



Rules, Procedures, Conditions, and Fees for Printout System Certification

ELECTRONIC TRANSACTIONS DEVELOPMENT AGENCY (PUBLIC ORGANIZATION)

August 2016

Preface

The Electronic Transactions Act B. E. 2544, which is amended by the Electronic Transactions Act (No. 2) B.E. 2551, requires that there is a printout certification body to certify printouts of data messages so that they can be used as references in place of data messages and can be used in lieu of the original documents. By virtue of Section 10 Paragraph 4 of the Act, the Electronic Transactions Commission has issued the Notifications of the Electronic Transactions Commission on Certification of Printout B.E. 2555 and Printout Certification Body B.E. 2555 to appoint the Electronic Transactions Development Agency (Public Organization) or ETDA to serve as the printout certification body authorized to certify data message printout systems as prescribed by laws.

Therefore, ETDA as the printout certification body has prepared this document to provide general provisions for rules, procedures, conditions, and fees for printout system certification for agencies interested in requesting a printout system certification to understand the rules, procedures, and conditions for auditing prior to filing a request.

Electronic Transactions Development Agency (Public Organization)

August 2016

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Rules, Procedures, and Conditions for Printout System Certification

1. Introduction

1.1 Scope

This document defines the rules, procedures, conditions, and fees for printout system certification for agencies interested in requesting a printout system certification. It covers steps in submitting a request, certification audit, surveillance audit, certification renewal, reducing the scope of certification, cancelation, suspension and revocation of certification, filing a complaint and appeal, and protecting confidentiality, and includes changes related to printout system certification announced by the Electronic Transactions Commission.

1.2 References

1.2.1 Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555.

1.2.2 Notification of the Electronic Transactions Commission on Printout Certification Body B.E. 2555.

1.2.3 Notification of the Electronic Transactions Commission on Policy and Practice in Information Security of State Agencies B.E. 2553.

1.2.4 Notification of the Electronic Transactions Commission on Policy and Practice in Information Security of State Agencies (No. 2) B.E. 2556.

1.2.5 Royal Decree Establishing the Electronic Transactions Development Agency (Public Organization) B.E. 2554, Chapter 1 Establishment, Objectives, and Authority, Section 8(7) to collect fees, dues, considerations, or service charges from any undertaking done in accordance with the objectives of the Electronic Transactions Development Agency under the rules and rates determined by the Commission.

1.2.6 ISO/IEC27001 Information Security Management System.

1.2.7 Notification of the Ministry of Industry No. 4572 (B.E. 2556) issued under the Industrial Product Standards Act B.E. 2511 on Guidelines for Management System Audit TIS 19011-2011.

1.2.8 Notification of the National Standardization Council on Accreditation Rules, Procedures, and Conditions for Certification and Inspection Bodies published in the

Government Gazette, General Notifications, Volume 127, Special Section 133 Ngor dated 16 November B.E. 2553.

1.3 Definitions

In this document:

1.3.1 **Agency** means the Electronic Transactions Development Agency (Public Organization), which is the agency appointed by the Electronic Transactions Commission to serve as the printout certification body authorized to certify data message printout systems as prescribed by laws.

1.3.2 **Commission** means the Electronic Transactions Commission.

1.3.3 **Audit client** means a person or organization that requests a printout system certification audit.

1.3.4 **Auditee** means a person or an organization that is being audited.

1.3.5 **Auditor or assessor** means a person who is qualified as an expert or is experienced in information systems security, identification and authentication technology, data message generating system, and information systems security inspection and assessment to systematically and independently conduct an audit to obtain audit evidence and results to determine the extent to which audit criteria are fulfilled.

1.3.6 **Printout system certification recipient** means an audit client who has been audited for a printout system and found to conform to the rules, procedures, and conditions set forth by the Commission or agency appointed by the Commission, thus receiving a printout system certificate issued by the printout certification body.

1.3.7 **Printout** means a printout of a data message presented or stored as an original document.

1.3.8 **Printout System** means a system used to input a data message that is an original document of a printout and to generate a printout to be used as a reference to the content of the data message.

1.3.9 **Audit Committee** means a group of auditors appointed by the Agency to conduct a printout system audit in accordance with the rules, procedures, and conditions set forth by the Commission or agency appointed by the Commission.

1.3.10 **Review Committee** means a group of people appointed by the Agency to review audit results before submitting them to the Certification Committee for consideration.

1.3.11 **Certification Committee** means a group of people appointed by the Agency to certify and officially issue a certificate to an audit client attesting that a client has a printout system that conforms to the rules, procedures, and conditions set forth by the Commission.

1.3.12 **Technical expert** means a person who provides specific expertise or knowledge to the Audit Committee but does not act as auditor.

1.3.13 **Observer** means a person who accompanies the Audit Committee but does not perform audit functions and does not influence or interfere with the audit. An observer can be from an auditee that is a regulatory organization or any other interested party.

1.3.14 **Guide** means a person appointed by an auditee to assist the Audit Committee.

1.3.15 **Audit program** means a set of arrangements that are intended to achieve a specific audit purpose within a specific time frame.

1.3.16 **Audit plan** means a plan describing the activities and preparations to be carried out in order to achieve audit objectives.

1.3.17 **Audit scope** means the extent and boundary of an audit, including physical location, activities, processes, and time period.

1.3.18 **Printout certification body** means the Commission or agency authorized by the Commission to certify printouts.

1.3.19 **Pre-audit** means an examination of relevant documents provided by an audit client to assess the primary readiness of an audit client for a printout system certification audit. It is also used to develop and present an audit plan, prepare an audit agreement, and set a certification audit schedule.

1.3.20 **Certification audit** means a printout system certification audit conducted at an establishment at the source and destination locations in order to assess conformity to the Notification of the Electronic Transactions Commission on Certification of Printout and the effectiveness of the performance of the printout system being audited.

1.3.21 **Conformity** means the fulfillment of requirements under the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555.

1.3.22 **Nonconformity** means a failure to comply with requirements under the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555.

1.3.23 **Major nonconformity** means the situation in which an organization has yet to implement a system or implements a system that does not conform to the requirements or implements a system but fails to put it into practice or has several minor nonconformities that affect a printout system or operates without regard to the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555.

1.3.24 **Minor nonconformity** means the situation in which an organization implements a system and applies it inconsistently without impacts to a printout system under the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555.

1.3.25 **Observation** means an issue that is not considered to be nonconformity but could lead to nonconformity if not addressed or neglected.

1.3.26 **Opportunity for improvement** means a suggestion or an opportunity to improve such as a suggestion to improve operational effectiveness or prevent nonconformity.

1.3.27 **Audit criteria** mean standards, laws, or a set of policies, procedures, or requirements used as a reference against which audit evidence is compared.

1.3.28 **Audit evidence** means records of factual statements or other information that is related to the audit criteria and verifiable.

1.3.29 **Audit findings** mean results of the evaluation of the collected audit evidence and then compared against audit criteria to determine the extent of conformity, nonconformity, major nonconformity, minor nonconformity, and observation.

