Framework for Assessing Legality of Forestry Operations, Timber Processing and Trade Annex

BRAZIL

September 2014
Disclaimer

The designations of geographical entities in this publication, and the presentation of the material, do not imply the expression of any opinion whatsoever on the part of WWF, TRAFFIC or its supporting organizations concerning the legal status of any country, territory, or area, or of its authorities, or concerning the delimitation of its frontiers or boundaries.

The views of the authors expressed in this publication do not necessarily reflect those of the TRAFFIC network, WWF or IUCN.

The TRAFFIC symbol copyright and Registered Trademark ownership is held by WWF. TRAFFIC, a strategic alliance of WWF and IUCN, the International Union for the Conservation of Nature, is the world’s leading wildlife trade monitoring organization and works to ensure that trade in wild plants and animals is not a threat to the conservation of nature. GFTN is WWF’s initiative to eliminate illegal logging and transform the global marketplace into a force for saving the world’s valuable and threatened rainforests.

Acknowledgements

WWF Global Forest & Trade Network and TRAFFIC gratefully acknowledge IKEA for their support.

This document was a collective effort by a number of consultants and experts from TRAFFIC and WWF. In particular, WWF and TRAFFIC would like to thank Marcelo Marquesini, TRAFFIC consultant in Brazil who prepared this report; Anna Fanzeres, TRAFFIC consultant in Brazil; Bernardo Ortiz (TRAFFIC); Tom Osborn (TRAFFIC); and Ulrich Malessa, who provided comments. The work would not have been possible without the support of Keila Hand, Manager, Paper Sector Engagement, WWF/GFTN-North America for helping with the coordination of the work.

Overall coordination was provided by Chen Hin Keong, TRAFFIC Global Forest Trade Programme Leader.

© TRAFFIC © WWF.

® “GFTN”, “WWF”, and “Panda” are WWF Registered Trademarks.

Published September 2014 by WWF – World Wide Fund For Nature (also known as World Wildlife Fund). Any reproduction in full or in part of this publication must mention the title and credit the above-mentioned publisher as the copyright owner. © 2014 WWF International. All rights reserved.
## Framework for Assessing Legality of Forestry Operations, Timber Processing and Trade - Principles, Criteria and Indicators for Brazil

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Guidance note/Verifiers - Legal reference</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PRINCIPLE 1: LAND USE, ACCESS AND TENURE RIGHTS</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Criterion 1.1: The company is legally registered with the relevant administrative authorities</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Indicator 1.1.1</strong> – The holder(^1) of the Sustainable Forest Management Plan is registered with the public authorities and provides proof of regularity in the Federal Income Office – FIO</td>
<td><strong>Plantation and Natural Forest Timber For all Brazilian states</strong></td>
</tr>
<tr>
<td></td>
<td>Verifier 1.1.1.1 - Registration at the National Registry of Legal Entities(^2) (CNPJ, in Portuguese) - or the Natural Persons Registry(^3) (CPF, in Portuguese) and proof of registration status.</td>
</tr>
<tr>
<td></td>
<td>Verifier 1.1.1.2 - Clearance Certificate of Debts of Rural Property in the IFIO</td>
</tr>
<tr>
<td><strong>Legal References:</strong></td>
<td></td>
</tr>
<tr>
<td>Regulation <em>Instrução Normativa</em> RFB 1.252/2012 - Digital Bookkeeping Tax of the Contribution to PIS/Pasep(^6), the Contribution to Social Security Financing (Cofins in Portuguese) and Social Security Contribution on Revenues (EFD-Contributions) <a href="http://www.receita.fazenda.gov.br/legislacao/ins/2012/in12522012.htm">http://www.receita.fazenda.gov.br/legislacao/ins/2012/in12522012.htm</a></td>
<td></td>
</tr>
</tbody>
</table>

---

\(^1\) Holder: Person or entity that owns the Sustainable Forest Management Plan registered with the competent environmental agency.

\(^2\) Similar to the *Value Added Tax (VAT) Identification Number*.

\(^3\) This is a number attributed by the Federal Income Office (*Receita Federal* - Federal Revenue) to both Brazilians and resident aliens who pay taxes or take part, directly or indirectly, in activities that provide revenue for any of the dozens of different types of taxes existing in Brazil.

\(^4\) *Instrução Normativa* is a legislative normative act issued by administrative authorities, additional standards, applicable laws, treaties and international conventions and decrees, and it cannot innovate or modify the text of the law that it complements. The *Instrução Normativa* seeks to regulate or implement regulations that are provided for in laws and that are valued, developed and approved by the Congress and sanctioned by the President.

\(^5\) RFB = *Receita Federal do Brasil* = Brazilian Internal Revenue Service.

\(^6\) Social Integration Program (PIS) and the Program for Formation of the Heritage of Public Servants (PASEP).
Consultation of authenticity of certificates issued to an Individual or Corporate Entity by the Internal Revenue Service:


To confirm the authenticity of certificates issued by the IRS:

<table>
<thead>
<tr>
<th>Indicator 1.1.2 – The land where the Forest Management Unit is situated is registered with the National Institute of Colonization and Agrarian Reform - INCRA and state agencies of land control.</th>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td></td>
<td>Verifier 1.1.2.1 – Certificate of Registration of Rural Property - CCIR&lt;sup&gt;7&lt;/sup&gt; of where the forest management unit is situated and proof of authenticity.</td>
</tr>
<tr>
<td></td>
<td><strong>Natural Forest Timber</strong></td>
</tr>
<tr>
<td></td>
<td>For forest management units in areas of state land parcels&lt;sup&gt;8&lt;/sup&gt; in the states of Acre, Amapá, Amazonas, Mato Grosso, Maranhão, Pará, Roraima, Rondônia and Tocantins</td>
</tr>
<tr>
<td></td>
<td>Verifier 1.1.2.2 - Clearance certificate, legitimacy certificate of origin or certificate issued by the state agency of land control.</td>
</tr>
<tr>
<td></td>
<td>Note: The States do not provide this type of query on the World Wide Web (internet)</td>
</tr>
</tbody>
</table>

<sup>7</sup>The CCIR is issued by the National Institute of Colonization and Agrarian Reform - INCRA.

<sup>8</sup>Portion of land that may be within one or more municipalities.
Indicator 1.1.3 – The holder of the Sustainable Forest Management Plan and the owner, tenant or squatter\(^9\) of the land have the registry and proof of regularity in the environmental agencies at all levels (federal, state and municipal).

### Legal References:

Article 22 of Law #4.947/1966 and its alterations – Rules of Agrarian Law and Organization and functioning of the Brazilian Institute of Colonization and Agrarian Reform (INCRA)

http://www.planalto.gov.br/ccivil_03/leis/LEIS_2001/L.10267.htm

To confirm the authenticity of the CCIR:

http://ccirweb.serpro.gov.br/ccirweb/autenticidade/formAutenticaCCIRWEBAvecucao.asp

<table>
<thead>
<tr>
<th><strong>Plantations and Natural forest timber</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian States</strong></td>
</tr>
<tr>
<td>Verifier 1.1.3.1 – Registration and Debt Clearance Certificate (No History) of the holder in the Federal Technical Registry of Potentially Polluting Activities(^10) and/or Users of Environmental Resources - CTF(^11).</td>
</tr>
<tr>
<td>Verifier 1.1.3.2 - Registration and Debt Clearance Certificate (No History) of the holder or owner/tenant/squatter at SICAFI - Registration, Storage and Inspection System(^12) of Ibama(^13).</td>
</tr>
<tr>
<td>Verifier 1.1.3.3 – Rural Environmental Registry- Definitive CAR(^14) regarding the private property or possession where it is situated the Forest Management Unit.</td>
</tr>
</tbody>
</table>

---

\(^9\) Owner of land: Person or entity that owns and holds the rural property. Tenant or lessee or contractor: one who received from the owner by means of agreement between the parties, for a given time and price, the use and enjoyment of the property where they will conduct forest management. Squatter or occupant: He who works/grows/handles, calmly and peacefully, a certain portion of public land with or without natural forest.

\(^10\) In Portuguese: Cadastro Técnico Federal de Atividades Potencialmente Poluidoras.

\(^11\) The CTF is issued by Ibama - Brazilian Institute of Environment and Renewable Natural Resources.

\(^12\) In Portuguese: Sistema de Cadastro, Arrecadação e Fiscalização.

\(^13\) Brazilian Institute of Environment and Renewable Natural Resources.

\(^14\) In Portuguese: Cadastro Ambiental Rural.
**Legal References:**

Article 17 of Law #6.938/1981 and its alterations – National Environmental Policy
https://www.planalto.gov.br/ccivil_03/Leis/L6938.htm

Article 36 of Law #12.651 – New Brazilian Forest Code
http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm

To confirm the authenticity of the Debt Clearance Certificate (No History):
http://www.ibama.gov.br/sicafiext/

Article 29 of Law #12.651/2012 – New Brazilian Forest Code
http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm

Decree 7.029/2009 – Federal Program for the Support of Environmental Regularization of Rural Estate, called “Programa Mais Ambiente” (More Environmental Program)

**Indicator 1.1.4** – The holder of the Sustainable Forest Management Plan and the owner, tenant or squatter of land are registered and provides proof of compliance in the Internal Revenue Service with respect to taxes paid for the land and its uses.

**Plantations and Natural forest timber**

For all Brazilian States

Verifier 1.1.4.1 – Discharge receipt of the IRS regarding the Tax on Rural Property (ITR - Imposto sobre a Propriedade Territorial Rural, in Portuguese), collected over the ownership or legal possession of the property where the forest management unit is located.

**Legal References:**

Law #9.393/1996 - Tax on Rural Property (ITR in Portuguese) and the payment of debt represented by Agricultural Debt
http://www.planalto.gov.br/ccivil_03/leis/L9393.htm

To confirm the authenticity of certificates issued by the IRS:
### Criterion 1.2: Use, access and tenure rights applications are subject to stated pre-conditions within the laws and regulations

#### Indicator 1.2.1 - There is a public bidding process, competition and approval of the best proposal for the commercial exploitation of public natural forests

**Public Natural Forest Timber**

**For all Brazilian states**

Verifier 1.2.1.1 - The bidding process complies with the steps provided by law: license, inquest of the technical proposals, inquest of price proposals and outcome.

Verifier 1.2.1.2 - The bidder keeps an updated record at the Unified Registration System of Suppliers\(^\text{15}\) - SICAF

#### Legal References:

*Currently available for consultation:*

*Brazilian Forest Service*  
[http://www.sfb.gov.br](http://www.sfb.gov.br)

*Forest Development Institute of Pará State – IDEFLOR*  
[http://www.ideflor.pa.gov.br](http://www.ideflor.pa.gov.br)

Decree 3.722/2001 and its alterations – Unified Registration System of Suppliers (SICAF)  

Regulation *Instrução Normativa* MARE-GM 5/1995 - Procedures for the implementation and operation of the Unified Registration System of General Services – SICAF, module of the integrated supplier management system - SIASG  

### Criterion 1.3: Clear evidence of forest and/or land use, access and tenure rights shall be demonstrated in accordance with laws and regulations

\(^{15}\) In Portuguese: Sistema de Cadastramento Unificado de Fornecedores.

---

7
<table>
<thead>
<tr>
<th>Indicator 1.3.1</th>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td>- There is documentation that guarantees or proves the right, the possession of the land or its use for forest management.</td>
<td></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
<td></td>
</tr>
<tr>
<td>Verifier 1.3.1.1 – Certified Certificate of Registration of rural property, attesting the private domain, registered in the Registry of Property in the county or in the real estate responsible counties previously competent, if any.</td>
<td></td>
</tr>
<tr>
<td>or, in the absence of the above:</td>
<td></td>
</tr>
<tr>
<td>Verifier 1.3.1.2 - Deed of purchase and sale of land or a declaration of calm and peaceful possession, both without objection (dispute) registered in the Registry of Property of the competent county.</td>
<td></td>
</tr>
<tr>
<td>or, in the absence of the above:</td>
<td></td>
</tr>
<tr>
<td>Verifier 1.3.1.3 - Document granting individual or collective real right to use, or similar instruments on the rural property of public ownership, signed by the federal or state agency or land entity responsible.</td>
<td></td>
</tr>
<tr>
<td>And/or for Natural Forest Timber in the following Amazon states: Acre, Amapá, Amazonas, Mato Grosso, Maranhão, Pará, Rondônia, Roraima, Tocantins.</td>
<td></td>
</tr>
<tr>
<td>Verifier 1.3.1.4 - Authorization of use of rural land of public domain, as an exceptional and temporary state, granted by INCRA or the state land agency or land entity stating the agreement with the forestry exploration of public and unoccupied lands in its domain.</td>
<td></td>
</tr>
<tr>
<td>Or</td>
<td></td>
</tr>
<tr>
<td>Verifier 1.3.1.5 - Forest Concession Agreement with the State Forestry Service or Brazilian Forestry Service</td>
<td></td>
</tr>
</tbody>
</table>

16 Lease contract of land for forest management among private entities are common in Brazil, but do not prove the possession or domain of the land. It is necessary to know if the person who leases the land is indeed the land’s owner.

17 Division of the Brazilian territory encompassing several municipalities for purposes of administration of justice.
### Legal References:

- **Law #10.406/2002 - Civil Code**
  

- **Forest Concessions**
  
  [http://www.sfb.gov.br/concessoes-florestais/processo-de-concessao/processo-de-concessao](http://www.sfb.gov.br/concessoes-florestais/processo-de-concessao/processo-de-concessao)

- **Law #11.824/2006 – Management of Public Forests**
  

- **Regulated by Decree 6.063/2007**
  

### Indicator 1.3.2 - Non-indigenous traditional or rural communities, or isolated residents, have legal or customary rights\(^\text{18}\) observed over the possession and/or rights\(^\text{19}\) of use of land, either collective or individual, inside or around the forest management unit.

