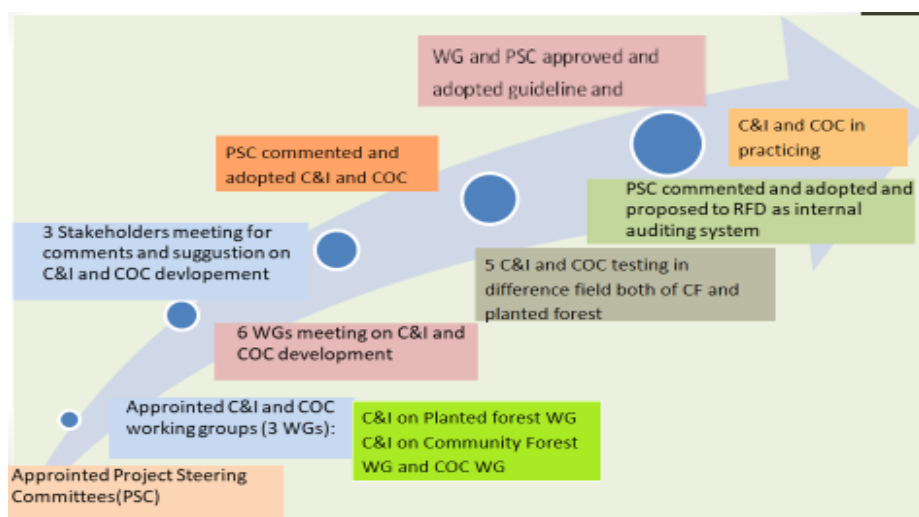
3.1 Presenting of project results

Mr.Suchart Kulyawongsa, Director of Forest Research and Development Office, RFD presented the key achievements of the project. He emphasized the long term collaborative efforts between RFD and ITTO to develop C&I for sustainable forest

management in Thailand through the formation of this project: PD 470/07 Rev.1 (F) since 2011 aiming to strengthen Thailand towards sustainable utilization and management of timber and forest products, as well as ensure that the timber and products are from legal sources. Despite the project delay, however from early 2018 project was able to resume and until the extension period up to April 2019, the project has been implemented following the approach and strategy as highlighted in the picture.



Participatory processing of project implementation:



Project key results:

- The working groups successfully developed C&I and COC
- The Project Steering Committee approved C&I and COC
- Training on C&I and COC organized for related stakeholders
- Field testing of C&I and COC developed as part to strengthen sustainable forest management
- Summary of C&I and COC have been produced in different communication materials and disseminated to relevant officials and organizations included Info Graphic, VDOs, and manual to implement C&I and COC.

Project team emphasized that the C&I developed under the project were reflected the contexts of Thailand which might not necessarily similar to C&I of other countries which should have different contexts. Furthermore the team hope that C&I could be another tool for the country to facilitate trading of timbers and forest products in the international markets such as Japan.

3.2 Forest Certification and Chain of Custody of timber and forest products: “opportunities or constraints for sustainable forest management in the future”

The panel discussion invited representatives from different organizations related to community forest management, supply chain, and forest certification to discuss opportunities and constraints, as well as the way forward. The discussion can be summarized below:

1) Community forest management: reflection of Mae Tha community

Mae Tha community in Chiang Mai province has a long history on community forest management within an area of 73,000 rai. Most of the community forest area which have been managing by the community is in the state forest therefore there were long history of struggles and negotiations with the forest department. Community aimed to prove to the government that their forest resource utilizations were undertaken following the rules and regulations set by community themselves and under strong community-based organizations that have been developed, strengthened and passed on duties to the new generations. The community continues to collaborate and work with external organizations such as academic institutes, NGOs, etc. to prove that the local mechanisms they established could maintain the sustainable consumptions of forest products as well as forest integrity in the long term. The new generation of CF leaders are now trying to use technology and IT as part of the management such as collecting information, monitor the different forest management zones, introducing sustainable agricultural practices that would not promote forest encroachment. They want to use

technology to ensure and prove to others that community can sustainably and effectively manage forests and the ecosystems.

The CF leaders see C&I as opportunity for them, especially during the transition from old to new generations, to monitor their forest management system, to ensure with related organizations that CF management still maintain overall ecosystem services of the forests, to control the use of timbers, and to ensure community has sufficient data to answer the questions raised by outsiders. Therefore C&I could help the community scale-up their existing system and would lead to more collaboration with relevant organizations.

2) Timber trading

Representative from the Thai Timber Association highlighted the global timber markets today require timbers from sustainable and certified sources. However, from the experiences of how business operators had to go through different official process and procedures, from the point of view of business operator C&I and CoC can be both opportunity and constraint for the timber trading industry.