1.3.30 **Audit conclusion** means an outcome of an audit after consideration of the audit objectives and all audit findings.

1.3.31 **Surveillance** means an audit to monitor the maintenance of a printout system conducted prior to the end of a re-assessment cycle to ensure that a printout system still meets the requirements.

1.3.32 **Re-assessment** means an audit conducted to renew a certification. Its objective is to reexamine a printout system to determine whether a system is put into practice by an organization and remains effective. A re-assessment is performed before the expiration date of the certificate.

2. Audit Rules and Conditions

2.1 General Conditions

2.1.1 Thai language shall be the principal language used in the Printout system certification process such as request submission, liaison, and audit.

2.1.2 A printout system certification and audit request form can be downloaded at <https://www.etcha.or.th>. Documents required for audit request are as follows:

- (1) Work procedure (if any);
- (2) Printout system certification and audit request form;
- (3) Supporting documentation for printout system certification and audit request form;
- (4) Certificate of Establishment:
 - (4.1) For state agencies, submit a Certificate of Establishment;
 - (4.2) For private organizations, submit a Certificate of Juristic Person that is not more than 6 months old;
- (5) Letter appointing authorized representative to act on behalf of juristic person;
- (6) Proof of authorization (if any);
- (7) Map showing the location of the establishment to be audited.

2.2 Audit Client Qualifications

The audit client must possess qualifications and no prohibited characteristics as follows:

2.2.1 Be a juristic person;

2.2.2 Has never had a certification from the printout certification body revoked, except where a period of 6 months is lapsed;

2.2.3 Be a cooperator with a printout generator to generate printouts and is able to

(1) Inspect quality of the equipment and devices used in the printout production to ensure that such equipment and devices are able to generate printouts that are accurate and complete as shown in the data message (Clause 17(1) of the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555);

(2) Review the accuracy and completeness of printouts of the data message in accordance with the procedures prescribed by the printout system (Clause 17(2) of the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555).

2.3 Audit Criteria

The Agency shall conduct audits in accordance with the rules and procedures prescribed in Chapter 2 of the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555 as follows:

2.3.1 Clause 12; The printout certification body will certify the printout system of the applicant for certification of the printout system when it has examined and found that the printout system is in accordance with the rules and procedures as prescribed in this Chapter, which shall be deemed as the minimum standard, but a certain minimum standard shall not be applied.

2.3.2 Clause 13; The printout certification body shall consider and certify the printout system by having regard the following rules:

(1) The printout system has a process which ensures that printouts have the accurate, complete, and same statement as the data message. The applicant for certification of the printout system shall provide a process in inspecting and certifying accuracy and completeness of printouts;

(2) Quality and efficiency of the tool and equipment used in the printout system;

(3) Procedures used in identification of the person engaging in the printout system;

(4) Any other act which is necessary to ensure that the printout system is consistent and corresponding with the rules or standards prescribed by the Notification of Commission or the agency entrusted by the Commission.

2.3.3 Clause 14; The printout certification body will certify the printout system when such printout system is in accordance with the following rules:

(1) There is an information security system with a standard not less than the rules in accordance with the Notification of the Electronic Transactions Commission regarding the Policy and Practice in the Information Security of State Agencies B.E. 2553 or other equivalent standards;

(2) There is a backup and data recovery system;

(3) Technology and preventive measure is created in order to prevent any alteration or amendment of the data message, except for an additional certification or record by the authorized person which does not affect the correctness of the data message;

(4) There is an evidence-recording process of the additional certification or record of the data message;

(5) There is an evidence-recording process of making the printouts for use in the inspection of the history of the making of the printouts;

(6) There is a reliable procedure in identification of the persons engaging in the printout system which shall at least cover of the following matters:

(6.1) Identification

(6.2) Authentication

(6.3) Authorization

(6.4) Accountability

This is to assure that the printouts are generated by authorized persons;

(7) There is a document-sorting system in a form of the data message with the information security and the printouts can exhibit or refer the information for use to inspect thereafter by containing details relating to the data used in inspecting the accuracy, completeness and sameness of the data message such as:

(7.1) Date, month, and year in which a printout is generated;

(7.2) Time at which a printout is generated based on Thailand Standard Time;

(7.3) Information indicating a means to inspect the accuracy and completeness of a printout of the data message such as web page address.

2.3.4 Clause 17; The maker of the printouts has the following duties:

(1) Quality inspection of the tool or equipment which is used in making the printouts in order to ensure that such tool or equipment can make the printouts containing the accurate, complete and same statement as the data message;

(2) Review of the accuracy and completeness of the printouts which is made with the data message in accordance with the procedure as prescribed by the printout system.

2.3.5 Clause 18; For purpose of supervision of the printout system's reliability, the printout certification body may summon the applicant for certification of printouts to give data or submit any document relating to the printout system, including inspection of the printout system every 2 years.

2.3.6 Under Section 5 of the Royal Decree Prescribing the Rules and Procedures for Electronic Transactions in Public Sector B.E. 2549, state agencies shall prepare information security policy and practice statements to ensure that any electronic transaction with or by state agencies is secure and reliable.

2.4 Audit Conditions

2.4.1 An audit client can submit a printout system certification and audit request to the Agency using the form provided by the Agency. An audit client must specify all establishments and audit branch and scope needed to be audited and pay a pre-audit fee in accordance with the Rules, Procedures, Conditions, and Fees for Printout System Certification.

2.4.2 The Agency shall inspect the accuracy and completeness of the submitted request form and supporting documents to be used to prepare an audit and other related processes and shall notify an audit client if correction of documents or additional supporting documents is needed. In the case that an audit client is not ready to be audited or fails to make any action within 180 days after being notified, the Agency will cancel the printout system certification and audit request.

2.4.3 An audit client shall prepare personnel, documents, evidence, places, and equipment needed for an audit and provide the rights necessary to conduct an audit such as the right to enter the site, the right to access relevant systems, the right to inspect records, the right to ask employees or related parties, and the right to conduct other necessary and relevant activities.

2.4.4 The Agency shall appoint the Audit Committee to conduct a procedure and information security assessment independently of the Certification Committee. The Audit Committee will perform the following duties:

(1) Plan an audit and review a submitted request form, documents, audit framework, and other needs such as the language used in an audit;

(2) Present audit plan and details;

(3) Prepare an audit agreement in accordance with the audit plan and framework under 2.4.4 (1) and (2).

2.4.5 The Agency shall conduct a printout certification audit by randomly assessing a number of standards according to an audit plan. A re-assessment to renew a certificate will

be conducted once every 2 years and a printout system certification recipient must submit a request for re-assessment at least 120 days before the expiration date of the certificate.

2.4.6 The Agency shall perform an audit at an establishment. An audit will consist of 2 parts: 1) procedure assessment by means of documentation review, interview, and observation and 2) information security assessment by assessing relevant information systems. The Audit Committee shall record the audit findings and observations found during auditing, prepare a report and suggestions, and submit the audit conclusion to the Review Committee.