### Plantation

**For all Brazilian States**

Verifier 1.3.2.1 - Maps, sketches, topographical plans, minutes of meetings, declarations, rules and internal procedures or other records that prove the respect for the rights to possession and/or land use.

Verifier 1.3.2.2 - No reports of abuse or violence such as police records, records in the national agrarian ombudsman, complaints from the rural workers' unions or from the CPT (Pastoral Land Commission, in Portuguese) – NGOs’ reports, etc.

### Natural Forest Timber

**For all Brazilian States**

\(^{18}\)Customary rights: Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit (Source: FSC Principles and Criteria).

\(^{19}\)Use rights: Rights for the use of forest resources that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or management area or particular harvesting techniques.
Verifier 1.3.2.3 - Maps, sketches, topographical plans, forest management plans, annual operating plans, minutes of meetings, declarations, rules and internal procedures or other records that prove the respect for the rights to possession and/or access and land use.

**For the Legal Amazon States**

Verifier 1.3.2.4 - No reports of abuse or violence such as police records, records in the national agrarian ombudsman, complaints from the rural workers’ unions or from the CPT (Pastoral Land Commission, in Portuguese) – NGOs’ reports, etc.

**Legal References:**

CONAMA’s resolution 378/2006 - Projects potentially causing national or regional environmental impact  

Law #6.969/1981 – Acquisition, by Special Adverse Possession, of Rural Properties  
http://www.planalto.gov.br/ccivil_03/leis/L6969.htm

National Agrarian Ombudsman  

Pastoral Land Commission (Comissão Pastoral da Terra – CPT, in Portuguese)  
http://www cptnacional.org.br/

http://www.planalto.gov.br/ccivil_03/leis/L6969.htm

Legislative Decree #143/2002 - Approves (confirms) the text of ILO Convention 169  

---

Legal Amazon: it covers the states of Acre, Amazonas, Roraima, Amapá, Pará and Rondônia, Mato Grosso and region in the north of parallel 13oS of Tocantins and Goiás state, and western of the meridian 44°W of the Maranhão state.
Decree 5.051/2004 - Promulgates the Convention 169 of the International Labour Organisation - ILO on Indigenous and Tribal Peoples

Law #6.001/1973 - The Indian Statute
https://www.planalto.gov.br/ccivil_03/leis/l6001.htm

Decree 6.040/2007 – National Policy for Sustainable Development of Traditional Peoples and Communities


page 155 on the Federal Official Gazette

page 156 on the Federal Official Gazette

page 157 on the Federal Official Gazette

page 158 on the Federal Official Gazette

---

**Indicator 1.3.3** – Places of special cultural, ancestral, ecological, economic or spiritual interest to indigenous populations within the forest management unit are identified, recognized and protected.

<table>
<thead>
<tr>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 1.3.3.1 - Maps, sketches, topographical plans, forest management plans, regulations and internal procedures or other records that prove the identification, recognition and protection of such sites.</td>
</tr>
</tbody>
</table>

**Legal References:**

- Convention #169 of the International Labour Organisation - ILO Indigenous and Tribal Peoples  

- Decree 143/2002 - Approves (confirms) the text of ILO Convention 169  

- Decree 5.051/2004 - Promulgates the Convention 169 of the International Labour Organisation - ILO on Indigenous and Tribal Peoples  
<table>
<thead>
<tr>
<th>Indicator 1.3.4</th>
<th>Indigenous lands and quilombola lands at any administrative stage of implementation are respected and not exploited [unless there’s a special authorization of the competent bodies].</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plantation and Natural Forest Timber</strong></td>
<td>For all Brazilian states</td>
</tr>
<tr>
<td>Verifier 1.3.4.1</td>
<td>Maps, topographical plans or sketches of the forest management unit with geographic coordinates must not have indigenous lands or quilombolas within a 10 km radius.</td>
</tr>
<tr>
<td>Verifier 1.3.4.2</td>
<td>Cartographic databases of indigenous lands and updatedquilombolas lands are under the awareness and possession of the responsible person/entity for the forest management unit</td>
</tr>
<tr>
<td>Verifier 1.3.4.3</td>
<td>The responsible person/entity for the forest management unit is aware of and complies with the administrative/judicial access restrictions and use of forests in indigenous lands and quilombolas.</td>
</tr>
</tbody>
</table>

---

22 A Quilombola is a resident of a Quilombo in Brazil. They are the descendants of slaves who escaped from slave plantations that existed in Brazil until abolition in 1888. A Quilombo is a Brazilian hinterland settlement founded by people of African origin including the quilombolas, or Maroons.

23 The map database in digital format (e.g. file type shape file, DXF and DWG) of indigenous lands administered by the National Indian Foundation - FUNAI, the Quilombola Territories/Lands approved/demarcated by the National Institute of Colonization and Agrarian Reform - INCRA and state land institutes, and other topics related to the environment, mineral resources, land use etc., can be downloaded from various websites:

National Indian Foundation (FUNAI) - [http://mapas.funai.gov.br/](http://mapas.funai.gov.br/)

Ministry of Environment (MMA) - [http://www.mma.gov.br/governanca-ambiental/geoprocessamento](http://www.mma.gov.br/governanca-ambiental/geoprocessamento)


Land Institute of the State of Pará (ITERPA) - [http://www.iterpapa.gov.br/BancoDeDados.jsf](http://www.iterpapa.gov.br/BancoDeDados.jsf)

Brazilian NGO on Indigenous Issues: Instituto Socioambiental (ISA) - [http://www.socioambiental.org/map/index.shtm](http://www.socioambiental.org/map/index.shtm)
### Legal References:

CONAMA’s resolution 378/2006  
http://www.mma.gov.br/port/conama/legiabre.cfm?codlegi=510

Convention #169 of the International Labour Organisation - ILO Indigenous and Tribal Peoples  

Decree 143/2002 - Approves (confirms) the text of ILO Convention 169  
http://www6.senado.gov.br/legislacao/ListaNormas.action?numero=143&tipo_norma=DLG&data=20020620&link=s

Decree 5.051/2004 - Promulgates the Convention 169 of the International Labour Organisation - ILO on Indigenous and Tribal Peoples  

Law #6.001/1973 - The Indian Statute  
https://www.planalto.gov.br/ccivil_03/leis/l6001.htm

Decree 6.040/2007 – National Policy for Sustainable Development of Traditional Peoples and Communities  

### Criterion 1.4: Use, access and tenure rights are subject to stated conditions within the laws and regulations

Does not apply. The established conditions, laws and regulations are the same as listed in **Criterion 1.2**

Include here **1.2.1.3 e o 1.2.1.4 e mais esclarecimentos com Keila**

Verifier 1.4.1.1 - The result of the bidding process is published on the State Official Gazette (DOE – *Diário Oficial do Estado, in Portuguese*) or Federal Official Gazette (DOU – *Diário Oficial da União, in Portuguese*).

Verifier 1.4.1.2- Document or granting contract of land/forest use between individuals or legal entities and the state or federal government.
**Legal References:**

- National Press (*Imprensa Nacional*)
  http://portal.in.gov.br/

- Press Office of the State of Pará (*Imprensa Oficial do Estado do Pará*)
  http://www.ioepa.com.br/2012/

  http://www.planalto.gov.br/ccivil_03/Legis/L8666cons.htm
  http://www.planalto.gov.br/ccivil_03/_Ato2007-2010/2007/Lei/L11481.htm#art3

- Law #11.824/2006 – Management of Public Forests

- Regulated by Decree 6.063/2007

### PRINCIPLE 2: HARVESTING REGULATIONS

**Criterion 2.1:** The Sustainable Forest Management Plan\(^{24}\) is in accordance with the government policies, guidelines and regulatory requirements, approved by relevant authority.

---

\(^{24}\) The Brazilian federal and state legislation for management of natural forests define: the area to be exploited annually as UPA - Annual Production Unit, described in AOP - Annual Operating Plan. An UPA can comprise part or the whole area of the UMF - "Forest Management Unit" also called in some states as AMF - "Forest Management Area", total area under management regime clearly described in PMFS - Sustainable Forest Management Plan.
**Indicator 2.1.1 – The Sustainable Forest Management Plan presents georeferenced maps of the whole infrastructure and Annual Production Units (UPAs) of the Forest Management Unit (UMF)**

**Natural Forest Timber**

**For forest management in "full scale" or business/industrial mode in the States of the Amazon Biome**²⁵

Verifier 2.1.1.1 – The permanent preservation areas and legal reserve; areas of production and hydrography of the forest management Unit are identified, mapped and documented in the forest management plan and are included in the geographic information system (GIS).

**For the Legal Amazon**²⁶

Verifier 2.1.1.2 – The infrastructure (housing, offices, restaurant, etc) and road network (roads, sidings, yards, skid trails, etc.) are registered and described in georeferenced maps (with coordinates) of the forest management Unit or Area of Forest Management.

Verifier 2.1.1.3 - The limits of the areas of annual production are physically and permanently demarcated in the field (forest management Unit) and comply with the restrictions on permanent preservation areas and legal reserves.

**For forest management in the category of low intensity (small scale, simplified, family or community) in the Amazon Biome**

Verifier 2.1.1.4 – The areas of permanent preservation, legal reserve, hydrography, extensions or skid trails, timber loading yard or port (if any) - and infrastructure are identified and represented on maps or sketches in Forest Management Plan.

---

²⁵**Amazon Biome**: Brazilian environmental laws change according to the Biome and States. The Amazon Biome covers the entire territory of the states of Acre, Amazonas, Roraima, Amapá, Pará and Rondônia, northern Mato Grosso state, the western portion of the Bico do Papagaio region in the northern part of the state of Tocantins and finally the northwestern region of the state of Maranhão, specifically west of the city of Miranda do Norte and north of the cities of Barra do Corda and Grajaú situated along the federal highway BR-226, and Imperatriz near BR-010.


²⁶**Legal Amazon**: Geographical-political division of the country, it covers the states of Acre, Amazonas, Roraima, Amapá, Pará and Rondônia, Mato Grosso and region in the north of parallel 13°S of Tocantins and Goiás state, and western of the meridian 44°W of the Maranhão state.
**Legal References:**


Regulation *Instrução Normativa* MMA 04/2006 e MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Sustainable Forest Management Plans

Page 154 of the Country’s Official Gazette (DOU)

Page 155 of the DOU

Page 156 of the DOU

Page 157 of the DOU

Page 158 of the DOU

Page 159 of the DOU

Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation,
presentation, execution and technical evaluation for Sustainable Forest Management Plans

Page 155 of the DOU

Page 156 of the DOU

Page 157 of the DOU

Page 158 of the DOU

Page 159 of the DOU

Joint Resolution CEMACT/CFE #003/2008 – Licensing, monitoring and inspection of areas with forest management

Regulation Instrução Normativa MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Sustainable Forest Management Plans (PMFS)

State Law #6.462 de 04/07/2002 - State Forestry Policy and Other Forms of Vegetation
http://www.sema.pa.gov.br/cedoc/download/Politica%20estadual%20de%20Florestas.pdf

Regulation InstruçãoNormativa SDS 02/2008 – Sustainable Forest Management Plan for small scale
<table>
<thead>
<tr>
<th>Document</th>
<th>Description</th>
<th>URL</th>
</tr>
</thead>
<tbody>
<tr>
<td><a href="http://www.idam.am.gov.br/arquivo/recomendacoes/b9c332c94f17e8a626b60b01b6812278.pdf">http://www.idam.am.gov.br/arquivo/recomendacoes/b9c332c94f17e8a626b60b01b6812278.pdf</a></td>
<td>Regulation <em>Instrução Normativa</em> SDS 001/2010 - Alters Regulation <em>Instrução Normativa</em> SDS 002/2008</td>
<td></td>
</tr>
<tr>
<td><a href="http://www.idam.am.gov.br/arquivo/recomendacoes/998cdd0db0016415a46c5ba4c26715fc.pdf">http://www.idam.am.gov.br/arquivo/recomendacoes/998cdd0db0016415a46c5ba4c26715fc.pdf</a></td>
<td>Corrigendum of Regulation <em>Instrução Normativa</em> SDS 001/2010</td>
<td></td>
</tr>
<tr>
<td><a href="http://www.idam.am.gov.br/arquivo/recomendacoes/ce2c09dda9e8ca8cb1f0e966f910725e.pdf">http://www.idam.am.gov.br/arquivo/recomendacoes/ce2c09dda9e8ca8cb1f0e966f910725e.pdf</a></td>
<td>Resolution CEMAAM 021/2011 - Sustainable Forest Management Plan in small scale</td>
<td></td>
</tr>
</tbody>
</table>
**Indicator 2.1.2** – Existence of one (or more) technical assigned person of accountability for the development and implementation of the Sustainable Forest Management Plan or silvicultural system

<table>
<thead>
<tr>
<th>Plantations and wood from native forest</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 2.1.2.1 - Registration of &quot;Note of Technical Responsibility&quot; (ART) in the Regional Council of Engineering and Agronomy (CREA) of the forest engineer or other authorized technician responsible for the development and implementation of the forest management plan or silvicultural system</td>
</tr>
<tr>
<td><strong>For the State of Pará</strong></td>
</tr>
<tr>
<td>Verifier 2.1.2.2 - Registration and Clearance Certificate of the technical assigned person of accountability with the Registry of Explorers and Consumers of Forest Products - CEPROF.</td>
</tr>
<tr>
<td><strong>For the State of Mato Grosso</strong></td>
</tr>
<tr>
<td>Verifier 2.1.2.3 – Registration and clearance certificate (No Records) of the technical assigned person of accountability in the Registry System of Consumers of Forest Products - CCSEMA.</td>
</tr>
</tbody>
</table>
**Legal References:**