Constraints:

- It could bring more complication and repetition to the existing systems, therefore there is an urgent need to work more with relevant stakeholders.
- Perception and understanding of the consumers also need to take into account, because if the system is too complicated and too much cost involved which later would be reflected in the products' price, the end consumers may not accept.
- Need to put more efforts on accessing to technology and capacity building to professionals or experts in the implementation of C&I and CoC.

Opportunity:

- Market opportunity, as most consumers understand that woods are the best environmentally friendly materials, and the trend on environmental concern make people aware of the impacts from non-wood or non-natural materials.

In conclusion, C&I and CoC can be both opportunity and constraint therefore the most important step should be increase understanding and application under an easy procedure. The common target should also be discussed and understood among the key organizations in order to reduce confusion and repetition with the existing forest certification systems used in the country.

3) Integrated economic trees industry

The coordinator of integrated economic trees industry development group emphasized that recently market opportunity for forest and wood products is bigger, from statistics consumers in the country and internationally are using woods more, and the forest cover in many countries also increased, therefore the demand side is increasing. Thailand also has several advantages such as geography, climate and location to produce good quality timbers and wood products to supply the markets. The tools used to determine which products come from sustainable managed forests are forest certification and verification system. C&I and CoC developed under the project could be another powerful tool to help economic tree industry in Thailand to be able to compete in the global markets by proving that Thailand has effective mechanism to certify sustainable management in the community forests and planted forests.

4) Energy sector

The resource person in panel discussion also emphasized the country's electricity consumptions which have been relying mostly on natural gas (70% of the total electricity production). Energy security is an issue that has been debating a lot within the energy sector as well as among the public. Renewable energy especially biomass could be another option for the country. Through promotion of small-scale biomass power plant which using biomass from the local area, this could expand local market for timbers. For international markets, especially Japan requires a lot of biomass for electricity and needs materials from sustainable managed certified forests. Japan accepts certification from any standard that is accepted within that country or at international level.

Recommendations on the way forward;

- Working more with communities to apply C&I for sustainable CF management
- Set clear target “what should be priority for forest certification? what standards and for what purposes? (FSC, PFPC, FLEGT, etc.)”, to be able to communicate in the same way.
- Similarity to TLAS (Timber Legality Assurance System)? which RFD is also the main organization to develop from the beginning.
- Next step should be clearer and communicate to relevant stakeholders, “which organizations will be involved as CB, AB, etc.? how much for the costs? how long to develop?”.

3.3 Development of forest certification for sustainable forest and local economic management

Forest landscape management has been changed dramatically due to several amending of policies and laws such as Community Forest Bill, forest management system, etc. Currently, national C&I have been developed however still needed further consultations to establish as national standard, as well as the need to carefully design which taking into account repetition with existing systems such as FLEGT or TLAS, etc. The open discussion in the last session, the facilitator proposed three main next steps as the following;

1. Establish a working group to work out a “national standard system”
2. Determine some requirements for this forest certification system such as accessibility, internal audit, required mechanisms (e.g. individual or group certification, etc.)
3. Develop incentive mechanism, such as determine clear target group; who should be main clients for this system? and how to get them access and benefit from the system?

Other recommendations from participants:

- The main target group for this system should include smallholders, because C&I recommended a minimum requirement and could be alternative for smallholders to access certification system when they need.
- The cost should be low and procedures need to be simple to be easy access for communities and farmers.
- Incentive mechanism to attract smallholders (besides for sustainability), could be subsidy from RFD or any private sector within the first 3-5 years, and there may be internal audit to assist the smallholders to be eligible to enter the certification system or see the benefits from the system.
- Determine clear buyer, such as biomass power plants in Japan require biomass that has any certification, the government should campaign more with buyer side to know the market mechanism.

Photos from the Project Closing Ceremony





ANNEX 6

Study Tour of Forest Certification and Forest Marketing in Japan



Thai Royal Forest Department Study Tour to Japan for C&I for SFM

17-21 March 2019

1 Background

The Royal Forest Department, Ministry of Natural Resource and Environment of Thailand has worked for the preparation of national Criteria & Indicators and Custody of Chain (COC) system for Planted Forest and Community Forest Sustainable Management (C&I and COC) with support of the International Tropical Timber Organization (ITTO) since 2017. Draft C&I and COC were adopted by the Project Steering Committee (PSC) in Oct 2018 and the ITTO project is in the process of proposing the RFD to endorse them as an internal auditing system in the Royal Forest Department.

Forest policies of RFD have been concentrating on forest law reforms, promoting forest land increasing through economic forest plantations and community forests in national wide. Thus RFD has recognized the importance of developing and implementing national certification standards to enhance and ensure responsible and sustainable supply of forest produce to local and international markets. Legally and sustainably produced forest products are essential for forest sustainable management and forest utilization while securing local livelihoods. In this regard, RFD policy makers are keen to further enhance their knowledge and experiences in C&I and COC standard systems to advance SFM in Thailand.