2.5 Surveillance Audit Conditions

2.5.1 The Agency shall conduct a surveillance audit to monitor a printout system certification at least once a year after the last audit date. A surveillance audit may be partial or full as appropriate.

2.5.2 The Agency shall randomly inspect the audit branches not randomly assessed during a certification audit and examine a corrective plan and previous audit result report.

2.5.3 In the case that a printout system certification recipient wishes to expand an audit branch or scope after receiving certification, an audit client shall file a request for printout system certification as described in 2.4.1 with the necessary changes having been made. The Agency shall consider conducting a full audit as described in 2.4.6 or partial audit as appropriate.

2.5.4 If the Certification Committee approves the assessment results of audit branch expansion or new audit scope, the Agency shall issue a new printout system certificate to cover all the branches or scope being certified (whichever the case may be). The new printout system certificate (whichever the case may be) shall have the same expiration date as the original certificate and a printout system certificate recipient must return the original certificate to the Agency within the required period.

2.5.5 The Agency reserves the right to conduct an additional surveillance audit if there are reasonable grounds for doing so or if significant changes have been made that affect the operations and activities of a printout system certificate recipient such as complaints or major changes that raise doubts about the operating efficiency.

2.6 Re-assessment Conditions

2.6.1 An audit to maintain a printout system certificate status shall be conducted once every 2 years after the last certificate issuance date. A certificate expiration date is on the certificate and can also be checked at the Agency's website.

2.6.2 A printout system certificate recipient wishing to renew a certificate must submit a renewal request at least 120 days before the expiration date of the certificate and a re-assessment must be completed by the Agency 30 days before the expiration date. After

submitting a renewal request, an audit client may continue to operate as a certificate recipient until being notified by the Agency that the certificate renewal is disapproved.

2.6.3 In the case that a printout system certificate recipient submits a renewal request less than 120 days before the expiration date resulting in a failure to complete a re-assessment before the expiration date, a printout system certificate recipient shall submit a letter of explanation to the Certification Committee to extend a certification period. If an extended period for certification is granted, a printout system certificate recipient must complete a re-assessment within 120 days.

2.7 Certification Conditions

2.7.1 The Review Committee shall review the accuracy and completeness of the audit results. If the Review Committee has any observation or question related to the audit results, the Committee may ask for additional information or auditing before presenting the results to the Consideration Committee.

2.7.2 When the Certification Committee approves the audit results, the Agency shall issue a certificate and submit it to the Director of the Electronic Transactions Development Agency (Public Organization) for signature within 7 days. After the audit results are found to conform to the Notification of the Electronic Transactions Commission on Certification of Printout and an audit client has made a fee payment and is added to the list of printout system certificate recipients, a certificate will be sent to a certificate recipient.

2.7.3 The Agency may cancel a printout system certification if it is found that a printout system does not comply with the rules and procedures prescribed in the Notification of the Electronic Transactions Commission on Certification of Printout.

2.7.4 The Agency certifies only the printout system used to input data messages that are original and to generate printouts for use as a reference to data messages and does not certify the accuracy of the content thereof.

2.8 Reporting Audit Results

2.8.1 The Agency shall send a printout system audit report to an audit client within 30 days from the audit completion date.

2.8.2 In the case that the minor nonconformity is found, an audit client must submit a corrective plan to the Agency within 30 days from the received date of the printout system audit report and correct the minor nonconformity according to the corrective plan within 1 year.

2.8.3 In the case that an audit client fails to make any action to correct the minor nonconformity according to the corrective plan within the required period, the Agency may decide to repeat the audit.

2.9 Conditions of Certificate Use

2.9.1 Comply with the rules, procedures, conditions, and fees for printout system certification set forth in this document, including the amendment or addition that may be subsequently made, throughout the certification period.

2.9.2 A certificate recipient can only make reference to the printout system certification results of the audit branch and scope being certified and shall not use or present the certification results and certificate in a way that misrepresents the essence of the printout system certification or to cause damages to the reputation of the printout system certification, Audit Committee, Review Committee, Certification Committee, and Agency.

2.9.3 Do not use any media that makes reference to receipt of printout system certification or certificate and printout system certification mark when audit branch and scope are reduced or when printout system certification is suspended, revoked, or canceled regardless of any reason.

2.9.4 Do not use the printout system certification results in a way that leads to the understanding that the printout system is certified by the Audit Committee, Review Committee, or Certification Committee instead of the Agency.

2.9.5 Do not use the printout system certification documents, mark, or report, or any part thereof, in a way that misrepresents receipt of printout system certification.

2.9.6 Regulate to prevent a printout generating unit from using the certification results beyond the scope of printout system certification set forth by the Agency.

2.10 Branch and Scope Reduction, Suspension, and Revocation

2.10.1 Printout system certification branch and scope reduction.

(1) The Agency shall propose to the Certification Committee to reduce the printout system certification branch and scope if a printout system certification recipient:

(1.1) Fails to comply with inspection and certification standards or rules, procedures, and conditions prescribed by the Commission or fails to correct or improve to an acceptable level within 30 days from the received date of a warning letter from the Agency;

(1.2) Submits a request for a printout system certification branch and scope reduction.

(2) For printout system certification scope reduction, the Agency shall issue a new certificate to replace the original. The new certificate shall cover the remaining audit branches and scope being certified and shall have the same expiration date as the original certificate. A printout system certificate recipient must return the original certificate to the Agency within the required period.

(3) A printout system certificate recipient who requests or is ordered to reduce any printout system certification branch or scope shall not display the printout system certification mark of that branch or scope.

2.10.2 Suspension of printout system certification.

(1) The Agency shall propose to the Certification Committee to suspend a printout system certification if a printout system certification recipient:

(1.1) Fails to comply with inspection and certification standards or rules, procedures, and conditions prescribed by the Commission. If the Agency has sent a written warning and found that a printout system certification recipient fails to take action to rectify the situation within the period required in the warning letter, the Agency shall suspend the certificate of relevant printout system certification branch and scope for not less than 60 days but not more than 90 days;

(1.2) Fails to comply with the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555. The Agency shall suspend the certificate for not less than 90 days without advance warning.

(2) During certificate suspension, the suspended shall not display the printout system certification mark of the suspended branch and scope.

2.10.3 Revocation of printout system certification.

(1) The Agency shall propose to the Certification Committee to revoke a printout system certification if a printout system certification recipient:

(1.1) Has had a certificate suspended and violates the rules again within 5 years;

(1.2) Violates the law, which causes severe damages to the economy or public interest.

(2) A printout system certification recipient who has had a certificate revoked shall not re-request a certificate for inspection and certification of that audit branch until the period of 6 months is lapsed since the order received date and must return the suspended certificate to the Agency.

(3) The Agency shall make a public announcement of the list of the certification recipients who are ordered to reduce the printout system certification branch and scopes or have certificates suspended or revoked within 30 days from the day on which the Consideration Committee delivers its consideration results.