Regulation *Instrução Normativa* MMA 08/2004 - Planting and conducting forest species, native or exotic

http://www.mma.gov.br/port/conama/legiabre.cfm?codlegi=560

Regulation *Instrução Normativa* MMA 06/2006 - Reforestation and consumption of forest raw material

http://www.ambiente.sp.gov.br/madeiralegal/legislacao/IN_MM_06-2006.pdf


Regulation *Instrução Normativa* SEMA-PA 22/2009 - Annual update of register on CEPROF/SISFLORA


Ordinance SEMA-PA nº 30/2007 - Forest Management in the State of Mato Grosso

http://app1.sefaz.mt.gov.br/sistema/legislacao/legislacaotribut.nsf/5edf9c5193c58088032567580038916b/0f7337678601b6ba042572ba0050d2d0?OpenDocument

**Indicator 2.1.3** – Sustainable Forest Management Plans in the surrounding area (buffer zone) of conservation units have consent of the agency responsible for the unit

**Natural Forests Timber**

*For the following Amazon States: Acre, Amapá, Amazonas, Mato Grosso, Maranhão, Pará, Rondônia, Roraima, Tocantins.*

Verifier 2.1.3.1 – Authorization of the agency responsible for managing the protected area
<table>
<thead>
<tr>
<th><strong>Indicator 2.1.4</strong> – Forest management plans in small-scale or local scale in conservation units follow the existing management standards.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Legal References:</strong></td>
</tr>
<tr>
<td>Resolution CONAMA 428/2010 – Environmental licensing for projects around protected areas</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Natural Forest Timber</strong></td>
</tr>
<tr>
<td><strong>For the Amazon States</strong></td>
</tr>
<tr>
<td>Verifier 2.1.4.1 – Authorization of the agency responsible for administering the Extractive Reserve or the Federal Reserve Development or the National Forest</td>
</tr>
<tr>
<td><strong>For the State of Pará</strong></td>
</tr>
<tr>
<td>Verifier 2.1.4.2 – Forest management plan has the approval of the deliberative or consultative Council and respects the economic-ecological zoning of the conservation Unit.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Legal References:</strong></td>
</tr>
<tr>
<td>Regulation Instrução Normativa 16/2011 - Guidelines for Sustainable Forest Management for Community Logging within Extractive Reserve (RESEX) and Federal Reserve of Sustainable Development (RDS) and National Forest (FLONA)</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Regulation Instrução Normativa SDS 02/2008 – Small scale Sustainable Forest Management Plan</td>
</tr>
<tr>
<td><a href="http://www.idam.am.gov.br/arquivo/recomendacoes/b9e332e94f17e8a62b6b01b6812278.pdf">http://www.idam.am.gov.br/arquivo/recomendacoes/b9e332e94f17e8a62b6b01b6812278.pdf</a></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Regulation Instrução Normativa SDS 001/2010 - Alters Regulation Instrução Normativa SDS 002/2008</td>
</tr>
</tbody>
</table>

---

27 Icmbio = Chico Mendes Institute of Biodiversity Conservation, connected with The Ministry of Environment.
<table>
<thead>
<tr>
<th>Indicator 2.1.5</th>
<th>Plantation and/or reforestation of native species for commercial purposes must be notified to the relevant environment agency.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plantations and Natural Forest Timber</strong></td>
<td>For all Brazilian States</td>
</tr>
<tr>
<td>Verifier 2.1.5.1</td>
<td>Information document on planting or reforestation with native species</td>
</tr>
</tbody>
</table>

Corrigendum of Regulation *Instrução Normativa* SDS 001/2010
[http://www.idam.am.gov.br/arquivo/recomendacoes/998cdd0db0016415a46c5ba4c26715fc.pdf](http://www.idam.am.gov.br/arquivo/recomendacoes/998cdd0db0016415a46c5ba4c26715fc.pdf)

Regulation *Instrução Normativa* SDS 004/2010 - Post-exploratory Reports and Annual Operating Plan of Small Scale Sustainable Forest Management Plan
[http://www.idam.am.gov.br/arquivo/recomendacoes/753e70310aed548db908ce19b399825f.pdf](http://www.idam.am.gov.br/arquivo/recomendacoes/753e70310aed548db908ce19b399825f.pdf)

Resolution CEMAAM 021/2011 - Small Scale Sustainable Forest Management Plan
[http://www.idam.am.gov.br/arquivo/recomendacoes/cb4e4df966a19774200f77dcce9d23be.pdf](http://www.idam.am.gov.br/arquivo/recomendacoes/cb4e4df966a19774200f77dcce9d23be.pdf)

State Law #6.462 /2002 – Forest State Policy


Regulation *Instrução Normativa* SDS 01/2009 - Plan for Sustainable Forest Management in State Conservation Units
[http://www.idam.am.gov.br/arquivo/recomendacoes/739d8544a1839c19fb4fc3c88ee170bf.pdf](http://www.idam.am.gov.br/arquivo/recomendacoes/739d8544a1839c19fb4fc3c88ee170bf.pdf)
**Indicator 2.1.6** - Plantations respect the limits and constraints of Permanent Preservation Areas and Legal Reserves in the forest management unit.

<table>
<thead>
<tr>
<th>Plantations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian States</strong></td>
</tr>
<tr>
<td>Verifier 2.1.6.1 - Permanent preservation areas and legal reserves are clearly identified on georeferenced map(s) of forest management unit.</td>
</tr>
<tr>
<td>Verifier 2.1.6.2 - There is no fragmentation of natural ecosystems that comprise the</td>
</tr>
</tbody>
</table>

**Legal References:**

Law #12.651/2012 – New Brazilian Forest Code
http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm

Note: there is much scientific literature that recommends this, but there is no explicit provision requiring it. The interpretation of the law for the Atlantic Forest Biome\(^{29}\) (Law 11428/2006) gives legal support to this verifier.

---

\( ^{28} \) Important: the law gives the period of one year from May 2012 to all producers and environmental agencies to adjust (comply) with the imposed determination.

\( ^{29} \) Atlantic Forest Biome: native forest formations and associated ecosystems, with its established boundaries on a map of the Brazilian Institute of Geography and Statistics - IBGE, according to Regulation: Rain Forest, Araucaria Forest, Opened Evergreen Forest; Semi deciduous Forest, and Deciduous Seasonal Forest, as well as Mangroves, vegetation of salt marshes, high altitude grasslands, hinterland marshes and forest enclaves in the Northeast. It occupies the entire eastern Brazilian Atlantic continental range and it
### Indicator 2.1.7 - The plantation companies respect the laws and rules on Genetically Modified Organisms (GMOs).

<table>
<thead>
<tr>
<th>Plantations</th>
<th>For all Brazilian States</th>
</tr>
</thead>
<tbody>
<tr>
<td>Verifier 2.1.7.1 - Varieties or species of genetically modified trees obey the legislation on GMOs and standards of the National Biosafety Technical Commission (CTNBio) and the National Biosafety Policy (PNB).</td>
<td></td>
</tr>
<tr>
<td>Verifier 2.1.7.2 - Biological control of pests in crops with genetically modified species respect the buffer zone of protected areas.</td>
<td></td>
</tr>
<tr>
<td>Verifier 2.1.7.3 - Biosafety Quality Certificate valid for plantation companies carrying out research with GMOs.</td>
<td></td>
</tr>
</tbody>
</table>

### Legal References:

- Law #11.105/2005 - National Biosafety Policy  
  [https://www.planalto.gov.br/ccivil_03/_Ato2004-2006/2005/Lei/L11105.htm#art42](https://www.planalto.gov.br/ccivil_03/_Ato2004-2006/2005/Lei/L11105.htm#art42)

- Decree 5.591/2005 - Regulates the articles of Law #11.105/2005  


 extends into the interior Southeast and South regions, covering all three states - Espírito Santo, Rio de Janeiro and Santa Catarina, and 98% of Paraná and portions of 11 other states.

**Criterion 2.2: Harvesting/timber license with stated conditions in accordance with the government policies, guidelines and regulatory requirements, approved by relevant authority**

**Indicator 2.2.1** – The Holder of the Sustainable Forest Management Plan has authorization to cut native trees under forest management regime issued by the competent environment agency.

**Natural Forest Timber**

**For all Brazilian States**

Verifier 2.2.1.1 – Logging Permit (license) or equivalent document with an expiration date, area, geographic location, species, volume, holder of the management plan and technical assigned person of accountability, approved and issued by the competent authority.

**Legal References:**

Article 31 of Law #12.651/2012 New Brazilian Forest Code  
[http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm](http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm)
**Indicator 2.2.2** - Forest management plan causing national or regional environmental impact is approved by the Federal Environment Agency - Ibama.

**Natural Forest Timber**

**For all Brazilian States**

Verifier 2.2.2.1 - Forest management plan that addresses one or more conditions listed below is approved by Ibama:
- Units of forest management on private lands above 50,000 hectares;
- Units of management with contiguous area located in more than one state and/or;
- Management Units exploited species listed on Appendix II of CITES\(^\text{30}\) - Convention on International Trade of Endangered Species of the Wild Flora and Fauna in Danger of Extinction

Verifier 2.2.2.2 - Sustainable Forest Management Plans on public lands or federal National Forests approved by Ibama

**Legal References:**

Resolution CONAMA 378/2006 - Projects potentially causing environmental impact nationally or regionally

Legislative Decree 54/1975 - Approves/ratifies CITES

---

\(^{30}\) Tree species of Brazilian flora listed in the CITES: Bahia Rosewood (*Dalbergia nigra*) is listed in Annex I of the Convention, therefore, its export is prohibited unless it is proven that the timber was removed from the natural forest before 1992, which would be considered as pre-convention material, Mahogany (*Swietenia macrophylla*) is listed in Annex II of the CITES and to export logs, lumber and laminated veneer it is required to issue a CITES license. Regulation Instrução Normativa Ibama 07/2003 regulates the procedures relating to the activities of Sustainable Forest Management Plans that address the exploitation of mahogany species, Brazilwood (*Caesalpinia echinata*) is listed in Annex II and for the export of logs, lumber and veneer, including unfinished wood articles used for making bows for stringed musical instruments it is required to issue a CITES export permit; Cedar (*Cedrela odorata*) is listed in Annex III and for the export of sawn timber and veneer it is required to issue a CITES Export License, Rosewood (*Aniba rosaeodora*) is part of the CITES' Appendix II. Regulation Instrução Normativa Ibama 09/2011 establishes procedures for the exploitation of primary forests and other natural forms of vegetation that includes rosewood tree species. For the exploitation of this species from plantations, one must obey Regulation Instrução Normativa MMA 03 of 2009. Bahia Rosewood, Mahogany, Brazilwood and Rosewood are also listed in Regulation Instrução Normativa MMA 06/2008, regarding endangered species. Source: Ibama [http://www.ibama.gov.br/servicos/cites](http://www.ibama.gov.br/servicos/cites).
<table>
<thead>
<tr>
<th>Document</th>
<th>Details</th>
</tr>
</thead>
</table>

**Indicator 2.2.3** - The species and the commercial volume to be harvested are based on 100% forest inventory (census) of the **Natural Forest Timber**
annual production unit.

<table>
<thead>
<tr>
<th>For all Brazilian States</th>
</tr>
</thead>
<tbody>
<tr>
<td>Verifier 2.2.3.1 – Annual plan of operation with 100% forest inventory (census) of tree species above the minimum felling diameter.</td>
</tr>
<tr>
<td>Law 6.938/1981 and its alterations – National Program for the Environment (PNMA) <a href="http://www.planalto.gov.br/ccivil_03/Leis/L6938.htm">http://www.planalto.gov.br/ccivil_03/Leis/L6938.htm</a></td>
</tr>
</tbody>
</table>

**Criterion 2.3: The company implements harvest operations in accordance with the legally prescribed silvicultural system and relevant regulations**

**Indicator 2.3.1** - The roads, skidding trails and log decks of the forest management unit are consistent with the silvicultural system approved by the competent environmental agency.

<table>
<thead>
<tr>
<th>Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td>For all Brazilian States</td>
</tr>
<tr>
<td>Verifier 2.3.1.1 - Aerial images, photos or maps of roads and log decks already installed in accordance with what was proposed in the approved Sustainable Forest Management Plan.</td>
</tr>
</tbody>
</table>

**For the Legal Amazon**

| Verifier 2.3.1.2 - Field survey report of the licensing body does not identify problems with roads, skidding trails and log decks. |

*Note: The same regulation as cited in previous control.*
### Indicator 2.3.2 - Harvesting operations are carried out according to low impact logging techniques.

**Natural Forest Timber**

**For all Brazilian States**

Verifier 2.3.2.1 Field survey report carried out at the forest management unit by the licensing authority does not identify problems or high levels of damage in the steps of cutting and skidding logs, mainly concerning to:
- Sawing wood in unauthorized areas
- Damage to watercourses  
- Handling of illegal timber  
- Absence of mark on logs and stumps of trees cut  
- Trees of remaining species and/or parent trees identified in the inventory are not damaged or exploited.  
- Permanent preservation areas are not damaged.  
- Opening canopy

**Natural Forest Timber**

**For the Legal Amazon**

Verifier 2.3.2.2 - Existence of a felling method (such as the use of “felling maps”31) adopted by the head of the harvesting activity.