The proposed study tour to learn Japan's certification systems would facilitate the endorsement of the draft C&I and COC for Planted Forest and Community Forest Sustainable Management which have been prepared by the ITTO project as an internal

auditing system in the RFD. In addition, the study tour will provide a great opportunity to learn best SFM practices in Japan.

2 Objectives

In the context of promoting sustainable forest management (SFM) in Thailand, the study tour aims to:

1. Enhance RFD policy makers' knowledge of the development and implementation of C&I and COC in Japan for effective development of Thai C&I and COC
2. Share RFD experience in promoting SFM - certification standard and forest marketing development with Japanese partners
3. Build up bilateral collaboration opportunities between RFD of Thailand and Forest Agency of Japan and other stakeholders, including SGEC, in promoting C&I and COC implementation.

3 Expected Outputs

1. RFD policy makers' better understand of C&I and COC and their support to their implementation as internal auditing system.
2. RFD efficient development process of endorsing the draft C&I and COC in forest management in national policy.
3. RFD support and implementation of C&I and COC as an internal auditing system for sustainable forest management.

4 Duration

17-21 arch 2019 (see more details in Annex)

5 Delegation members (Tentative)

1. Mrs. Amuayporn Choldumrongkul,
Deputy Director-General of RFD,
Delegation Leader
2. Mrs. Nutana Boonyananta

- Director of Community Forest Management Bureau, RFD
3. Mrs. Warawan Tanakitrungruang
Director of Planning and information Technology, RFD
 4. Mr. Suchat Kalyawongsa,
Director Forest Research and Development Office, RFD
 5. Mr. Sapol Boonsermsuk
Director of International Forestry Cooperation Division, RFD
 6. Dr. Suwan Tangmitcharoen
Acting Expert on Forest Plantation Promotion Office, RFD
 7. Dr. Nikhom Laemsak,
Dean of Faculty of Forestry, Kasetsart University
 8. Dr. Sutep Junkhiaw,
Professor of Faculty of Forestry, Kasetsart University
 9. Miss Nisabhat Tonwoot,
Forestry technical Officer, Professional Level, Permission Bureau, RFD
 10. Mr. Montri Intasen,
Forest Technical officer, Practitioner Level,
International Forestry Cooperation Division, RFD
 11. Ms. Somying Soontornwong
ITTO C&I and COC Project Manager in Thailand

6 Indicative discussion points of the Thai delegation team:

1. Ways to increase the possible recognition of Thai C&I and COC in domestic and regional markets: RFD has developed sustainable forest management standards for both SFM and COC systems with engagement of forest management stakeholders. In this regard, the ITTO project has provided a good support and RFD expects that they will be comparable to international standards including Japanese standards.
2. Lessons from the development and implementation of Japanese C&I and COC: RFD aims to certify planted and community forests in the near future, but we are not confidence enough to set up our organization structure and system of

work yet. We are very interesting to learn experience from SGEC and JIA in development of certification standard and procedure of development

3. Systems for accreditation and auditors for certification in Japan: Some organizations in Japan are interested in having a certification, which is comparable to bilateral levels, in the near future for certifying the forest and community forests of Thailand for Japanese market. Which factors are important for determining the credible certification mechanism between Thailand and Japan? The development of potential auditors is mostly relying on the development of certification bodies which may be examined together at an early stage and have Accreditation in the next phase. Items might move from the certification of fuel energy from wood first, consisting of wood pellets and wood chips from wood, and forest plantations, including rubber.
4. Certification standard development for non-timber forest products in Japan: Thailand and Japan may target on development of projects to promote sustainable economic growth. We have learned that Japanese policy on promoting local forest products for local livelihoods such bamboo production, ecotourism and others. It's very importance for community forest management. Any certification standard for forest production and non-timber product, need to learn more.
5. Japanese pulp and paper business sector's investment interests in Thailand: Japanese pulp and paper industry has invested in many countries. Is there any need to certify the quality and quantity of biomass production in Thailand. What are Japanese pulp and paper or forest products industry's investment criteria? Are there any potential for rubber plantations in Thailand to link to energy policy in Japan?