2.11 Termination of Certificate

2.11.1 A certificate shall cease to be valid if:

(1) A printout system certification recipient dissolves a business or cancels a printout system certification;

- (2) A printout system certification recipient who is a partnership or juristic person ceases to be a partnership or juristic person;
- (3) A printout system certification recipient has a certificate revoked;
- (4) A printout system certification standard is prescribed, amended, or revoked.

2.11.2 In the case that a printout system certification recipient dissolves a business or wishes to cancel a printout system certification under 2.11.1 (1), a certification recipient shall notify the Agency in writing not less than 60 days before business closing or printout system certification canceling, return a certificate within 30 days from the day of business closing or printout system certification canceling, and stop using the printout system certification results in any case whatsoever from the canceled date onwards.

2.11.3 In the case of termination of certificate under 2.11.1 (2) and (3), a printout system certification recipient shall stop using the printout system certification results in any case whatsoever and return a certificate to the Agency.

2.11.4 In the event that a printout system certification standard is prescribed, amended, or revoked under 2.11.1 (4), the Agency shall propose to the Certification Committee to determine appropriate measures in order for the original certificate to remain effective.

2.12 Complaints and Appeals

2.12.1 An audit client can submit a complaint or appeal about unfair printout system certification decision or question about requirements to the Review Committee within 30 days from the date the certification decision letter is issued as follows:

- (1) An audit client or printout system certification recipient can file a complaint about the Agency's practice conducted by:
 - (1.1) Personnel or officer of the Agency;
 - (1.2) Audit Committee;
 - (1.3) Review Committee;
 - (1.4) Certification Committee.
- (2) An audit client or printout system certification recipient can file an appeal about the Agency's printout system certification practice for the following cases:
 - (2.1) Rejection of a printout system certification request;
 - (2.2) Failure to conduct an audit;
 - (2.3) Rejection of correction;
 - (2.4) Any change made to the printout system certification branch and scope;

(2.5) Any action that prevents or delays a printout system certification from being obtained;

(2.6) Decision to disapprove a printout system certification, to reduce certification branch and scope, to suspend and revoke a printout system certification.

2.12.2 The Review Committee shall review the complaint and appeal and the Agency shall notify an audit client or certification recipient of the consideration results within 60 days from the complaint and appeal received date.

2.12.3 If an audit client receives the consideration results and does not satisfy with the decision of the Review Committee, an audit client can submit a complaint or appeal to the Director of the Electronic Transactions Development Agency (Public Organization).

2.13 Change Reporting

A printout system certification recipient must immediately notify the Agency of any changes that may affect the ability in certifying a printout system of the printout system certification recipient under the audit branch and scope being certified or under the rules, procedures, conditions, and fees for printout system certification. Such changes may include:

2.13.1 Change in administrative structure and authority;

2.13.2 Change of legal status and objective for registering a juristic person;

2.13.3 Name change;

2.13.4 Change of printout system certification branch and scope;

2.13.5 Change of business location.

2.14 Changes to Audit Rules, Procedures, and Conditions

2.14.1 In the event that any rule, procedure, and condition related to a printout system certification is changed, the Agency shall propose to the Review Committee to determine the effective date and shall notify an audit client or printout system certification recipient not less than 30 days before the effective date.

2.14.2 An audit client or printout system certification recipient shall make a correction to be in line with such change within the required period stated in 2.14.1. The Agency shall review the correction made by an audit client or printout system certification recipient upon the end of the required period.

2.15 Replacement of Certificate Issuance

For change of business location, printout system certification recipient's name change, or certificate transfer, follow the following procedures:

2.15.1 If a certificate is lost or damaged, a printout system certification recipient shall notify the Agency in writing to receive a replacement certificate within 30 days after the day a certificate is lost or damaged.

2.15.2 A printout system certification recipient who wishes to change a business location on a certificate or name of the certification recipient must notify the Agency in writing and submit the evidence prior to making the change. The Agency may or may not conduct a printout system audit to support the Certification Committee's consideration.

2.15.3 A printout system certification recipient who wishes to transfer a certificate shall notify the Agency in writing and submit supporting evidence.

(1) The transferee must comply with 2.1 and 2.2;

(2) The Agency will assess a printout system of the transferee to support the Certification Committee's consideration.

2.15.4 After the Certification Committee approves change of business location, name change, or certificate transfer, the Agency shall issue a new certificate with a new establishment address, name, or transferee's name, whichever the case may be, to a printout system certification recipient. The new certificate shall cover the audit branch and scope as originally certified and have the same expiration date as the original certificate. A printout system certificate recipient must return the original certificate to the Agency.

2.16 Confidentiality

The Agency shall keep information and documents related to audit clients or printout system certificate recipients confidential and shall not be responsible for any damage to audit clients or printout system certificate recipients incurred due to disclosing the confidential information by other parties unless such damage is caused by the Agency's action.

2.17 Certificate Details and Printout System Certification Mark

A printout system certificate contains the following information:

Basic Information

(1) Certificate reference number consists of the abbreviation of the Electronic Transactions Development Agency followed by a hyphen (-) and 9 Thai numbers separated by a hyphen (-) into 3 groups, each of which contains 3 numbers.

(2) Name of organization/printout system being certified.

(3) Title of the Notification of the Electronic Transactions Commission on Certification of Printout.

(4) First issued date.

(5) Last issued date.

- (6) Expiration date.
- (7) Name of ETDA which is the printout system certification body.
- (8) Signature of the authorized signatory of ETDA.

Additional Information

- (1) Printout system audit scope.
- (2) Location/certified areas and activities/relevant procedures.
- (3) Other information.