**Legal References:**

Article 31 of Law #12.651/2012 New Brazilian Forest Code  
http://www.planalto.gov.br/ccivil_03/_Atos2011-2014/2012/Lei/L12651.htm


Page 155 of DOU  

Page 156 of DOU  

Page 157 of DOU

---

31Maps are developed based on 100% inventory of the annual production unit and show the trees to be cut, the direction of fall, the direction of skidding, trees and areas that should be preserved.
**Indicator 2.3.3** – The minimum felling diameter and the maximum logging intensity per hectare are respected.

<table>
<thead>
<tr>
<th>Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For the Legal Amazon</strong></td>
</tr>
<tr>
<td>Verifier 2.3.3.1 – Technical Survey Report of the post-extraction sustainable forest management plan made by appropriate environmental agencies on the minimum felling diameter and maximum logging intensity.</td>
</tr>
<tr>
<td>Verifier 2.3.3.2 – Specific rules for species with a minimum felling diameter (DMC in Portuguese) of less than 50 cm.</td>
</tr>
<tr>
<td>Verifier 2.3.3.3 – Technical Survey Report of the post-extraction sustainable forest management plan showing the maximum logging intensity of 30 cubic meters of logs per hectare.</td>
</tr>
</tbody>
</table>
**Legal References:**


Page 154 of the Federal Official Gazette - DOU

Page 155 of DOU

Page 156 of DOU

Page 157 of DOU

Page 158 of DOU

Page 159 of DOU
### Indicator 2.3.4 - Protected species are not harvested.

**Natural Forest Timber**

**For all Brazilian States**

Verifier 2.3.4.1 - List of species in Appendix I of the CITES are not harvested.

Verifier 2.3.4.2 - Endangered, threatened or protected species (such as the Rubber Tree - *Hevea brasiliensis* or the Brazil Nut - *Bertholletia excelsa*) in the list of Ministry of Environment are not harvested.

**For the State of Amazonas**

Verifier 2.3.4.3 - The *Copaifera spp.* (Diesel Tree, Kerosene Tree, Kupa'y, Cabismo, Copedía, Copaiba) and *Carapa spp.* (Andiroba, Crabwood) species are not harvested.

**Legal References:**

[http://200.181.15.9/CCIVIL_03/decreto/D3607.htm](http://200.181.15.9/CCIVIL_03/decreto/D3607.htm)

Decree 76.623/1975 - Promulgates the CITES  

Legislative Decree 54/1975 - Ratifies the CITES  

CITES - Appendices I, II and III, valid on April 3, 2012  

Regulation *InstruçãoNormativa* MMA 06/ 2008 – List of species of Brazilian flora threatened with extinction  
[http://www.ibama.gov.br/documentos/lista-de-especies-ameacadas-de-extincao](http://www.ibama.gov.br/documentos/lista-de-especies-ameacadas-de-extincao)
<table>
<thead>
<tr>
<th>Indicator 2.3.5</th>
<th>The company has a monitoring system of harvesting operations and maintenance of managed forest.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Natural Forest Timber</td>
</tr>
<tr>
<td></td>
<td>For all Brazilian States</td>
</tr>
<tr>
<td></td>
<td>Verifier 2.3.5.1 - A Report of Activities carried out in the forest management unit is presented each year to competent environmental agency.</td>
</tr>
</tbody>
</table>

**Legal References:**


Page 154 of DOU

Page 155 of DOU

Page 156 of DOU

Page 157 of DOU
### Indicator 2.3.6 - The forest management plan is revised periodically to incorporate the results of monitoring development of the scientific and technical innovations.

**Natural Forest Timber**

**For all Brazilian States**

Verifier 2.3.6.1 – Forest management plans and Annual Operational Plans incorporate changes approved by competent environmental agency.

**Legal References:**


### PRINCIPLE 3: TRANSPORTATION OF LOGS AND WOOD PRODUCTS

**Criterion 3.1:** Clear evidence of documents and licences for companies and carriers involved in timber products transportation shall be demonstrated in accordance with the laws and regulations.
<table>
<thead>
<tr>
<th>Indicator 3.1.1 - Timber companies and transport operators of timber products from plantations and of native origin are registered in the appropriate environmental agencies.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plantation and Natural Forest Timber</strong></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 3.1.1.1 - Registration and Debt Clearance Certificate (No History) in the Federal Technical Registry of Potentially Polluting Activities(^{32}) and/or Users of Environmental Resources - CTF at Ibama of the natural or legal person(s) responsible for the transportation.</td>
</tr>
</tbody>
</table>

- **Natural Forest Timber**
- **For all states except Pará and Mato Grosso**
  - Verifier 3.1.1.2 - Proof of compliance in the Electronic System DOF (forest origin document) of Ibama of the natural or legal person(s) responsible for the transportation.

- **For the state of Pará**
  - Verifier 3.1.1.3 - Registration and Clearance Certificate (No History) in the Registry of Forest Products Extractors and Consumers – CEPROF of a natural or legal person who commercializes and/or extracts the transported timber.

- **For the state of Mato Grosso**
  - Verifier 3.1.1.4 – Registration and Clearance Certificate (No History) in the Registry of Forest Products Consumers (CCSEMA) of a natural or legal person who commercializes and/or extracts the transported timber.

- **For the state of Minas Gerais**
  - Verifier 3.1.1.5 – Register, registration and clearance certificate in the Forest Activity Verifier system (CAF) of the natural or legal person who commercializes and/or stores the transported timber or sub-product.

\(^{32}\) In Portuguese: Cadastro Técnico Federal de Atividades Potencialmente Poluidoras.
<table>
<thead>
<tr>
<th><strong>Legal References:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Art. 17 of the Law 6.938/1981 and changes – National Environmental Policy</td>
</tr>
<tr>
<td><a href="https://www.planalto.gov.br/ccivil_03/Laws/L6938.htm">https://www.planalto.gov.br/ccivil_03/Laws/L6938.htm</a></td>
</tr>
<tr>
<td>Art. 36 of the Law 12.651/2012 – New Forest Code</td>
</tr>
<tr>
<td>To issue clearance certificate access the link:</td>
</tr>
<tr>
<td>To issue clearance certificate(No History) in the Electronic System DOF of Ibama access the link:</td>
</tr>
<tr>
<td>Regulation <strong>Instrução Normativa</strong> SEMA-PA 11/2006 – Norms and procedures for the registry CEPROF and SISFLORA</td>
</tr>
<tr>
<td>Regulation <strong>Instrução Normativa</strong> SEMA-PA 22/2009 – Annual update of the registry CEPROF and SISFLORA</td>
</tr>
<tr>
<td>Ordinance SEMA-MT 30/2007 - Forest Management in the state of Mato Grosso</td>
</tr>
<tr>
<td><a href="http://app1.sefaz.mt.gov.br/sistema/legislacao/legislacaopublica.nsf/5edf9c5193c58088032567580038916b/0f7337678601b6ba042572ba0050d2d0?OpenDocument">http://app1.sefaz.mt.gov.br/sistema/legislacao/legislacaopublica.nsf/5edf9c5193c58088032567580038916b/0f7337678601b6ba042572ba0050d2d0?OpenDocument</a></td>
</tr>
<tr>
<td>Ordinance IEF 08/2010 - Mandatory registration of natural and legal persons in the State Forest Institute (IEF).</td>
</tr>
</tbody>
</table>

---

33 Regulation **Instrução Normativa** is a legislative normative act issued by administrative authorities, additional standards, applicable laws, treaties and international conventions and decrees, and it cannot innovate or modify the text of the law that it complements. The Regulation **Instrução Normativa** seeks to regulate or implement regulations that are provided for in laws and that are valued, developed and approved by the Congress and sanctioned by the President.
**Indicator 3.1.2** – Harvesting and commercializing forest products and by-products originating from planted forests with exotic species are regulated.

**Plantations**

**For the state of Minas Gerais**

Verifier 3.1.2.1 – The Declaration of harvest and commercialization (DCC) is filled and protocolled in the regional offices of the State Forest Institute (IEF)

[http://www.ief.mg.gov.br/component/content/18?task=view](http://www.ief.mg.gov.br/component/content/18?task=view)

**Legal References:**

Ordinance IEF 133/2003 - Extinguishes the Authorization for forest extraction (APEF) for planted forests.


**Indicator 3.1.3** - Vehicles used for forest transportation and other existing types within the forest management unit comply with the regulations of the National Transit Code - CNT and the Maritime Authority for Vessels Employed in Inland Navigation.

**Plantations and Natural Forests Timber**

**For all Brazilian states**

Verifier 3.1.3.1 - All vehicles used for transporting logs and/or timber by-products have the Certificate of Annual License issued for the licensed vehicle, linked to the Vehicle Registration Certificate (CRV).

Verifier 3.1.3.2 - Vehicles used for transporting logs and/or timber by-products respect the classification of the National Traffic Council (Contran) and are compatible with the volume and/or weight declared on the valid license for the whole journey or path (e.g. DOF, GF and GCA).

Verifier 3.1.3.3 – Registration, subscription and certificate of full text of the watercraft used in the transportation of logs and timber by-products.
**Legal References:**

  [http://www.planalto.gov.br/ccivil_03/leis/l9503.htm](http://www.planalto.gov.br/ccivil_03/leis/l9503.htm)

  [http://www.planalto.gov.br/ccivil_03/leis/l9503.htm](http://www.planalto.gov.br/ccivil_03/leis/l9503.htm)

- Art. 47 of the Decree 6.514/2008 - Offences to the environment and administrative sanctions.

- Decree 97.592/1989 - Regulates Law 7.509/1986 - Timber logs fluvial transportation (e.g. rafts)

- Norm of the Maritime Authority (NORMAM) 02/Directorate of Ports and Coast (DPC) - Norms of the Maritime Authority for Watercrafts Employed in Inland Navigation.
  [https://www.dpc.mar.mil.br/normam/N_02/normam02.pdf](https://www.dpc.mar.mil.br/normam/N_02/normam02.pdf)

---

**Criterion 3.2: Clear evidence of documents and corresponding markings of timber products for transport shall be demonstrated by companies and carriers in accordance with the laws and regulations**

**Indicator 3.2.1** – There is legal evidence throughout the course of logs or processed wood transportation stating their chain of custody/origin.

**Natural Forests Timber**

**For all Brazilian states**

Verifier 3.2.1.1 – Documents of Forest Origin emission/reception Reports – DOFs and/or of the Waybills for Forest Products and By-Products Transportation (GFs) of the custody chain of the exported product.

Verifier 3.2.1.2 – Forest Forms (GFs) and/or Forest Originated Documents (DOFs) and/or Environmental Control Forms (GCA) received for each load of logs or processed timber are valid (have not been reversed, canceled, reused, defrauded etc.)
### Legal References:

Law 12.651/2012 – New Forest Code  


page 156 of the DOU  

Law 12.651/2012 – New Forest Code  

[https://www.planalto.gov.br/ccivil_03/leis/l9605.htm](https://www.planalto.gov.br/ccivil_03/leis/l9605.htm)


Ordinance IEF-MG 17/2009 – electronic GCA  

### Indicator 3.2.2

A forest management unit and a processing unit have their own transported/received timber control system (e.g. shipping list).

### Natural Forests Timber

**For all Brazilian states**

Verifier 3.2.2.1 - Existence of shipping list and other control registration, markings in logs and stumps.

### Legal References:

Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation,
| Indicator 3.2.3 - Companies and/or operators and/or service providers (natural person) involved in the transportation and/or storage of logs and/or timber products do not have fines (res judicata) or court decisions on environmental crimes (civil or federal police) for transportation of illegally extracted timber. | Plants and Natural Forests Timber

**For all Brazilian states**

Verifier 3.2.3.1 - Companies, operators and service providers do not have fines for transporting illegally harvested timber or in violation of the license at IBAMA and state environmental agencies.

Verifier 3.2.3.2 - Registration and Debt Clearance Certificate (No History) in the Registration, Collection and Inspection System (SICAFI) of Ibama.

**For the states of Pará and Mato Grosso**

Verifier 3.2.3.3 - Absence of administrative litigation of the offense type in the Environmental Monitoring and Licensing Integrated System (SIMLAM).

**Legal References:**

https://www.planalto.gov.br/ccivil_03/leis/l9605.htm


To confirm the authenticity of the Debt Clearance Certificate (No History) use the link below:
http://www.ibama.gov.br/sicafiext/

*The SIMLAM used by these two states does not allow issuing* Debt Clearance Certificate.
(No History) on-line, however in the links below, in the option "Search Process" and then "Offense" it is possible to know if a natural or legal person has any Offense Act registered, without, however, informing in which phase of the litigation is.

**Mato Grosso**  
http://monitoramento.sema.mt.gov.br/simlam/

**Pará**  
http://monitoramento.sema.pa.gov.br/simlam/

<table>
<thead>
<tr>
<th>PRINCIPLE 4: PROCESSING REGULATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criterion 4.1:</strong> Clear evidence of documents and licences for companies involved in timber processing shall be demonstrated in accordance with the laws and regulations</td>
</tr>
</tbody>
</table>

**Indicator 4.1.1** — Company and/or community holds registration, operation license and evidence of regularity valid in the environmental agencies in all levels (federal, state and municipal).

**Plantations and Natural Forests Timber**  
**For all Brazilian states**

Verifier 4.1.1.1 - Installation License and Operation License issued by the applicable state agency.