7 Communication line

Key coordination:

Ms Somying Soontornwong, ITTO C&I and COC Project Manager in Thailand

Email: somying.s@gmail.com

Mr. Sapol Boonsermsuk, Director of Forest International Collaboration Office, RFD

Email: sapolboonsermsuk@gmail.com

The project team of ITTO project “Development and implementation on Criteria and Indicators for Planted Forest and Community Forest Sustainable Management” managed by RFD will coordinate the study tour under the guidance of RFD International Collaboration Office

Tentative Schedule
Study Tour of Forest Certification and Forest Marketing in Japan
17th – 21th March 2019: Tokyo, Japan
Collaboration of Royal Forest Department and ITTO

Sunday 17th March 2019		
08.00	Depart to Tokyo from Suwannabhum International Airport by Thai Airways (TG 676)	Sun Smile Holiday
15.50	Arrive at Narita International Airport (Japan) and Immigration processing, take Shuttle Bus to Tokyo	Travel by mini bus
	Check in at Granbell Hotel Shinjuku	http://www.granbellhotel.jp/shinjuku/
Monday 18th March 2019		
09.00	Visiting ITTO Meeting: Dr. Ma at ITTO and meeting with the ITTO Representative, sharing and discussion on C&I and COC development Project and implementation direction in Thailand and learn on future collaboration between RFD and ITTO on Sustainable Forest Management at the Head Office of ITTO, Yokohama	Contact person: Dr. MA Hwan-ok Projects Manager Forest Management Division ITTO/Yokohama, Japan
	<i>Lunch</i>	
14.30	Visiting JIA Office at JIA Building 1-4-10, Akasaka, Minato-ku, Tokyo Meeting: Mr. Mamoru Yanagisawa, - Experience sharing and	Contact person Mr. Mamoru Yanagisawa Director of Environmental Verification Department, JIA

	<p>learning on:</p> <ul style="list-style-type: none"> - Certify Standard which JIA uses for certification. - Mechanisms and guidelines for international certification. - Direction and processing for certification standard development. - The possibility of collaborating to develop standards in Thailand. 	<p>Address: JIA Office at JIA Building 1-4-10, Akasaka, Minato-ku, Tokyo</p>
	Granbell Hotel Shinjuku	http://www.granbellhotel.jp/shinjuku/
Tuesday 19 March 2019		
09.50	<p>Visit Ministry of Agriculture, Forestry and Fisheries 10:00-11:10 Lecture and discussion: Forest Management System in Japan” by Mr. Makoto OZAWA, Senior Policy Analyst for International Affairs, Forestry Agency, MAFF, Japan 11:10-11:30 Visit Mr. Koji HONGO, Deputy Director-General, FA, MAFF, Japan</p>	<p>Contract person Mr. Masaki YAMASHITA, Deputy Director, International Forestry Cooperation Office, Forestry Agency, MAFF, Japan</p> <p>Mail: masaki_yamashita680@maff.go.jp</p>
	Lunch	
14.00	<p>Visit Japan Forest Technology Association (JAFTA) -14.00-14.30 Introduce of delegation team (RFD) and JAFTA, objectives of visiting -14.30-16.00 Presentation of the certification scheme by sharing and discussion of C&I and COC guideline of Thailand and JAFTA presentation on latest technology on Forest monitoring -16.00-16.30: Q&A the way forward and conclusion</p>	<p>Contact person: Ms. Sayako Kimnura Headquarter of JAFTA 7 Rokuban-cho, Chi Yoda-ku, Tokyo 102-0085 Japan Phone: +81-3-3261-5281</p> <p>Sayako.kimura@jafta.or.jp</p>
	Granbell Hotel Shinjuku	http://www.granbellhotel.jp/shinjuku/
Wednesday 20th March 2019		
10.00	Visiting SGENC Office at Nagatacho-build. (the 4th floor, 2-4-3 Nagata-cho,	Contact person: Makiko Horio, Manager, International

	hiyoda-ku,Tokyo) Meet: Makika Horio and Mr. Shigeru Takahara - Sharing and learning on the SGEC standard, which is the wood certification standard in Japan.	Relations (makiko.horio@sgec-pefcj.jp) Mr. Shigeru Takahara, GEC/PEFC Mr. Kiyoo Nakagawa, Secretary General and Director (nakagawa@sgec-eco.org) , Tatsuya Kajiya, Director (kajiya@sgec-pefcj.jp) ,
	Lunch : Box Set	On Bus
Afternoon	Visiting a certified wood processing mill in Imaichi city, Tochigi prefecture Tamura Timber Co., Ltd. 381-4 Toyoda, Nikko-city, Tochigi 321-2414 Tel : 0288-22-5648	Mr. Shigeru Takahara, GEC/PEFC Japan will organize a visiting for the team. The address will be confirmed Appointment time: 15:00 ~ Location: Take Tohoku Expressway from Tokyo to Utsunomiya Interchange, enter Nikko-Utsunomiya Highway and get off at Dosawa Interchange. We expect to take around 2 and half hours from our office to there. Considering possibility of traffic jam, It may be better to leave our office at Tameike-Sanno around 12:00, just after the morning session, and have lunchboxes in the bus.
20.00	Granbell HotelShinjuku	http://www.granbellhotel.jp/shinjuku/
Thursday 21st March 2019		
	Asakusa Temple	
14.30	Arrive Narita Airport	Sun Smile
17.30	Departure from Narita Airport Japan by TG 677 at 17.30 local time	
22.30	Arrive Bangkok Safety	

Study Trip Report

The Project of Development Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests, and Chain of Custody for Timber and Forest Products in Japan.