Printout System Certification Mark Usage

(1) In certificate

(1.1) Paper

- 2 cm in height, 1.7 cm in width
- Color code

Color	Color Code
Blue	C100 M80 Y32 K19
White	C0 M0 Y0 K0

(1.2) Electronic

- 100 pixels in height, 80 pixels in width
- Color code

Color	Color Code
Blue	#0f3f6c
White	#ffffff

(1.3) Example



(2) In printout

(2.1) Paper

- 2 cm in height, 1.7 cm in width
- Color code

Color	Color Code
Blue	C100 M80 Y32 K19
White	C0 M0 Y0 K0

(2.2) Electronic

- 100 pixels in height, 80 pixels in width
- Color code

Color	Color Code
Blue	#0f3f6c
White	#ffffff

(2.3) Requirements for printout system certification mark use

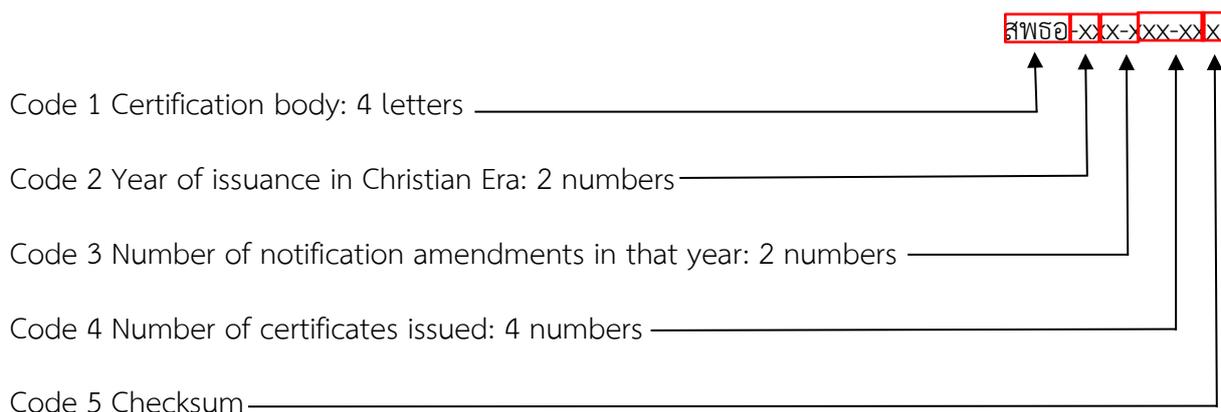
- A printout system certificate recipient may request to use a printout system certification mark under the conditions prescribed in this document.
- Only the printout system certificate recipients for the certified audit branch and scope are eligible to display a printout system certification mark.
- Do not use a certificate/printout system certification mark in a way that damages the reputation of the Agency or make reference to certification under the certified audit scope that may be deemed to cause damage by the Agency.
- To display a printout system certification mark, specify a certificate reference number under a printout system certification mark.
- Using a printout system certification mark together with any other service must be done within the certified scope only and it must be clearly stated that that service is not within the scope being certified.
- A printout system certification mark shall be displayed for the purpose of advertising and service promoting only and must not be used together with other services beyond the scope being certified or to cause others to misunderstand the scope being certified.
- A printout system certificate recipient can use a printout system certification mark in any documents and/or publications only for the part that is related (entirely or partially) to the audit scope being certified.

- A printout system certificate recipient who has a certification suspended, revoked, expired, or canceled must immediately stop using a printout system certification mark and stop distributing a certificate or any documents and/ or publications that have a printout system certification mark.

(2.4) Example



Code meanings in a certificate reference number



Code explanations

Code	Explanation	Meaning
สพธอ	Electronic Transactions Development Agency (Public Organization)	Certification body
xx	2012 C.E.	Year of issuance in Christian Era
xx	01	Number of notification amendments in that year
xxxx	0001	Number of certificates issued
x	5	Checksum

3. Audit Fees

3.1 Application Fee

An audit client shall submit a certification and audit request and pay a non-refundable application fee of 5,000 Baht on the day of submission.

3.2 Pre-Audit Fee

3.2.1 The Agency will conduct a pre-audit to confirm the readiness of documents.

3.2.2 In general, a pre-audit is a responsibility of the Audit Committee and coordinator and will take 1 day to complete. The pre-audit fee is 10,000 Baht.

3.3 Certification Audit, Surveillance Audit, and Re-assessment Fees

3.3.1 The certification audit, surveillance audit, and re-assessment fees are as follows:

(1) Procedure Assessment

The assessment duration depends on the audit scope and location. The assessment should take at least 1 day or depends on the circumstances of each case and will use the following personnel:

(1.1) Head of the Audit Committee: 30,000 Baht/day, 1 person;

(1.2) Expert in printout system technology such as identification, authentication, and information security: 30,000-50,000 Baht/person/day (at least 1 person);

(1.3) Expert in printout process such as data message conversion: 20,000 Baht/person/day (at least 1 person).

(2) Information security assessment duration depends on the audit scope and complexity of the system. The assessment should take at least 2 days or depends on the circumstances of each case. The assessment fee is based on the number of IP addresses targeted for auditing such as web server and database server and is 150,000 Baht per IP address. The following personnel will be used:

(2.1) Head of the Audit Committee: 1 person;

(2.2) Expert in information security inspection and assessment: at least 1 person depending on the circumstances of each case;

(2.3) Assistant expert in information security inspection and assessment: at least 1 person depending on the circumstances of each case.

Note: The assessment shall comply with the rules set in Chapter 2 of the Notification of the Electronic Transactions Commission on Certification to Printout B.E. 2555.

3.3.2 The audit fee must be paid within 30 days after receiving the printout system audit report.

3.3.3 In addition to the audit fee, an audit client shall be responsible for travel and other necessary expenses of the Audit Committee. An agreement will be made with an audit client prior to auditing on a case-by-case basis.

3.3.4 The audit fee and other expenses are non-refundable.

Note: Audit fee rates are shown in the table below.

3.4 Additional Assessment Fee

3.4.1 An additional assessment may be conducted to:

(1) Provide clarity in inspecting corrections by a number of auditors or the entire Audit Committee;

(2) Maintain certification status.

3.4.2 Fee payment shall comply with Clause 3 on Audit Fees.

3.5 Certificate Fee

3.5.1 After an audit client passes the audit and receives certification, a certificate will be sent to an audit client in an electronic form.

3.5.2 If an audit client wishes to receive a paper certificate, the certificate fee is 10,000 Baht per copy.

3.5.3 The fee for paper replacement certificate is 10,000 Baht per copy.

3.6 Fee Payment Methods and Conditions for Certificate Issuance

A certificate will be issued after an audit client has passed the audit and received certification and fee payment has been received by the Agency. Fee payment can be made by:

3.6.1 Cash or check payable to Electronic Transactions Development Agency (Public Organization).

3.6.2 Transfer payment into a savings account, Krung Thai Bank Public Company Limited, Central Plaza Grand Rama 9 Branch

Account Name: ETDA – Off Budget

Account No.: 982-8-40291-2

3.7 Fee Exemption

Fee exemption will be subject to consideration by the Certification Committee to promote organizations to be audited to support Thailand's electronic transactions.