Verifier 4.1.1.2 - Registration and Debt Clearance Certificate (No History) in the Federal Technical Registry of Potentially Polluting Activities and/or Users of Environmental Resources (CTF).

Verifier 4.1.1.3 - Registration and Debt Clearance Certificate (No History) in the Registration, Collection and Inspection System (SICAFI) of Ibama.

**Natural Forests Timber**  
**For the state of Pará**

Verifier 4.1.1.4 - Registration and Clearance Certificate of the technician responsible in the Registry of Forest Products Extractors and Consumers (CEPROF).

**For the state of Mato Grosso**
Verifier 4.1.1.5 – Registration and Clearance Certificate (No History) of the technician responsible in the Registry of Forest Products Consumers - CCSEMA.

**Legal References:**

Law 12.651/2012 – New Forest Code  

[https://www.planalto.gov.br/ccivil_03/leis/l9605.htm](https://www.planalto.gov.br/ccivil_03/leis/l9605.htm)


Resolution CONAMA 237/1997 – Norms about Environmental Licensing  
Art. 17 of the Law 6.938/1981 and changes – National Environmental Policy  
[https://www.planalto.gov.br/ccivil_03/Laws/L6938.htm](https://www.planalto.gov.br/ccivil_03/Laws/L6938.htm)

To confirm the authenticity of the Debt Clearance Certificate (No History):  


Regulation *Instrução Normativa* SEMA-PA 22/2009 - Annual update of the registration at CEPREF/SISFLORA  

Ordinance SEMA-MT 30/2007 - Forest Management in the state of Mato Grosso  
[http://app1.sefaz.mt.gov.br/sistema/legislacao/legislacaotribut.nsf/5edf9c5193c580880325](http://app1.sefaz.mt.gov.br/sistema/legislacao/legislacaotribut.nsf/5edf9c5193c580880325)
**Indicator 4.1.2** - The company is registered and presents evidence of regularity with Internal Revenue Service.

**Natural Forests Timber**

**For all Brazilian states**

Verifier 4.1.2.1 - Registration at the National Registry of Legal Entities\(^{34}\) (CNPJ, in Portuguese) - and proof of registration status.

**Legal References:**

Regulation *Instrução Normativa* RFB 1.183/2011 - National Registry of Legal Entities (CNPJ)


Regulation *Instrução Normativa* RFB 1.052/2010 - Natural Persons Registry\(^{35}\) (CPF, in Portuguese)


To consult the authenticity of certificates issued to Natural Persons or to Legal Entities by RFB\(^{36}\):


---

**Criterion 4.2:** Timber processing companies are subject to stated conditions within the laws and regulations

---

\(^{34}\) Similar to the *Value Added Tax (VAT) Identification Number.*

\(^{35}\) This is a number attributed by the Brazilian revenue agency (*Receita Federal* - Federal Revenue) to both Brazilians and resident aliens who pay taxes or take part, directly or indirectly, in activities that provide revenue for any of the dozens of different types of taxes existing in Brazil.

\(^{36}\) RFB = *Receita Federal do Brasil* = Brazilian Internal Revenue Service.
**Indicator 4.2.1** – The company presents documents, systems, markings and/or internal control registration correspondent to logs and timber products receiving/storage.

<table>
<thead>
<tr>
<th>Natural Forests Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 4.2.1.1 – Documents of Forest Origin emission/reception Reports – DOFs and/or of the Waybills for Forest Products and By-Products Transportation (GFs) of the chain of custody of the processed logs and timber.</td>
</tr>
<tr>
<td>Verifier 4.2.1.2 – Forest Forms (GFs) and/or Forest Originated Documents (DOFs) and/or Environmental Control Forms (GCA) received for each load of logs or processed timber are valid (have not been reversed, canceled, reused, defrauded etc.)</td>
</tr>
</tbody>
</table>

**Legal References:**

Law 12.651/2012 – New Forest Code


page 156 of the DOU

Law 12.651/2012 – New Forest Code

[https://www.planalto.gov.br/ccivil_03/leis/l9605.htm](https://www.planalto.gov.br/ccivil_03/leis/l9605.htm)


Ordinance IEF 17/2009 – GCA electronic
<table>
<thead>
<tr>
<th>Indicator 5.1.1 - Companies and operators involved in the export of timber products are registered, hold export authorization and do not have pending issues with any environmental, internal revenue or customs agencies.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plantations and Natural Forests Timber</strong></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 5.1.1.1 – Export Registry (RE) in the Foreign Trade Integrated System (Siscomex) of the Brazilian Internal Revenue Service.</td>
</tr>
<tr>
<td><strong>Natural Forests Timber</strong></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 5.1.1.2 - Registration and Conformity Certificate in the Federal Technical Registry of Potentially Polluting Activities and/or Users of Environmental Resources (CTF).</td>
</tr>
<tr>
<td><strong>For the state of São Paulo</strong></td>
</tr>
<tr>
<td>Verifier 5.1.1.3 - The company presents proof of regularity in the Registry of Timber Merchants of the state of São Paulo (CADMADEIRA).</td>
</tr>
</tbody>
</table>

**Legal References:**

Decree 6.660/1992 – Establishes the Siscomex

Art. 17 of the Law 6.938/1981 and changes - National Environmental Policy
https://www.planalto.gov.br/ccivil_03/Laws/L6938.htm

Art. 36 of the Law 12.651/2012 – New Forest Code
http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Law/L12651.htm

Regulation *Instrução Normativa* Ibama 31/2009 – Norms referring to the Federal Technical Registry of Potentially Polluting Activities and/or Users of Environmental
<table>
<thead>
<tr>
<th>Resources (CTF).</th>
</tr>
</thead>
</table>

State Decree 53.047/2008 - State Registry of Legal Entities who commercialize Brazilian native flora products and by-products (CADMADEIRA)


---

**Criterion 5.2: Clear evidence of official documents of timber products for import and export shall be demonstrated by companies and carriers in accordance with the laws and regulations**

**Indicator 5.2.1** - There is documentation that proves the legality of the origin of timber or timber product.

**Plantations and Natural Forests Timber**

**For all Brazilian states**

Verifier 5.2.1.1 - Export Order (DE) fulfills all legal requirements.

**Natural Forests Timber**

**For all Brazilian states**

Verifier 5.2.1.2 - Document of Forest Origin for Export (DOF Exp) or Forest Form type 3 for Export (GF3 Exp) attached to the Export Order (DE).

---

**Legal References:**

Regulation *Instrução Normativa* Ibama 77/2005 - Natural and planted, native and exotic forests products and by-products Export.


Regulation *Instrução Normativa* Ibama 77/2005 - Natural and planted, native and exotic forests products and by-products Export.

**Indicator 5.2.2** - Export of raw timber (not processed) from forest plantations or forest management plans is subject to special procedures.

<table>
<thead>
<tr>
<th><strong>Plantations and Natural Forests Timber</strong></th>
<th><strong>For all Brazilian states</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Verifier 5.2.2.1 - Exporter technical explanation approved by technical and scientific opinion of the Forest Products Laboratory of IBAMA.</td>
<td></td>
</tr>
</tbody>
</table>

**Legal References:**

Regulation *Instrução Normativa* Ibama 77/2005 - Natural and planted, native and exotic forests products and by-products Export.

http://www.florestal.gov.br/pngf_sistema_cadastro/bin/getPDF.php?oid=99346

---

**Criterion 5.3: Timber products import and export companies are subject to stated conditions within the laws and regulations**

**Indicator 5.3.1** - Extinct and protected species are not commercialized and exported.

<table>
<thead>
<tr>
<th><strong>Natural Forests Timber</strong></th>
<th><strong>For all Brazilian states</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Verifier 5.3.1.1 – Lists of the extinguished, threatened or protected species such as rubber tree or <em>seringueira</em> in Portuguese (<em>Hevea brasiliensis</em>) and Brazil nut tree or <em>castanheira</em> and <em>castanha-do-brasil</em> in Portuguese (<em>Bertholletia excelsa</em>) of the Ministry of Environment are not extracted.</td>
<td></td>
</tr>
</tbody>
</table>

**Legal References:**

Regulation *Instrução Normativa* MMA 06/2008 – List of endangered and threatened Brazilian flora species

http://www.ibama.gov.br/documentos/lista-de-especies-ameacadas-de-extincao

or

<table>
<thead>
<tr>
<th><strong>Indicator 5.3.2</strong> - Timber or timber product within the category &quot;limited export&quot; from natural or planted forests, native or exotic, are subject to special procedures. <em>(Obs.: See more information on footnote 31)</em></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plantations and Natural Forests Timber</strong></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 5.3.2.1 – Document that approves custody chain phases from the forest until export attached to Export Order (DE).</td>
</tr>
<tr>
<td>Verifier 5.3.2.2 - License CITES (or authorization) issued by the Scientific authority for species within the category “limited export - annex II” attached to the Export Order.</td>
</tr>
<tr>
<td>Verifier 5.3.2.3 – Origin Certificate issued by Ibama for species within the category “limited export – annex III” attached to the Export Order.</td>
</tr>
<tr>
<td><strong>Legal References:</strong></td>
</tr>
</tbody>
</table>
| Regulation *Instrução Normativa* Ibama 77/2005 - Natural and planted, native and exotic forests products and by-products Export.  
Regulation *Instrução Normativa* Ibama 77/2005 - Natural and planted, native and exotic forests products and by-products Export.  
*(OB.: see more information on footnote 31)* |
| Regulation *Instrução Normativa* MMA 06/2008 – List of endangered and threatened Brazilian flora species  
[http://www.ibama.gov.br/documentos/lista-de-especies-ameacadas-de-extincao](http://www.ibama.gov.br/documentos/lista-de-especies-ameacadas-de-extincao)  
or  
Convention on International Commerce of Wild Flora and Fauna – endangered and extinct species - CITES |
<table>
<thead>
<tr>
<th>Document</th>
<th>Link</th>
</tr>
</thead>
</table>

**PRINCIPLE 6: ENVIRONMENTAL REGULATIONS**

Criterion 6.1: State/Company conducts environmental impact assessments or other required assessments within the laws and regulations.
**Indicator 6.1.1** – The operation of forest extraction and management, which affects a Conservation Unit or its buffer zone, has specific evaluation and authorization.

<table>
<thead>
<tr>
<th>Natural Forests Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 6.1.1.1 – Environmental impact study or forest management evaluation and potential impacts to the conservation unit or its buffer zone.</td>
</tr>
<tr>
<td>Verifier 6.1.1.2 - Authorization for forest management issued by environmental agency responsible for the administration of a Conservation Unit or (when applicable) by the Natural Patrimony Private Reserve (RPPN) Owner.</td>
</tr>
<tr>
<td><em>Obs.: same norms described on previous verifier</em></td>
</tr>
</tbody>
</table>

**Legal References:**


- Resolution CONAMA 378/2006 – Defines the projects that potentially cause impacts on national or regional scale.  

- Law 9985/2000 – Establishes the National Nature Conservation Units System  
  [http://www.planalto.gov.br/ccivil_03/leis/l9985.htm](http://www.planalto.gov.br/ccivil_03/leis/l9985.htm)
**Indicator 6.1.2** - The Sustainable Forest Management Plan holder presents annually report of Forest Management Unit activities.

**Natural Forests Timber**

*For the states of the Legal Amazon*

Verifier 6.1.2.1 – Annual report with information about the whole forest management area, description of the activities carried out (pre, during and post-forest extraction operation) and volume effectively extracted within the period of twelve months.

Verifier 6.1.2.2 – Evaluation of the "Activities Report" by competent environmental agency approves the continuation of operations

*Obs.: same norms from previous verifier*

**Legal References:**


Page 156 of the DOU

Page 157 of the DOU

Page 158 of the DOU
### Indicator 6.1.3 – Government monitors the execution of the Sustainable Forest Management Plan and/or of the silvicultural systems post-extraction, at least every two years.

**Natural Forests Timber**

**For the Amazon Biome**

Verifier 6.1.3.1 – Technical Survey Report of the post-extraction sustainable forest management plan.

**Legal References:**

- Law 12.651/2012 - New Forest Code

- Resolution CONAMA 406/2009 - PMFS with timber extraction intentions in the Amazon Biome.

### Indicator 6.1.4 – The environmental impacts of plantations in Conservation Units (UC) and their respective buffer zones are studied and evaluated.

**Plantations**

**For all Brazilian states**

Verifier 6.1.4.1 – Authorization for forest management issued by environmental agency responsible for the administration of a Conservation Unit or (when applicable) by the Natural Patrimony Private Reserve (RPPN) Owner.

**Legal References:**

- Resolution CONAMA 428/2010 - Environmental licensing that impacts the conservation unit or its buffer zone.

- Resolution CONAMA 01/1986 - Environmental Impact Evaluation
Resolution CONAMA 11/1986 - Environmental Impact Evaluation

Resolution CONAMA 237/1997 - Environmental Licensing Procedures

Resolution CONAMA 378/2006 - Licensing of projects that potentially cause environmental impacts.

**Criterion 6.2: State/Company takes mitigation measures on negative environmental parameters in accordance with the laws and regulations.**

**Indicator 6.2.1** – The last extracted areas of the forest management unit are maintained and conserved even if a temporary or permanent interruption of production activities takes place.

**Natural Forests Timber**

**For the Legal Amazon states**

Verifier 6.2.1.1 - Managed forest maintenance responsibility term signed in the Certificate of Registration of the rural property.

Verifier 6.2.1.2 - The first authorization (license) of extraction is only issued after the presentation of the forest maintenance commitment agreement (one cut cycle).

Verifier 6.2.1.3 – Responsible Environmental Agency reports on the managed forest.