During 17-21 March 2019

Under a Project on Development and Implementation of Criteria and Indicators for Sustainable Management of Planted Forests and Community Forests,
Serial Number: PD 470/07 Rev.1 (F)

On 18 March 2019,

1. visiting International Tropical Timber Organization (ITTO) in Yogohama

RFD delegates visited ITTO head quarter in Yogohama. The group was welcomed by Dr. Gerhard Dieterle, Executive Director, Dr. Hwan OkMa, Project Manager and ITTO staffs. Key issues that were discussed during the visit to ITTO included;

- Production of the project communication media such as short video, poster, animation, etc. as a means to communicate the project achievements to key stakeholders. ITTO agreed to assist on technical contents during the production of these media.
- Consulting on the implementation of Teak Project, on which the C&I from this project can be applied in the Teak Project and there is also a plan for the Teak Project to produce communication materials which ITTO can provide technical inputs on the productions as well as on the project launching event in late April and also the Teak Conference that will be held in Thailand in 2020. Concerning the project implementation, everyone agreed that the project outcome should get to the end produce in order to add value to the teak. ITTO will help in communicating with buyers that teak from the project are from sustainable and legal sources.

2. Visiting Japan Gas Appliances Inspection Association or JIA

In the afternoon of 18th March, the group visited Japan Gas Appliances Inspection Association or JIA and was welcomed by the executive officers and related staffs. The discussion focused on wood biomass supplier certification which is part of Feed In Tariff (FIT) under Japan Forest Agency FIT is a measure to promote buying of electricity from renewable sources as an incentive for private sector to invest in renewable energy power plants. JIA staff presented how FIT is operating in Japan;

- Biomass power plant operators will follow FIT operational guideline endorsed from Forest Agency of Japan which requires for getting biomass from legal

sources based on the biomass type. The organizations who can certify FIT are (1) business association, and (2) external organization such as JIA which has been the only authorized organization to certify under FIT Scheme.

- Any operators want to import biomass to Japan need to apply and getting JIA to issue certificate. The operator will need to fill in application form and submit the documents/evidence required in the FIT guideline as well as additional documents required by JIA.
- JIA will issue a certificate following its own auditing system consist of 4 stages (1) provide information on the producers (name, type of operation, etc.), (2) information on the species, (3) laws use in the producers' country, including the transportation issues, (4) JIA's verification of legality and using a third party company to assure the information provided.

On 19 March 2019,

3. visiting Ministry of Agriculture Forestry and Fisheries: MAFF

RFD delegates met with Mr.Koji Hongo, Deputy Director General of the Forest Agency. Mr.Koji Hongo welcomed the delegates and provided a brief presentation of a history of forestry sector in Japan. After WWII Japan has depleted a lot of country forest resources, the loss of forests urged people to be aware of proper use of forest products. The forest are used through several objectives include soil conservation, watershed conservation, conservation of biodiversity, recreation, as well as for timbers, etc. As climate change has become global concern the Forest Agency in Japan is always taking into consideration that sustainable forest management should consider social, environment and economic outcomes.

The staff of Forest Agency's presentation related to forest management in Japan, can be summarized as the following;

- Japan has forest cover for 70% of the country area which is higher than the global average of forest cover. Forest management in Japan divided into three categories including 1) Natural Forest under responsibility of Forest Agency, 2) Private Forest and 3) Public Forest which is in the area of the local municipality.
- 74% of the private forest has an area between 1-5 hectare, while the land owners who own forest between 50-100 hectare is only 1%. When compare the total area of smallholders which is account to 74% own the total area of 25%, compare to large forest land owners (own 50-100 ha.) has the total area of 32%.
- Regarding demand and domestic supply for timbers in the country has been increased from 18.8% in 2002 to 36.1% in 2017. One factor due to development of new technology by the private sectors therefore the timber can be used more effectively and under different purposes.
- Demand for timbers in Japan include using sawn wood for 26.37%, plywood for 13% and pulpwood and wood chips for 40%.

- The management planning of Japan comprise of planning at the government level which is a long term plan (National Forest Policy), and MAFF will bring long term goal to develop National Action Plan with a 15 year time frame and will be revised every 5 years. The municipalities and the private forests can develop a 5 year action plan based on their interests and under voluntary basis.