Audit Fee Rates

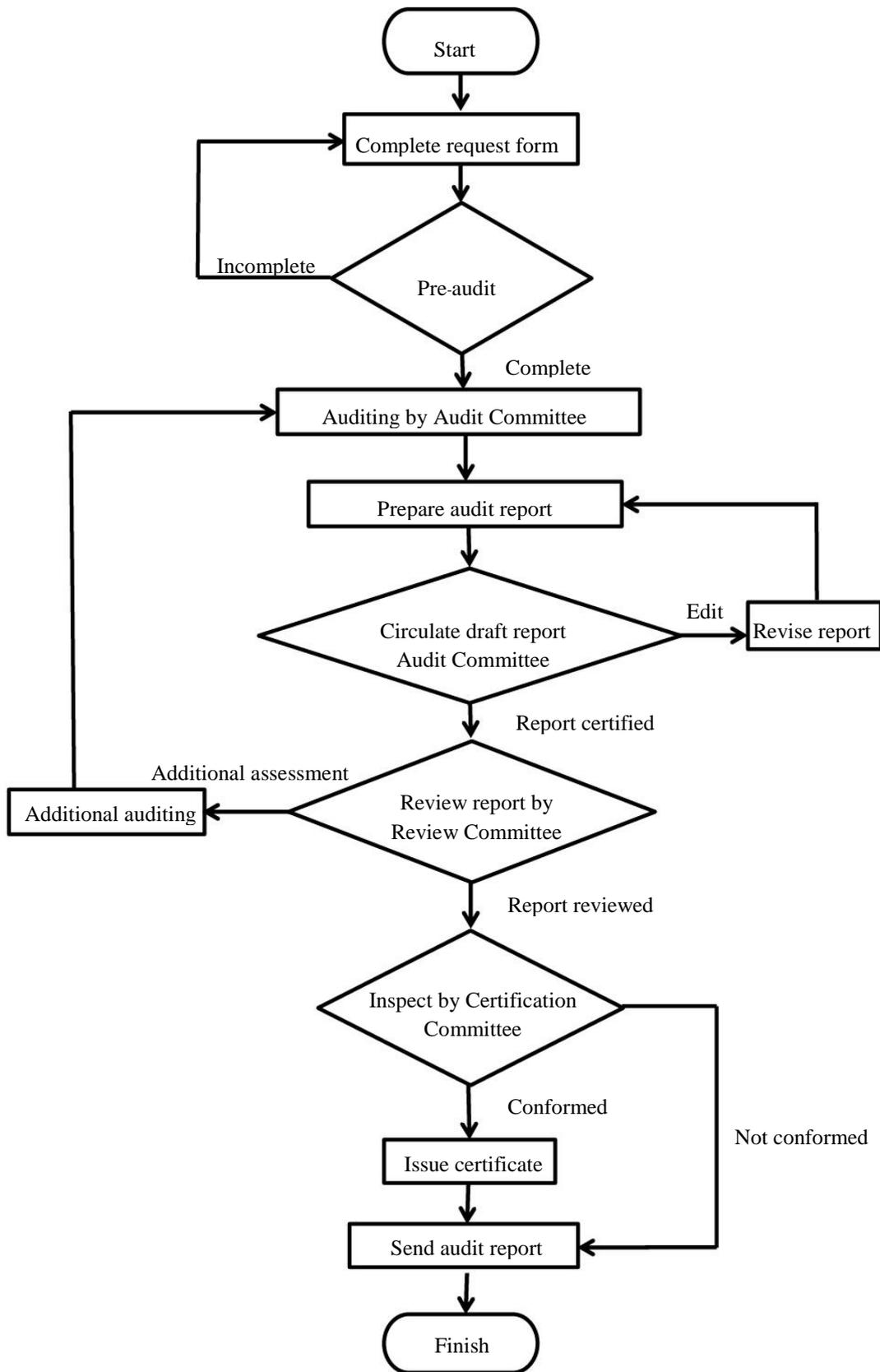
No.	Fee	Expense
1	Application fee	5,000 Baht/application
2	Pre-audit fee	10,000 Baht/application
3	Certification audit fee	
	3.1 Procedure assessment	
	3.1.1 Head of the Audit Committee: 1 person	30,000 Baht/person/day
	3.1.2 Expert in printout system technology: at least 1 person	30,000-50,000 Baht/person/day
	3.1.3 Expert in printout process: at least 1 person	20,000 Baht/person/day
	3.2 Information security assessment based on number of IP address	150,000 Baht/IP
4	Additional assessment fee	Comply with Clause 3
5	Paper certificate fee	10,000 Baht/copy

Note: 1. The fee rates shown above do not include travel, accommodation, and other expenses, which will be paid for by an audit client. An agreement will be made with an audit client prior to auditing on a case-by-case basis.

2. The Agency reserves the right to change the fee rate as appropriate without advance notice.

Appendix

Appendix A: Flowchart for Printout System Certification Process



Appendix B: Rules and Regulations

1. Notification of the Electronic Transactions Commission Subject: Certification of Printout B.E. 2555

Unofficial Translation

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18 January 2012

Notification of the Electronic Transactions Commission

Subject: Certification of Printout

B.E. 2555

Whereas the electronic transactions law requires that there shall be a Printout certification body of a data message, to ensure that Printout can be used as reference replacing a data message, and can be used in lieu of the original source.

By virtue of Section 10, paragraph 4, of the Electronic Transactions Act B.E. 2544, which is amended by the Electronic Transactions Act (No. 2) B.E. 2551, the Electronic Transactions Commission issues the Notification as follows:

Clause 1 This Notification is called "Notification of the Electronic Transactions Commission regarding Certification of Printout B.E. 2555".

Clause 2 This Notification shall come into force on the day following the date of its publication in the Government Gazette.

Clause 3 In this Notification:

"Printout" means Printout of the data message which has been presented or stored as an original document.

"Printout System" means a system used for inputting a data message which is an original for statement of the Printout, and creation of the Printout for use as a reference for statement of the data message.

"Commission" means the Electronic Transactions Commission.

"Printout certification body" means the Commission or agency which has the authority to certify the Printout as notified by the Commission.

Clause 4 The creation of the Printout in the following cases shall be deemed that there has been certification of the Printout by the Printout certification body, and shall be used in lieu of the original source.

(1) The data message owner, the data message controller, or a subordinate of the data message owner or the data message controller, shall be the maker of Printout from the Printout System, which is under the supervision of the data message owner or the data message controller.

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Unofficial Translation

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(2) The state agency which has the authority to store or control the data message of other people, or subordinates of the state agency, is the maker of the Printout from the Printout System which is under the supervision of the State agency.

(3) The state agency which has the authority to supervise or control or the agency under supervision or control of the state agency, is the maker of the Printout from the Printout System with a standard equivalent to or more appropriate than the rule and procedure prescribed in this Notification.

Chapter 1

Printout certification body

Clause 5 The Printout certification body shall have the following qualifications, and shall not have prohibited characteristics as follows:

(1) A sufficient number of personnel who have knowledge, skill and technical experience fitting for performing the duties of the Printout certification body shall be provided with at least the personnel possessing the expertise or experience in the following fields:

- (a) Information Security;
- (b) Identification and authentication technology;
- (c) Documentary system in the form of data message; and
- (d) Inspection and evaluation of the Information Security.

(2) A tool or procedure which is sufficient and has a standard for use in the inspection whether the Printout System and the process of making Printout are secure and able to make Printout containing the accurate, complete and same statement as the data message shall be provided.

(3) Being the Printout certification body pursuant to clause 9 has never been revoked, or has ever been revoked but a period of five years has not yet passed since the date of such revocation of the Printout certification body status.

(4) There shall be no interest in the business of the applicant for certification of the Printout, and there shall be no cause making the Printout certification body devoid of independence and impartiality in its operation.

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(5) There shall be no interest in the business of the person or juristic person who is a developer, seller, distributor, maker, purchaser, procurer or lessor of the hardware and software system for the applicant for certification of Printout.