**Legal References:**


**Indicator 6.2.2** – Sustainable Forest Management Plan or plantations that have negative environmental impacts in regional or national scale adopt mitigation measures or impact reduction.

**Plantations and Natural Forests Timber**

**For all Brazilian states**

Verifier 6.2.2.1 – State Environmental agency or Ibama evaluation that proves the environmental impacts have been reduced or mitigated.

*Obs: Art. 14 of the Regulation Instrução Normativa MMA 05/2006 described on the previous verifier.*
**Legal References:**

Resolution CONAMA 01/1986 - Environmental Impact Evaluation
http://www.mma.gov.br/port/conama/legiabre.cfm?codlegi=23

Resolution CONAMA 237/1997 - Environmental Licensing Procedures
http://www.mma.gov.br/port/conama/legiabre.cfm?codlegi=237


Page 155 of the DOU

Page 156 of the DOU

Page 157 of the DOU

Page 158 of the DOU

Page 159 of the DOU

**Indicator 6.2.3** – The plantations and operations in native forests impact on the production and water quality inside the forest management unit is monitored.  

**Plantations and Natural Forests Timber**  

*For all Brazilian states*
<table>
<thead>
<tr>
<th>Indicator 6.2.3</th>
<th>Surface and groundwater quality is within legal parameters.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Legal References:</strong></td>
<td>Decree 94.076/1987 - National Program for Micro Watersheds</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.planalto.gov.br/ccivil_03/LEIS/l9433.htm">http://www.planalto.gov.br/ccivil_03/LEIS/l9433.htm</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicator 6.2.4</th>
<th>The plantations and operations in native forests effect on the soil conservation inside the forest management unit is monitored.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plantations and Natural Forests Timber</strong></td>
<td>For all Brazilian states</td>
</tr>
<tr>
<td>Verifier 6.2.4.1</td>
<td>Soil conservation measures (terraces, contour, culverts and small dams on the roads, roads that meet the hydrography, etc.) are adopted.</td>
</tr>
<tr>
<td><strong>Legal References:</strong></td>
<td>Decree 94.076/1987 - National Program for Micro Watersheds</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.planalto.gov.br/ccivil_03/LEIS/l9433.htm">http://www.planalto.gov.br/ccivil_03/LEIS/l9433.htm</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicator 6.2.5</th>
<th>The Sustainable Forest Management Plan holder or plantation company adopt protection system or measures against illegal timber extraction, illegal occupation and other forbidden activities such as hunting and fishing inside the forest management unit.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plantations and Natural Forests Timber</strong></td>
<td>For all Brazilian states</td>
</tr>
<tr>
<td>Verifier 6.2.5.1</td>
<td>Existence of signs and warnings against hunting, fishing and deforestation; vigilance system</td>
</tr>
<tr>
<td><strong>Natural Forests Timber</strong></td>
<td>-</td>
</tr>
</tbody>
</table>
For the Legal Amazon states

Verifier 6.2.5.2 – Environmental education program for employees and surrounding communities and training employees in environmental conservation

*Obs: same norms described on previous verifier*

**Legal References:**

Law 9.605/1996 - Environmental Crimes Law
[https://www.planalto.gov.br/ccivil_03/leis/l9605.htm](https://www.planalto.gov.br/ccivil_03/leis/l9605.htm)

Ordinance MTE 86/2005 - Safety and Health at Work, on Agriculture, on Livestock, on Silviculture, Forestry and Aquaculture.


Page 155 of the DOU

Page 156 of the DOU

Page 157 of the DOU
<table>
<thead>
<tr>
<th>Indicator 6.2.6</th>
<th>Plantations and Natural Forests Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>– Pesticides banned by international agreements, of use prohibited by Brazilian regulations or that are not approved for use in forests and timber plantation and processing</strong></td>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td></td>
<td>Verifier 6.2.6.1 – Absence of fines for the use of prohibited pesticides.</td>
</tr>
<tr>
<td><strong>Legal References:</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicator 6.2.7</th>
<th>Plantations and Natural Forests Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>– Chemical products, containers, non-organic liquid residues, including fuel and lubricant oils outside the forest management unit and in the plantations and processing areas are discarded in an environmentally appropriate manner.</strong></td>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td></td>
<td>Verifier 6.2.7.1 – Absence of fines for inappropriate disposal of chemical products</td>
</tr>
</tbody>
</table>
**Legal References:**

National Policy of Solid Waste  

Decree 7404/2010 - Regulates Law 12.305/2010  

<table>
<thead>
<tr>
<th><strong>PRINCIPLE 7: CONSERVATION REGULATIONS.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criterion 7.1: State/company conducts conservation assessment/evaluation within the laws and regulations</strong></td>
</tr>
<tr>
<td><strong>Indicator 7.1.1 – The Forest Management Plan presents guidelines for the reduction of impact on the forest management Unit's fauna and flora.</strong></td>
</tr>
<tr>
<td><strong>Natural Forests Timber</strong></td>
</tr>
<tr>
<td><strong>For all Brazilian States</strong></td>
</tr>
<tr>
<td>Verifier 7.1.1.1 – Forest Management Unit post-extraction activities Report presents evaluation of fauna and flora conservation.</td>
</tr>
</tbody>
</table>

**Legal References:**

Art. 31 of Law #12.651/2012 – New Forest Code  
[http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm](http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm)

For the states of Legal - Full PMFS or of industrial scale  

Art. 4º § 3 º and item 4.5 of Annex II of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans

Page 155 of DOU  

Page 156 of DOU  
**Indicator 7.1.2** – Federal or state government makes evaluation of flora and fauna conservation in Federal or State public forests concession areas for forest management.

**Plantation and Natural Forest Timber**

**For all Brazilian states**

Verifier 7.1.2.1 – Impact on Biodiversity monitoring Report

**Legal References:**

Law #11.284/2006 - Public Forests Management  

Art. 31 of Law #12.651/2012 – New Forest Code  

Art. 2 subparagraph XIII, 26 and 27 of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans

---

62
### Criterion 7.2: State/company takes mitigation measures on negative conservation values in accordance with the laws and regulations.

#### Indicator 7.2.1 – Company and government adopt program of biotic environment (flora and fauna) conservation at areas affected by forest handling and extraction activities and timber processing when situated at forest concession areas.

<table>
<thead>
<tr>
<th>Plantation and Natural Forest Timber</th>
<th>For all Brazilian states</th>
</tr>
</thead>
<tbody>
<tr>
<td>Verifier 7.2.1.1 – Reports with favorable indicators of the conservation program</td>
<td></td>
</tr>
</tbody>
</table>

**Legal References:**

Law #11.284/2006 - Public Forests Management  
[http://www.planalto.gov.br/ccivil_03/_Ato2004-2006/2006/Lei/L11284.htm](http://www.planalto.gov.br/ccivil_03/_Ato2004-2006/2006/Lei/L11284.htm)

#### Indicator 7.2.2 – The Forest Management Plan holder or the plantation company adopts effective actions to prevent and/or control forest fires.

<table>
<thead>
<tr>
<th>Plantation and Natural Forest Timber</th>
<th>For all Brazilian states</th>
</tr>
</thead>
<tbody>
<tr>
<td>Verifier 7.2.2.1 - Forest fire prevention and fighting plan and trained and equipped fire brigade.</td>
<td></td>
</tr>
</tbody>
</table>

**Natural Forests Timber**

The states of Legal Amazon - Full PMSF or of industrial scale

Verifier 7.2.2.2 – Fire Brigade training program for the control of forest fires and training workers and contractors training in taking prevention measures to forest fires
**Legal References:**

Art. 38 a 40 of Law #12.651/2012 – New Forest Code  
[http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm](http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm)

Regulating Norm (NR) MTE 31/2011 and changes - Precepts to be followed in relation to labor organization and ambience. Labor safety, health and environment  

Art. 4 § 3 and item 4.6 of Annex II of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans  

Page 156 of DOU  

Page 157 of DOU  

Page 158 of DOU  

Page 159 of DOU  

Art. 5 § 3 subparagraph I and item 4.6 of Annex II of the Regulation *Instrução Normativa*
**MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans**

Decree 2.661/1998 - Prevention norms concerning the use of fire in agro pastoral and forestall practices and creation of the National System of Forest Fires Prevention and Fighting Prevfogo/Ibama

[https://www.planalto.gov.br/ccivil_03/decreto/d2661.htm](https://www.planalto.gov.br/ccivil_03/decreto/d2661.htm)

**Forest Fires Prevention and Fighting National Centre**


**Legal Amazon deforestation Prevention and control Action Plan**


**Deforestation and Fires Prevention and Control - Cerrado Action Plan**


**Subsidies for the elaboration of the Caatinga’s Deforestation Prevention and Control Action Plan**


**Deforestation Prevention and Control state Plans**

[http://www.mma.gov.br/florestas/controle-e-preven%C3%A7%C3%A9%20do-desmatamento/planos-estaduais](http://www.mma.gov.br/florestas/controle-e-preven%C3%A7%C3%A9%20do-desmatamento/planos-estaduais)

**Indicator 7.2.3** – In the forest management Units there are protection measures for native flora and fauna species considered endemic, rare, threatened or in danger of extinction, as well as for their habitats (ex., migrating species reproduction//foraging and landing areas).

**Plantation and Natural Forest Timber**

**For all Brazilian states**

Verifier 7.2.3.1 – Warning sigh of wild fauna along the roads; installation of speed bumps/reducers; identification of nests of various species; connection between forest fragments

**The states of Legal Amazon**

(Full PMSF or of industrial scale)
Verifier 7.2.3.2 – Rare, threatened and endemic flora species are described on the forest management plan

Obs: same norms as previous verifier.

**Legal References:**

Law #12.651/2012 – New Forest Code  

Art. 5 § 3 subparagraph I and item 4.5 of Annex II of the Regulation *Instrução Normativa MMA 05/2006* - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans  

Page 155 of DOU  

Page 156 of DOU  

Page 158 of DOU  

Page 159 of DOU  
| **Indicator 7.2.4** – Evidence of knowledge of all measures regarding the previous control by employees, contractors, partners and communities of the Forest Management Unit and its surroundings. |
|**Plantation and Natural Forest Timber** |
| **For all Brazilian states** |
| Verifier 7.2.4.1 – Environmental education program or practices/training regarding protected and endemic species for workers and contractors. |
| **The states of Legal Amazon - Full PMSF or of industrial scale** |
| **For all Brazilian states** |
| Verifier 7.2.4.2 – Environmental education program or practices regarding protected and endemic species for inside Forest management Unit and surrounding´s communities. |

**Legal References:**

Art. 5 § 3 subparagraph I and Item 4.3 of Annex II of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans

Page 155 of DOU  

Page 156 of DOU  

Page 158 of DOU  

Page 159 of DOU  
### PRINCIPLE 8: SOCIAL REGULATIONS

**Criterion 8.1:** Company maintains or strengthens socio-economic welfare of local communities/indigenous people in accordance with the laws and regulations

<table>
<thead>
<tr>
<th>Indicator 8.1.1 – Forest Sustainable Management Plan holder or the plantation company adopts measures that respect the socio-economic welfare of the traditional (indigenous people or not) or rural communities living inside or in the surroundings of the forest management Unit.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plantation and Natural Forest Timber</strong></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 8.1.1.1 – Program or practices to support the production chain of communities who use or collect forest products inside the forest management unit</td>
</tr>
<tr>
<td>Verifier 8.1.1.2 – Access and forest products collection inside the forest management unit authorization</td>
</tr>
<tr>
<td>Obs: Same norms as previous verifier.</td>
</tr>
</tbody>
</table>

**Legal References:**


### Indicator 8.1.2 - Forest Sustainable Management Plan holder or the plantation company presents evidence of not promoting to discrimination against race, religion/belief, gender, sexual option and political position when hiring labor forces.