Some conclusions and recommendations;

- Japanese government suspended the use of nuclear power plants and supports the biomass power plants as well as solar power. Mr.Koji Hongo explained it is still challenging to raise awareness and promote using of biomass to different sectors in the country. Therefore the government endorsed a policy on Feed-in Tariff or FIT to promote of the low quality timber in energy consumption.
- The policy on economic timbers of Forest Agency, especially for smallholders and community forests, Mr.Koji Hongo elaborated it is highly related to sustainable forest management, through planning and effectively implement according to the plan. The Forest Agency expects that Forest Certification in Japan will complies with the highest standard such as FSC, SGEC, etc. As 60% of forest area in Japan is private forest and half of this is owned by smallholders (less than 5 ha.). The government's measures to support smallholders including support funding for plantation (70% of budget) and selling of their products (50% of budget), which proved to be good incentive for smallholders to engage in forest plantation however not sufficient as incentive for increasing economic values. Therefore, the main challenge of the government is increasing the use or consumption of domestic timber products. Forest Agency is collaborating with municipality throughout the country to support more smallholders' forest plantation for economic. A new taxation policy has been developed to collect 1,000 Yen per year from 60 million population and use as a sustainable management fund. Concerning community forests, since these are under private land the Forest Agency could not work directly however the government has revised some policies so the Forest Agency could engage with communities to develop collaborative agreement which allows the municipalities to manage community forests using new taxation fund.

4. Visiting Japan Forest Technology Association (JAFTA)

In the afternoon, RFD delegates visited the Japan Forest Technology Association (JAFTA) and received a warm welcome from the Director of JAFTA. JAFTA has been established for 94 years, at the beginning the forestry engineers had been primarily trained from Germany and then carefully applied knowledge and technologies in the Japanese contexts. JAFTA's roles including building capacity, public campaign for the importance of forest resources, international cooperation, and forest certification, etc., with 130 staffs in the headquarter and 6 regional

offices. JAFTA involves in 60% of forest certification in the country and 8% of this is small forest land. Furthermore, there were presentations by JAFTA on Clean Wood Act of Japan and Forest Certification and Forest Resource Monitoring System in Viet Nam; can be concluded as the following.

- Information related to forest plantation area for the household level under a study of IGES: Institution of Global Environmental Strategies. RFD will further contact IGES for this information.
- Application of technology from Sweden to monitor forest area in Vietnam through funding support from JICA, this is one of the activities under a large project under this support. There was a suggestion if RFD is interested it can consult with JICA or JAFTA to request for JICA funding.

On 20 March 2019,

5. visiting Sustainable Green Ecosystem Council: SGEC

RFD delegates visited a headquarter of Sustainable Green Ecosystem Council: SGEC which only established for 2 years, its objective is promoting sustainable forest management in Japan as well as promoting the effective utilization of timbers throughout the country. SGEC is a certification standard that has been implemented within Japan since 2003 and has been recognized as international standard since 2016. Mr.Kiyoon Nakagawa, Director and Secretariat General gave his comment that C&I development for sustainable forest management will become a vital part for the region including for ASEAN and Asia. Therefore if all countries in the region have adopted C&I for sustainable forest management which developed under each country, in the future there could be a network that lead to more collaboration on C&I towards more sustainable management of forests in the region. Mr.Kiyoon Nakagawa also gave a brief presentation of SGEC's works which can be summarized below.

- Development of certification standard in Japan which known as SGEC has been initiated since 2003, and at the beginning the certification was being used only within Japan. Then it was endorsed by PEFC (Programme for the Endorsed of Forest Certification Scheme) in 2016, to be recognized for international standard. After SGEC was endorsed by PEFC, the number of certified forests and organizations which were certified for CoC increased. One factor may be because the promotion to use certified timbers during the year Japan hosted Olympic Games and Paralympic.
- PEFC certification process through SGEC in Japan comprise of the following;
 - (a) Forest Certification has three steps;
 - Forest Management Certification; following measures of each country and Japan uses SGEC for Forest Management Certification.

- Chain of Custody; Japan follows the standard principle of CoC which already has clear procedures.
- Third Party Certification; Japan took 2 years to be able to get endorsed by PEFC which is a third party to certified SGEC standard.

(b) Raise awareness to the private operators and people to use SGEC/ PEFC certified products. At the beginning people did not understand and fully support the Forest Certification as Japan already had clear National Forest Planning System by the government while Forest Certification initiated from the needs of private sector to provide evidence that forest products in the market are from sustainable managed forests.

(c) The key achievements include, increased understanding of business operators and people on the importance of sustainable forest management. SGEC standard has 7 principles including; (a) Forest policy such as compliance with the laws, forest management plan, etc. (b) Protection of biodiversity (c) Soil conservation (d) Sustainability of forest products and forest integrity (e) Laws related to sustainable forest management (f) Support economic and social development, and climate change mitigation (g) Monitoring and verification, and public disclosure. The type of SGEC/PEFC certification includes (a) Group Certification; group formation of smallholders, may be under different entity such as cooperative, association, etc. to request for certification (b) Group FM Certification; compliance of the Forest Management Plan by different groups or organizations (c) Certification of Integrated CoC Management.