The Commission may issue the Notification specifying any other additional qualifications or prohibited characteristics of the Printout certification body, as sees appropriate.

Clause 6 In a case where the Printout certification body is a juristic person in the category of a registered partnership, limited partnership, limited company or public limited company, its director, or person authorized to act on behalf of the juristic person of the Printout certification body shall have the following qualifications and shall not have the prohibited characteristics as follows:

- (1) Being not less than twenty years of age;
- (2) Having domicile or a place of residence in the Kingdom of Thailand;
- (3) Being neither a bankrupt nor an incompetent or quasi-incompetent person;
- (4) Having never been imprisoned by a final judgment to a term of imprisonment, except for an offence committed through negligence or a petty offence;
- (5) Not being a director or a person with the managerial authority of the Printout certification body whose status as the Printout certification body has ever been revoked by an order.

The Commission may issue the Notification specifying any other additional qualifications and prohibited characteristics of the Printout certification body which is a juristic person, pursuant to the first paragraph, as deems appropriate.

Clause 7 Whoever wishes to be a Printout certification body shall submit the following documentation to the Commission or the agency entrusted by the Commission:

- (1) Application for approval as the Printout certification body.
- (2) Policy and measure on Information Security which shall at least contains a standard equaling or not lower than the rules in accordance with the Notification of the Electronic Transactions Commission regarding the Policy and Practice in the Information Security of a State agency B.E. 2553.

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(3) Certification process of the Printout System.

(4) Policy, standard and measure in inspection of the Printout System.

(5) List of experts in the field of information technology, Information Security, identification and authentication technology, documentary system in the data message format, inspection and evaluation of the Information Security, including other relevant fields as prescribed by the Commission's Notification.

(6) Any other documents as prescribed by the Commission's Notification.

Clause 8 The Commission will declare the applicant under clause 7 to be the Printout certification body when the Commission or the agency entrusted by the Commission finds upon inspection and consideration that the applicant has the qualifications and has no prohibited characteristics under clauses 5 and 6 and has correctly and completely submitted all documentation in accordance with clause 7.

The Commission may assign any agency performing a duty to inspect the certification process of the applicant's Printout System to act as a Printout certification body under the first paragraph.

Clause 9 The Commission may revoke its approval of the Printout certification body status when it appears that the Printout certification body has committed any of the following actions:

(1) Lacking qualifications or being under any of the prohibitions under clause 5 and clause 6.

(2) Having violated or failed to comply with the rule as prescribed in this Notification, including any other practice issued by the Commission.

(3) Having committed any act causing to believe that the reliability of certification of Printout will be affected.

Clause 10 Upon existence of any cause for revocation under clause 9, the Commission may order the Printout certification body to amend or do any other acts in accordance with the Commission's order within a prescribed time period.

In a case where the Printout certification body fails to carry out amendment in accordance with the Commission or commits any act in violation of such actions, the Commission may revoke the approval as the Printout certification body.

Clause 11 The Printout certification body shall have a duty to report the operating results in certifying the Printout System and report the preservation of

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qualification or any change in qualification which is a condition for being the Printout certification body under clause 5 and clause 6 to the Commission or the agency entrusted by the Commission every year from the day of being declared the Printout certification body unless the Commission shall prescribe otherwise in accordance with a reporting form as prescribed by the Commission or the agency entrusted by the Commission.

Chapter 2

Certification

Clause 12 The Printout certification body will certify the Printout System of the applicant for certification of the Printout System when it has examined and found that the Printout System is in accordance with the rule and procedure as prescribed in this Chapter, which shall be deemed as the minimum standard, but a certain minimum standard shall not be applied.

Clause 13 The Printout certification body shall consider and certify the Printout System by having regard to the following rules:

(1) The Printout System has a process which ensures that the Printout has the accurate, complete and same statement as the data message. The applicant for certification of the Printout System shall provide a process in inspecting and certifying accuracy and completeness of the Printout.

(2) Quality and efficiency of the tool and equipment used in the Printout System.

(3) Procedure used in identification of the persons engaging in the Printout System.

(4) Any other act which is necessary to ensure that the Printout System is consistent and corresponding with the rule or standard as prescribed by the Notification of Commission or the agency entrusted by the Commission.

Clause 14 The Printout certification body will certify the Printout System when such Printout System is in accordance with the following rules:

(1) There is an information security process with a standard not less than the rules in accordance with the Notification of the Electronic Transactions

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Commission regarding the Policy and Practice in the Information Security of a State agency B.E. 2553 or other equivalent standards.

(2) There is a Backup and Data recovery system.

(3) Technology and preventive measure is created in order to prevent any alteration or amendment of the data message, except for an additional certification or record by the authorised person which does not affect the correctness of the data message.

(4) There is an evidence-recording process of the additional certification or record of the data message.

(5) There is an evidence-recording process of making the Printout for use in the inspection of the history of the making of the Printout.

(6) There is a reliable procedure in identification of the persons engaging in the Printout System which shall at least cover of the following matters:

- (a) Identification
- (b) Authentication
- (c) Authorisation
- (d) Accountability

(7) There is a document-storing system in a form of the data message with the information security, and the Printout can exhibit or refer the information for use to inspect thereafter by containing details relating to the data used in inspecting the accuracy, completeness and sameness of the data message, such as, the day, month, year in which the Printout are made, the time at which the Printout are made which refers to Thailand standard time, webpage's location etc.

Clause 15 The Printout certification body may provide a mark or symbol appearing on the Printout in order to confirm that the Printout have been made through the Printout System certified by the Printout certification body.

Clause 16 The Printout issued from the Printout System which has been certified by the Printout certification body are the Printout which can be used in lieu of the original.

Clause 17 The maker of the Printout has the following duties:

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(1) Quality inspection of the tool or equipment which is used in making the Printout in order to ensure that such tool or equipment can make the Printout containing the accurate, complete and same statement as the data message.

(2) Review of the accuracy and completeness of the Printout which is made with the data message in accordance with the procedure as prescribed by the Printout System.

Clause 18 For purpose of supervision of the Printout System 's reliability, the Printout certification body may summon the applicant for certification of Printout to give data or submit any document relating to the Printout System, including inspection of the Printout System every two years.

Clause 19 The Printout certification body may revoke the certification of the Printout System, when it appears that the Printout System is in compliance with the rule and procedure as prescribed in this Chapter.

Upon appearing a cause for revocation under the first paragraph, the Printout certification body may order the recipient of certification of the Printout System to correct or do any other acts as prescribed by the Printout certification body.

In a case where the recipient of the certification of the Printout System fails to rectify in accordance with the order of the Printout certification body or acts in violation of such action, the Printout certification body may revoke the certification of the Printout System.