<table>
<thead>
<tr>
<th>Planation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 8.1.2.1 - Job publications or advertisements do not discrimination against gender, race and ethnicity.</td>
</tr>
<tr>
<td>Verifier 8.1.2.2 – Absence of penalties or denounces at the Labor Ministry or at the workers union regarding discrimination</td>
</tr>
<tr>
<td>Obs: Same norms as previous verifier</td>
</tr>
</tbody>
</table>

### Legal References:

- Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
  [https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm](https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm)

- ILO Convention 169 - Customary rights of indigenous and tribal peoples.
  [http://www.oitbrasil.org.br/node/292](http://www.oitbrasil.org.br/node/292)

- Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text

- Decree 5.051/2004 – Promulgates the ILO Convention 169 text regarding rights of indigenous and tribal peoples.
Law #6.001/1973 - Indigenous people statute
https://www.planalto.gov.br/ccivil_03/leis/l6001.htm

Decree 6.040/2007 - National Policy for the sustainable development of traditional peoples and communities

Law #9.029/1995 - Prohibits discriminatory practices, for hiring or legal labor relation permanence effects.
http://www.planalto.gov.br/ccivil_03/leis/l9029.htm

Decree-Law 5.452/1943 and changes - Consolidated Labor Laws (CLT)
https://www.planalto.gov.br/ccivil_03/decreto-lei/de15452.htm

Labor Justice Superior Council - CSJT
http://www.csjt.jus.br/inicio

Consultation of litigation at the Labor Ministry - MPT
http://portal.mpt.gov.br/wps/portal/portal_do_mpt/servicos/processos_csmpt
or
http://portal.mpt.gov.br/wps/portal/portal_do_mpt/servicos/processos_ccr

Consultation of litigation by the Regional Labor State Attorney - PRT
http://portal.mpt.gov.br/wps/portal/portal_do_mpt/sobre_o_mpt/prts/!ut/p/c5/04_SB8K8xL1LM9MSSzPy8xBz9CP0os3hH92BPJydDRwN_E3cjA88QU1N3L7OgMBdLQ6B8JE55n2ATCnSHopoSo9sAB3A0IKA7HORX_G7Hlw92HUgej_1-Hvm5qfoFuaGhEQAeOiooAbFrrew!!/dl3/d3/L2dBISEvZ0FBIS9nQSEh/

Consultation of litigation at the Labor Superior Court - TST
http://ext02.tst.jus.br/pls/ap01/ap_proc100.inicio

Consultation of litigation at the Labor Regional Court - TRT
http://www3.tst.jus.br/processos/consultaprocinst/SegundaInst.html
| **Indicator 8.1.3** – Adequate and transparent mediation and conflict resolution mechanisms are adopted with traditional (indigenous people or not) and rural communities living inside or in the surroundings of the forest management Unit. |
| **Plantation and Natural Forest Timber** |
| **For all Brazilian states** |
| Verifier 8.1.3.1 - Conflict mediation mechanisms are clear, are available for consultation and follow national and international regulations. |
| Verifier 8.1.3.2 – Absence of denounces or police reports against the company or the Forest Sustainable Management Plan holder. |
| Obs: Same norms as previous verifier. |
| Obs 2: The absence of denounces, criminal complaints or police report can only be verified directly at the Judiciary Police (*Policia Civil*) of the state or regarding jurisdiction or in the State Superintendence of the Federal Police Department - DPF since the information of *No Registry* of Legal or Natural Persons are not available on the internet. |

**Legal References:**

ILO Convention 169 - Customary rights of indigenous and tribal peoples.  
[http://www.oitbrasil.org.br/node/292](http://www.oitbrasil.org.br/node/292)

Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text  

Decree 5.051/2004 – Promulgates the ILO Convention 169 text regarding rights of indigenous and tribal peoples.  

Decree 6.040/2007 - National Policy for the sustainable development of traditional peoples and communities  
**Indicator 8.1.4** – There are evidences of initiatives that support community participation on activities related to the forest management Unit.

**Plantation and Natural Forest Timber**

**For all Brazilian states**

Verifier 8.1.4.1 – Meeting minutes or other forms of registration signed by legitimate representatives and recognized by the communities,

Verifier 8.1.4.2 – Support programs, textbooks, booklets, and other types of materials used for the development of communities connected to the forest management Unit.

Obs: Same norms as previous verifier.

**Legal References:**


**Criterion 8.2:** Company recognizes legal or customary rights of indigenous/local people in accordance with the laws and regulations
| **Indicator 8.2.1** – Forest Sustainable Management Plan holder or the plantation company allows and supports the rights of forest access and use by traditional (indigenous people or not) and rural communities living inside or the surroundings of the forest management Unit. |
|**Plantation and Natural Forest Timber** |
| **For all Brazilian states** |
| Verifier 8.2.1.1 – Internal regulations give evidence to the right to access the forest management Unit. |
| Verifier 8.2.1.2 - Absence of denounces, police reports, etc. for difficulties in accessing the forest management Unit. |
| Obs: The absence of denounces, criminal complaints or police report can only be verified directly at the Judiciary Police (Policia Civil) of the state or regarding jurisdiction or in the State Superintendence of the Federal Police Department - DPF since the information of No Registry of Legal or Natural Persons are not available on the internet. |

**Legal References:**

- ILO Convention 169 - Customary rights of indigenous and tribal peoples.  
  [http://www.oitbrasil.org.br/node/292](http://www.oitbrasil.org.br/node/292)

- Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text  

- Decree 5.051/2004 – Promulgates the ILO Convention 169 text regarding rights of indigenous and tribal peoples.  

- Decree 6.040/2007 - National Policy for the sustainable development of traditional peoples and communities  
**Indicator 8.2.2** - There are information about the identity and location of all traditional (indigenous people or not) and rural communities and organized in associations and/or cooperatives who inhabit the surroundings of the forest management Unit or that are affected by its operations.

<table>
<thead>
<tr>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 8.2.2.1 – Maps, sketches and documents regarding the location of all communities and data about associations and other representations.</td>
</tr>
</tbody>
</table>

**Legal References:**


**Indicator 8.2.3** - Indigenous people or local communities are compensated (benefits distribution) for the use of their traditional knowledge regarding the good use of forest or for management systems applied to the forest operations.

<table>
<thead>
<tr>
<th><strong>Plantation and Natural Forest Timber</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 8.2.3.1 – Contract or formal agreements with indigenous peoples or communities, made freely and with due consent of both parties before the beginning of forest operations. Receipts of payments made to the indigenous peoples or communities.</td>
</tr>
</tbody>
</table>
### Legal References:

MP\(^{37}\) 2.186-16/2001 - Regulates article 225 of the Federal Constitution and CDB - Convention on Biological Diversity regarding to access to genetic patrimony, to the protection and access to associated traditional knowledge, to the distribution of benefits and access to technology and technology transfer for conservation and biodiversity use [https://www.planalto.gov.br/ccivil_03/mpv/2186-16.htm](https://www.planalto.gov.br/ccivil_03/mpv/2186-16.htm)


### Criterion 8.3: Company complies with the laws and regulations on its employees’ and workers’ rights\(^{38}\).

#### Indicator 8.3.1 - Companies respect all clauses and international agreements such as ILO’s (International Labor Organization) regarding work conditions.

**Plantation and Natural Forest Timber**

**For all Brazilian states**

Verifier 8.3.1.1 – Absence of decisive evidences or registered cases of degrading work or analog to slavery.

#### Legal References:

Interministerial Ordinance 02/2011 - Registry of Employees which have submitted their

---

\(^{37}\)In Portuguese: *Medida Provisória* - MP, Executive Power regulation with law force of one year term, which must be approved by the National Congress in order to become Law.

\(^{38}\)Worker is the person who does services autonomously and sporadically to a person (legal or natural), being ought to concretize the execution of his/her task within agreed terms and deadlines, receiving a payment.
**Indicator 8.3.2** - Forest workers receive training and supervision of the correct implementation of the Forest Management Plan or the silvicultural system, and in the timber processing.

<table>
<thead>
<tr>
<th>Natural Forests Timber</th>
<th>The states of Legal Amazon</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Full Forest Sustainable Management Plan or of industrial scale</strong></td>
<td><strong>Verifier 8.3.2.1</strong> – Training and continuous capacity building program for workers on reduced impacts extraction techniques (cut, drag and transportation).</td>
</tr>
</tbody>
</table>

**Legal References:**

Art. 5 § 2 and item 4.4 of Annex II of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans

Page 155 of DOU

Page 156 of DOU

Page 157 of DOU

Page 158 of DOU
**Indicator 8.3.3** - The company presents legal labor contracts to all employees, with guaranteed and proven obligations and rights.

<table>
<thead>
<tr>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 8.3.3.1 – Absence or low number of labor cases registered in the labor court in regards to the lack of payment of social obligations.</td>
</tr>
<tr>
<td>Verifier 8.3.3.2</td>
</tr>
<tr>
<td>-----------------</td>
</tr>
<tr>
<td>Verifier 8.3.3.3</td>
</tr>
</tbody>
</table>

**Legal References:**


**Indicator 8.3.4** – Forest Sustainable Management Plan holder or the plantation company follows all health and safety at work applicable to laws and regulations in all forest management, plantations, processing and timber or timber products exportation phases.

**Planation and Natural Forest Timber**

**For all Brazilian states**

Verifier 8.3.4.1 - Internal Commission for Prevention of Accidents in Rural Work - CIPATR constituted and active.

Verifier 8.3.4.2 - Daily dialogues of Safety - DDS made with employees, workers, contractors and partners.

Verifier 8.3.4.3 - Individual Protection Equipment (EPIs) is available free of charge and in perfect state and function.

Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT) [https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm](https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm)

Verifier 8.3.4.4 - Workers, contractors and partners trained for the correct use of EPIs.
**Legal References:**

Regulating Norm (NR) #31/2011 and changes - Precepts to be observed in work's organization and ambience. Work's safety, health and environment.


Section 31.3.3. Line j) and l) of the Regulating Norm (NR) 31/2011 and changes - Precepts to be observed in work's organization and ambience. Work's safety, health and environment


Regulating Norm (NR) 31/2011 and changes - Precepts to be observed in work’s organization and ambience. Work’s safety, health and environment


Regulating Norm (NR) #31/2011 and changes - Precepts to be observed in work’s organization and ambience. Work’s safety, health and environment


<table>
<thead>
<tr>
<th>Indicator 8.3.5 – Evidence of freedom of association and affiliation to class representation unions by company's employees, workers, contractors and partners.</th>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
<td><strong>Verifier 8.3.5.1 – Absence or insignificant number of denounces or formal complaints at Labor Courts regarding the lack of freedom of association and affiliation.</strong></td>
</tr>
<tr>
<td>Criterion 8.4: Company complies with the laws and regulations of its employees’ and workers’ welfare</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>Indicator 8.4.1</strong> - Work conditions of all employees are healthy, hygienic and safe within the forest management Unit and the processing plants, observing regional differences. <strong>Plantation and Natural Forest Timber</strong></td>
<td></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
<td></td>
</tr>
<tr>
<td>Verifier 8.4.1.1 - Dormitories and dining room are safe, clean and comfortable for the employees. Bathrooms minimally with “fossa” system distant from water bodies</td>
<td></td>
</tr>
<tr>
<td>Verifier 8.4.1.2 – Portable water and well stored food.</td>
<td></td>
</tr>
<tr>
<td><em>Legal References:</em></td>
<td></td>
</tr>
<tr>
<td>Art. 200 Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT) <a href="http://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm">http://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm</a></td>
<td></td>
</tr>
<tr>
<td><strong>Indicator 8.4.2</strong> – Forest Sustainable Management Plan holder or the plantation companies instruct about the precautions and conditions to avoid labor accidents or occupational diseases. <strong>Plantation and Natural Forest Timber</strong></td>
<td></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
<td></td>
</tr>
<tr>
<td>Verifier 8.4.2.1 – Work shifts, individual safety and protection equipment and training are adopted.</td>
<td></td>
</tr>
<tr>
<td>Verifier 8.4.2.2 – Absence or insignificant number of denounces in Labor Courts regarding occupational health.</td>
<td></td>
</tr>
<tr>
<td>Obs: Same norms as previous verifier.</td>
<td></td>
</tr>
</tbody>
</table>
**Legal References:**

ILO Convention 184 - Safety and Health in Agriculture  

Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)  
[http://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm](http://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm)

Decree 7.602/2011 - National Policy for Safety and Health at Work (PNSST)  

Regulating Norm (NR) 31/2011 and changes - Precepts to be observed in work’s organization and ambience. Work’s safety, health and environment  

MTE Ordinance 86/2005 - Safety and Health at Work in Agriculture, Livestock, Silviculture, Forestry and Aquaculture.  

MTE Ordinance 142/2005 - Violations regarding the disobedience of NR 31/2011  

MTE Ordinance 2546/2011 - Changes NR 31/2011  

---

**PRINCIPLE 9: TAXES, FEES AND ROYALTIES**

**Criterion 9.1: The company fills in its tax returns in accordance with its effective professional activity.**

---

39 Royalty is the term used to designate the amount paid to the holder or owner of a land, natural resource, product, brand, product patent, production process, or original construction, for the rights of extracting, use, distribution or marketing the referred product or technology.
**Indicator 9.1.1** – Forest Sustainable Management Plan holder or the plantation company is registered and presents proof of regularity with Internal Revenue Service, Tributary state agencies and labor agencies.

**Plantation and Natural Forest Timber**

**For all Brazilian states**

Verifier 9.1.1.1 – The company is registered at the municipality where the forest management Unit is located and presents evidence of discharge (No Registry, Negative Certificate of Debts) for movable taxes (ISS).

Obs: There are more than 5,500 Brazilian municipalities, such as capitals, allow issuing of Debt Certificates regarding movable taxes through the internet. (ex. ISS).

Verifier 9.1.1.2 – The company presents proof of regularity regarding pension contributions (Social Security and National Institute of Social Insurance - INSS).

Obs: Only the company/employer or legal representative or partner can make this consultation, due to the need of a password.

Verifier 9.1.1.3 – The employer presents proof of regularity with the Severance Indemnity Fund - FGTS.

Verifier 9.1.1.4 – The company presents proof of the contribution to the Union annually regarding its economic activities.