After the presentation, RFD delegates raised some questions and concerns included;

- When Japan hosted Olympic Paralympic Games and there was a policy to use certified timber, did this also include all sport equipment; The answer was not decided.
- What were key challenges in implementing SGEC at the beginning; The answer was that some organizations still confused whether SGEC would duplicate with National Forest Planning System. It can be explained that SGEC is a bottom up approach.
- SGEC is based on a voluntary system of the private sector, therefore it does not get any subsidies from the government. Unlike the National Forest Planning System that there are government subsidies. However, SGEC implementers agree with no subsidies from government and prefer it to be under voluntary basis of the private sector.
- In SGEC certification process through PEFC, SGEC agency found another challenge due to timber harvesting system of the indigenous people (I-nu) which needs to take into account the methodology and local knowledge.

There have been discussion on how to fit these into SGEC certification process and then further endorse by PEFC.

6. Visiting Tamura Lumber Wood Co.,Ltd. and Nikko City Hall

RFD delegates traveled to Nikko town which is 180 km. from Tokyo to visit Tamura Lumber Wood Co.,Ltd. and Nikko City Hall. Tamura is a small scale wood processing factory with production capacity about 10 cubic meters per day. Timbers of the factory come from nearby plantations and 10% of these are certified timbers. The certified timbers would be separate from non-certified by putting in separate log piles. Some of the non-certified timbers may come from the plantations managed under the National Forest Planning System which more plantations in Nikko will be following the National Forest Planning System and most likely not applying for FM certification because of the high cost in the certification process. Tamura factory has applied for CoC with an entry fee around 200,000 Yen and the annual fee around 100,000 Yen, depending on the plantation area. Currently, SGEC certification does not involve any fee in order to encourage more use. After Tamura factory, RFD delegates visited Nikko City Hall which was built using wood from the 2 ha of the city's public forest as a way to promote natural resources conservation and using of timber from sustainable managed source.

Comments and recommendations:

- There should be further collaborations with organizations visited during the study trip such as future collaboration with ITTO / collaboration with JAFTA and JICA in some regional projects / collaboration between RFD and Forest Agency, etc. Some potential issues already mentioned in the main report.
- Apply results from C&I project in the new ITTO's Teak Project.
- Clarify the definition of community forest in the Japanese contexts, to learn similarities and differences from Thailand.
- Concerning adoption of C&I in Thailand, the RFD may start from defining the scope of C&I implementation such as C&I can be used by smallholders that have total production up to certain cubic meters, etc., to allow smallholders to be able to access standard system for their trades. While the large private plantations or operators could use existing systems such as FSC, TFCC, etc.
- The roles of RFD and relevant organizations, as the C&I have been developed by RFD therefore there should be clear if RFD will be the main implementer of C&I or allocate this role to any external organizations. Lessons from this study trip informed that the agency which develops the standard and the verification and certification agency should be different.
- Policy to promote economic trees should take in to account trend of species and markets whether to focus on domestic or international markets. Consequently, this information will help to determine further improvement and adoption of C&I.

- There should be a risk assessment for implementing C&I.
- A meeting to present the lessons learned from this study trip to related officials should be organized.

ANNEX 7

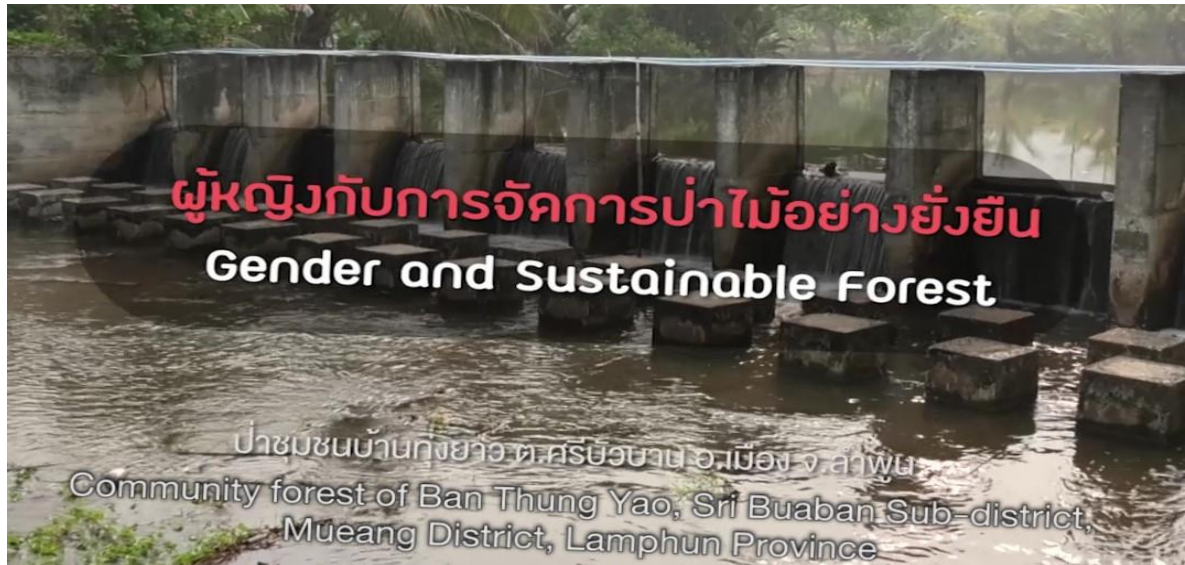
Media Production from the Project: PD 470/07 Rev.1 (F)