Notified on the 17th day of January B.E. 2555

Group Captain Anudith Nakornthap

Minister of Information and Communication Technology

Chairman of Electronic Transactions Commission

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2. Notification of the Electronic Transactions Commission Subject: Printout certification body B.E. 2555

Unofficial Translation

Volume 129 Special Part 18 Ngor Government Gazette

18 January 2012

Notification of the Electronic Transactions Commission

Subject: Printout certification body

B.E. 2555

This is to establish an agency empowering to certify printout of the data message capable of reference in lieu of the data message and use in stead of the original.

By virtue of section 10, fourth paragraph of the Electronic Transactions Act B.E. 2544 as amended by the Electronic Transactions Act (No. 2) B.E. 2551, the Electronic Transactions Commission hereby declares the Electronic Transactions Development Agency (Public Organisation) as the Printout certification body.

This Notification shall come into force on the day following its publication in the Government Gazette.

Notified on the 17th day of January B.E. 2555

Group Captain Anudith Nakornthap

Minister of Information and Communication Technology

Chairman of Electronic Transactions Commission

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Appendix C: Certification and Audit Request Form

Instructions for completing and submitting a printout system certification and audit request form

Completing and submitting a printout system certification and audit request form

1. Name of organization
Enter the full name of the state agency or organization registered with the Ministry of Commerce.
2. Head office address
Enter the address of the head office.
3. Telephone, fax, and e-mail address
Enter the telephone and fax numbers of the head office and e-mail address of the head office's representative who can be conveniently reached.
4. Audit scope to be certified
5. Signature of audit client
Must be signed by head of a state agency or authorized signatory under the terms and conditions in the certificate registered with the Ministry of Commerce and affix a corporate seal (if any) or by authorized person with authorization letter from authorized signatory and stamp duty (in accordance with stamp duty rates of the Revenue Department).

Completing a supporting documentation for printout system certification and audit request form

1. Organization information
Enter the address of the company/organization to be audited.
2. Organization profile
Enter general information of business of the company/organization to be audited.
3. Name and position/authorized person responsible for the audit who can be conveniently reached
Enter first-last name and position/authorized person responsible for the audit who can be conveniently reached.
4. Assessment purpose & scope
State the assessment purpose
Display organization chart
Display project team structure
5. Project name/description
Enter the name of the project with short description of the project to be audited.

6. Assessment participants

Enter the name of the assessment participant and role and responsibility in the project to be audited.

7. Map showing the location of the establishment to be audited.

Display a map showing the location of the establishment to be audited.



**Electronic Transactions Development Agency (Public Organization)
Printout System Certification and Audit Request Form**

Date.....

Name Position
 Name of Organization.....
 Head Office Address..... Lane..... Village No..... Road.....
 Sub-district..... District..... Province.....
 Postal Code..... Telephone..... Fax.....
 E-mail address.....

Hereby request an audit for printout system certification under the Notification of the Electronic Transactions Commission on Certification of Printout B. E. 2555 for the business/ service category of within the audit scope to be certified under the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555 and have attached the following supporting evidence and documents herewith for consideration.

1. Supporting documentation for printout system certification and audit request form.
2. Supporting evidence (as applicable).
 - (2.1) For state agencies:
 - (2.1.1) Letter appointing authorized representative to act on behalf of juristic person;
 - (2.1.2) Certificate of Establishment.
 - (2.2) For private organizations, submit a Certificate of Juristic Person that is not more than 6 months old.
 - (2.3) Proof of authorization (if any).
- I have read, understand, and agree to comply with the Notification of the Electronic Transactions Development Agency (Public Organization) on Rules, Procedures, Conditions, and Fees for Printout System Certification and Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555.
- I hereby certify that the information provided in this request is true.

Signature Audit Client
(.....)

Authorized signatory or authorized person
Organization request the audit (affix a corporate seal)

For officer: Request No..... Received Date.....Received By.....



Electronic Transactions Development Agency (Public Organization)

Supporting Documentation for Printout System Certification and Audit Request Form

- | | |
|--|--|
| <input type="checkbox"/> First-time submission: Date..... | <input type="checkbox"/> Change of business location |
| <input type="checkbox"/> Certification branch and scope expansion: Date..... | <input type="checkbox"/> Name change |
| <input type="checkbox"/> Certification renewal: Date..... | <input type="checkbox"/> Other |

1. Organization Information

Name of Organization (In English)

Name of Organization (In Thai)

Total number of employees persons

1.1 Head Office Address

No. Lane Village No. Road Sub-district District Province Postal Code Telephone Fax

Same as 1.1 (Do not enter 1.2)

1.2 Establishment Address

No. Lane Village No. Road Sub-district District Province Postal Code Telephone Fax

2. Organization Profile

.....

.....

.....

.....

3. Name and position/authorized person responsible for the audit who can be conveniently reached

3.1 Name Position

Telephone Fax E-mail

3.2 Name Position

Telephone Fax E-mail

4. Assessment Purpose & Scope

4.1 Assessment Purpose

To request for a printout system certification under the Notification of the Electronic Transactions Commission on Certification of Printout B.E. 2555.

4.2 Assessment Scope

Please state all the establishments, branches, and scope to be audited.

.....

.....

.....

.....

.....

4.3 Organization Chart

4.4 Project Team Structure

5. Project Name/Description

- 5.1 Main Project Name.....
 Description.....
 Duration..... Number of team members..... (persons)
- 5.2 Second Project Name (if any)
 Description.....
 Duration..... Number of team members..... (persons)

6. Assessment Participants

- 6.1 Name.....
 Role & Responsibility.....
- 6.2 Name.....
 Role & Responsibility.....
- 6.3 Name.....
 Role & Responsibility.....
- 6.4 Name.....
 Role & Responsibility.....
- 6.5 Name.....
 Role & Responsibility.....
- 6.6 Name.....
 Role & Responsibility.....
- 6.7 Name.....
 Role & Responsibility.....

7. Map showing the location of the establishment to be audited.

Supporting Documents

- 1. Work procedure (if any).
- 2. Printout system certification and audit request form.
- 3. Supporting documentation for printout system certification and audit request form
- 4. Certificate of Establishment:
 (4.1) For state agencies, submit a Certificate of Establishment;
 (4.2) For private organizations, submit a Certificate of Juristic Person that is not more than 6 months old.
- 5. Letter appointing authorized representative to act on behalf of juristic person.
- 6. Proof of authorization (if any).
- 7. Map showing the location of the establishment to be audited.

Application, Audit, and Certification Fees Payment

Select	Payment Method	Information
<input type="checkbox"/>	Cash or check	Electronic Transactions Development Agency (Public Organization)
<input type="checkbox"/>	Money transfer	Savings Account, Krung Thai Bank Public Company Limited, Central Plaza Grand Rama 9 Branch Account Name: ETDA – Off Budget Account No.: 982-8-40291-2

References

- (1) Thai Industrial Standards Institute, Rules, Procedures, and Conditions for Accreditation.
- (2) National Innovation Agency, Rules for Certificate and Certification Mark Usage.
- (3) National Bureau of Agricultural Commodity and Food Standards, General Provisions Regarding Rules and Conditions for Management System Certification.