Info Graphic on Sustainable Forest Management (SFM)



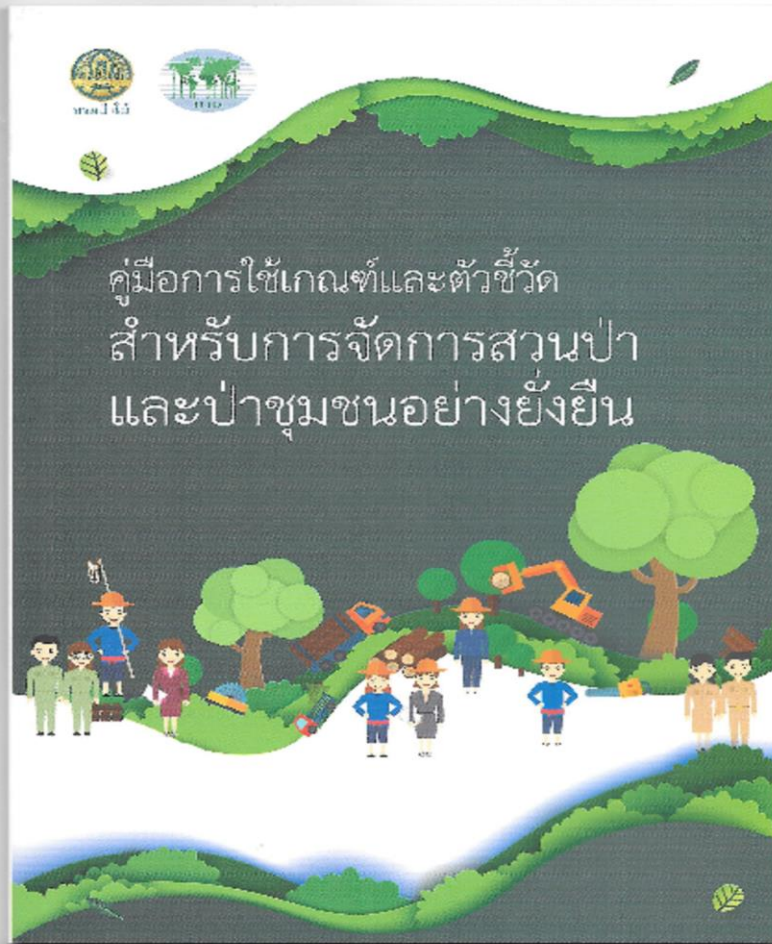
Info Graphic on C&I for Forest Sustainable



VDO Present on Gender and Sustainable Forest Management



Info Graphic on Custody of Chain for Sustainable Forest Management (SFM)



**Guideline Handbook on C&I and CoC
For Sustainable Forest Management**



Poster of C&I and CoC for Sustainable Forest Management

ANNEX 8

Photos of Project Activities



Stakeholders and National Working Group Meeting



4 Days C&I and CoC Training and field visiting



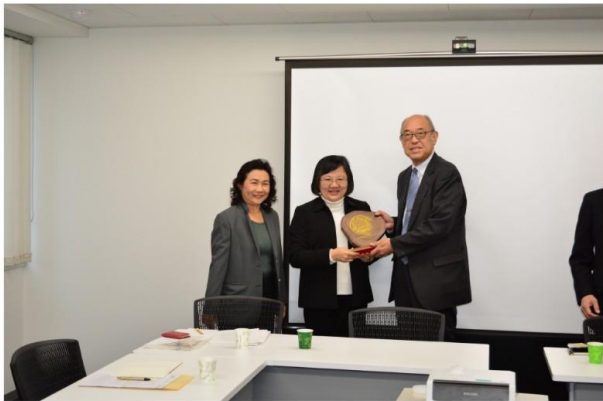
Visited Forest Industrial Organization in Kanchaburi



C&I practicing as Community Forest Scan in the Community Forest, Kanchaburi



Field work in the Training on C&I and CoC in Nan



Royal Forest Department Delegation visit Japan during 17-21 March 2019



During Japan visiting, all delegation team had chance to share and discussion



Field visiting and practice on CoC, in Nan



Field Visiting and meet the Forest Planed holders