**Legal References:**

Law #5.172/1966 - National Tributary System and institutes general norms of tributary law applicable to the Federal, State and municipal Governments. 
[https://www.planalto.gov.br/ccivil_03/leis/l5172.htm](https://www.planalto.gov.br/ccivil_03/leis/l5172.htm)

Decree-Law #406/1968 - General norms of financial law, applicable to taxes on operations related to the circulation of goods and services of any nature. 
[https://www.planalto.gov.br/ccivil_03/Decreto-Lei/Del0406.htm#art13](https://www.planalto.gov.br/ccivil_03/Decreto-Lei/Del0406.htm#art13)

### Indicator 9.1.2 – The company is in compliance with its tributary/financial obligations and norms.

<table>
<thead>
<tr>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 9.1.2.1 – Forest Sustainable Management Plan holder or the plantation company presents the registry and evidence of discharge (No Registry) with the Treasury Office of</td>
</tr>
</tbody>
</table>

- **Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)**
  - [https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm](https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm)

- **Decree 3.048/1999 and changes - Regulates Social Security**
  - [http://www.planalto.gov.br/ccivil_03/decreto/D3048.htm#art257](http://www.planalto.gov.br/ccivil_03/decreto/D3048.htm#art257)

- **Law #8.036/1990 - Severance Indemnity Fund (FGTS)**
  - [https://www.planalto.gov.br/ccivil_03/leis/L8036consol.htm#art32](https://www.planalto.gov.br/ccivil_03/leis/L8036consol.htm#art32)

- **Decree 99.684/1990 - FGTS regulating norms**
  - [https://www.planalto.gov.br/ccivil_03/decreto/D99684.htm](https://www.planalto.gov.br/ccivil_03/decreto/D99684.htm)

- **Law #9.012/1995 - Restrictions to access to credit for legal entities in debt with FGTS**
  - [https://www.planalto.gov.br/ccivil_03/leis/L9012.htm](https://www.planalto.gov.br/ccivil_03/leis/L9012.htm)

- **Supplementary Law #110/2001 - FGTS**
  - [http://www.planalto.gov.br/ccivil_03/leis/LCP/Lcp110.htm](http://www.planalto.gov.br/ccivil_03/leis/LCP/Lcp110.htm)

- **Consults the regularity of the employer at FGTS**
  - [https://www.sifge.caixa.gov.br/Cidadao/Crf/FgeCfSCriteriosPesquisa.asp](https://www.sifge.caixa.gov.br/Cidadao/Crf/FgeCfSCriteriosPesquisa.asp)

- **Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)**
  - [https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm](https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm)
the state where its headquarter and/or subsidiary is located when payer of the Tax on Circulation of Goods and Services (ICMS).

**NORTHERN REGION**

**SEFA, Pará**
Issuing of Negative Debt Certificate
[https://app.sefa.pa.gov.br/EmissaoCertidao/template.action](https://app.sefa.pa.gov.br/EmissaoCertidao/template.action)

Validation of the Certificate
[https://app.sefa.pa.gov.br/Autenticidade_certidoes/](https://app.sefa.pa.gov.br/Autenticidade_certidoes/)

**SEFAZ, Amapá**

**SEFAZ, Amazonas**
Issuing of Negative Debt Certificate
[http://online.sefaz.am.gov.br/certidaonegativa/certNcontribuinte.asp](http://online.sefaz.am.gov.br/certidaonegativa/certNcontribuinte.asp)

Validation of the Certificate
[http://online.sefaz.am.gov.br/CertidaoNegativa/vlCertidao.asp](http://online.sefaz.am.gov.br/CertidaoNegativa/vlCertidao.asp)

**SEFAZ, Roraima**
Issuing of Negative Debt Certificate

Validation of the Certificate

**SEFAZ, Acre**
Issuing of Negative Debt Certificate
[http://www.sefaz.ac.gov.br/wps/portal/sefaz/sefaz/principal/?ut/p/c5/vVHBToNAEP0jdtiFZffYKi3gQlkqFLgQ0KYBSmmiYZWvdxsPxoP1YOO8yyRv5r15GVQijVM9tYf6tR1P9RHIqKRv7Plym3q2ydkEgB9nm_uHtU2YJJovaAU_1AJ-2d6hHKxq272f_bmzf25OgpOvkWiUKHbQ9SkaomFyOIQtk6UtqYUjCe9qyaeu8-](http://www.sefaz.ac.gov.br/wps/portal/sefaz/sefaz/principal/?ut/p/c5/vVHBToNAEP0jdtiFZffYKi3gQlkqFLgQ0KYBSmmiYZWvdxsPxoP1YOO8yyRv5r15GVQijVM9tYf6tR1P9RHIqKRv7Plym3q2ydkEgB9nm_uHtU2YJJovaAU_1AJ-2d6hHKxq272f_bmzf25OgpOvkWiUKHbQ9SkaomFyOIQtk6UtqYUjCe9qyaeu8-)
Validation of the Certificate
http://www.sefaz.ac.gov.br/wps/portal/sefaz/sefaz/principal/!ut/p/c5/vZHbboJAElahRdeB5bDcokRTZkoC8tBbgg0iQFFTGrEefqu8aLpRe2FpjM3k_wz803-QUSeajP7bY-tcOh3qMCIUUYVuZQIqsrJI0x0Chhz_2ljgnDqt8YFfwSNvwxnaMCtCrprkc67aa4m2I_6WLKORtDZwerJgce-JAEXsjTz2tiZvTEZxHn9QVCS8kWzLGji_YRE-nJS56b9lC53Q-N8Cu_OfigV7nrD0grd-jf0QaV5veWdegQoDp2ssWMKaJC_IXO_WSRwFQFgQIOPVDVpfl_LKK9ICW-0ja9PL7IMsjExFjXVAsszwIMlaBijo59evYD3XNHdxytCXpC8eeSwo!/dl3/d3/L2dBISEvZ0FBIS9nQSEh/

SEFAZ, Tocantins
Issuing of Negative Debt Certificate
http://www.sefaz.to.gov.br/servicos_cnd.php

Validation of the Certificate
http://www.sefaz.to.gov.br/servicos_autenticidade.php

MIDWESTERN REGION

SEFAZ, Mato Grosso
Issuing of Negative Debt Certificate

Validation of the Certificate

SEFAZ, Mato Grosso do Sul
Issuing of Negative Debt Certificate
<table>
<thead>
<tr>
<th>Validation of the Certificate</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SEFAZ, Goiás</strong></td>
</tr>
<tr>
<td>Issuing of Negative Debt Certificate</td>
</tr>
<tr>
<td>Validation of the Certificate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SOUTHEAST REGION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SEF, Minas Gerais</strong></td>
</tr>
<tr>
<td>Issuing of Negative Debt Certificate</td>
</tr>
<tr>
<td><a href="https://www2.fazenda.mg.gov.br/sol/ctrl/SOL/CDT/SERVICO_829?ACAO=INICIAR">https://www2.fazenda.mg.gov.br/sol/ctrl/SOL/CDT/SERVICO_829?ACAO=INICIAR</a></td>
</tr>
<tr>
<td>Validation of the Certificate</td>
</tr>
<tr>
<td><a href="https://www2.fazenda.mg.gov.br/sol/ctrl/SOL/RETAGUAR/CERTIFICAR_DOCUMENTO?ACAO=VISUALIZAR">https://www2.fazenda.mg.gov.br/sol/ctrl/SOL/RETAGUAR/CERTIFICAR_DOCUMENTO?ACAO=VISUALIZAR</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TREASURY OFFICE, São Paulo</th>
</tr>
</thead>
<tbody>
<tr>
<td>Issuing of Negative Debt Certificate</td>
</tr>
<tr>
<td>Validation of the Certificate</td>
</tr>
<tr>
<td><a href="http://www.fazenda.sp.gov.br/">www.fazenda.sp.gov.br/</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SEFAZ, Rio de Janeiro</th>
</tr>
</thead>
<tbody>
<tr>
<td>Issuing of Negative Debt Certificate</td>
</tr>
</tbody>
</table>
Validation of the Certificate
http://www.fazenda.rj.gov.br/projetoSRS/

SEFAZ, Espírito Santo
Issuing of Negative Debt Certificate

Validation of the Certificate

SOUTHERN REGION

SEFA, Paraná
Issuing of Negative Debt Certificate

Validation of the Certificate

SEF, Santa Catarina
Issuing of Negative Debt Certificate

Validation of the Certificate

SEFAZ, Rio Grande do Sul
Issuing of Negative Debt Certificate
https://www.sefaz.rs.gov.br/sat/CER-PUB-SOL.aspx

Validation of the Certificate
https://www.sefaz.rs.gov.br/SAT/CER-CON.aspx

NORTHEAST REGION
**Indicator 9.1.3** – Forest Sustainable Management Plan holder or the plantation company keeps updated records of the function and account according to laws and regulations.

**Plantation and Natural Forest Timber**

**For all Brazilian states**

Verifier 9.1.3.1 - Revenues and expenses are registered in specific books and respective receipts follow the registrations and are conserved until the expiration of the tributary credit regarding the operations.

Verifier 9.1.3.2 - Mandatory books for commercial and tributary bookkeeping are audited/authenticated and approved by the finance authority.

Obs: Same norms of previous verifier.

**Legal References:**

Law #5.172/1966 - National Tributary System and institutes general norms of tributary law applicable to the Federal, State and municipal Governments.  
[https://www.planalto.gov.br/ccivil_03/leis/l5172.htm](https://www.planalto.gov.br/ccivil_03/leis/l5172.htm)
Decree-Law #406/1968 - General norms of financial law, applicable to taxes on operations related to the circulation of goods and services of any nature. 
[https://www.planalto.gov.br/ccivil_03/Decreto-Lei/Dei0406.htm#art13](https://www.planalto.gov.br/ccivil_03/Decreto-Lei/Dei0406.htm#art13)

[https://www.planalto.gov.br/ccivil_03/LEIS/LCP/Lcp116.htm](https://www.planalto.gov.br/ccivil_03/LEIS/LCP/Lcp116.htm)

<table>
<thead>
<tr>
<th>Criterion 9.2: Clear evidence of current paid taxes, fees and royalties in a timely manner shall be demonstrated by the company in accordance with the laws and regulations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Indicator 9.2.1</strong> - Forest Sustainable Management Plan holder or the plantation company maintains updated payments regarding the forest use under forest concessions.</td>
</tr>
<tr>
<td><strong>Plantation and Natural Forest Timber</strong></td>
</tr>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 9.2.1.1 – Negative certificate or similar document that serves as evidence for absence of debits with the Brazilian Forest Service, Ibama, Icmbio or state agency responsible for forest concessions.</td>
</tr>
<tr>
<td>Obs: The consultation on Federal Cadin’s records can be done by any agency or entity with access to Cadin. Given the confidential nature of the information, it is not available to the public by phone or internet.</td>
</tr>
</tbody>
</table>

**Legal References:**

Law #10.522/2002 - Informative Registry of Non-paid Federal Public Sector Credits (Cadin)
[http://www.planalto.gov.br/ccivil_03/Leis/2002/L10522compilado.htm](http://www.planalto.gov.br/ccivil_03/Leis/2002/L10522compilado.htm)

STN⁴⁰ Ordinance #685/2006 - Registration of debts of natural and legal persons at CADIN

More information about Cadin:

---

⁴⁰ National Treasury Secretary - STN.
**PRINCIPLE 10: SUBCONTRACTORS AND PARTNERS**

**Criterion 10.1: The company respects the contracts made with subcontractors and partners.**

**Indicator 10.1.1 - Forest Sustainable Management Plan holder or Tenant; the owner, tenant or squatter and the owner of the processing Unit (sawmill/mill) respect the contracts signed with subcontractors, contractors, partners and service providers.**

<table>
<thead>
<tr>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
</tbody>
</table>

Verifier 10.1.1.1 - Absence or insignificant number or labor complaints, fines or grave or continuous violations.

Verifier 10.1.1.2 - Absence of continuous denounces at Unions. Churches or other social and class representations.

Obs: Same norms of previous control.

**Legal References:**

- Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)  
  [https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm](https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm)

- Labor Justice Superior Council - CSJT  
  [http://www.csjt.jus.br/inicio](http://www.csjt.jus.br/inicio)

- Consultation of litigation at the Labor State Prosecutor - MPT  


- Consultation of litigation by the Regional Labor State Attorney - PRT  
  [http://portal.mpt.gov.br/wps/portal/portal_do_mpt/sobre_o_mpt/prts/ut/p/c5/04_SB8K8xL_LM9MSSzPy8xBz9CP0os3hH92BPJydDRwN_E3cjA88QU1N3L7OgMBdLQ6B8JE55n2ATCnSHOpoSo9sAB3A0IKA7HORX_G7H1w92HUgej_1-Hvm5qIoFuaGhEQaZAmOiooAbFrew!/?dl3/d3/L2dB1SEvZ0FB1S9nQSEh/](http://portal.mpt.gov.br/wps/portal/portal_do_mpt/sobre_o_mpt/prts/ut/p/c5/04_SB8K8xL_LM9MSSzPy8xBz9CP0os3hH92BPJydDRwN_E3cjA88QU1N3L7OgMBdLQ6B8JE55n2ATCnSHOpoSo9sAB3A0IKA7HORX_G7H1w92HUgej_1-Hvm5qIoFuaGhEQaZAmOiooAbFrew!/?dl3/d3/L2dB1SEvZ0FB1S9nQSEh/)
**Indicator 10.1.2** – Forest Sustainable Management Plan holder or Tenant; the owner, tenant or squatter and the owner of the processing Unit (sawmill/mill) guarantee dignified work conditions, occupational health and wellbeing to all its subcontractors, contractors, partners and service providers.

**Plantation and Natural Forest Timber**

**For all Brazilian states**

Verifier 10.1.2.1 – Absence or insignificant number of labor complaints, denounces, litigations or fines in the Labor Courts regarding to workers subcontractors, contractors, partners and service providers.

Verifier 10.1.2.2 - No one responsible for the custody chain is the list of persons booked for slave or degrading labor at the Ministry of Labor and Work (MTE).

**Legal References:**

Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)  
[https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm](https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm)

Labor Justice Superior Council - CSJT  
[http://www.csjt.jus.br/inicio](http://www.csjt.jus.br/inicio)

Consultation of litigation at the Labor State Prosecutor - MPT  


Consultation of litigation by the Regional Labor State Attorney - PRT  
[http://portal.mpt.gov.br/wps/portal/portal_do_mpt/sobre_o_mpt/prts/!ut/p/c5/04_SB8K8xLM9MSSzPy8xBz9CP0os3hH92BPJydDRwN_E3cjA88QU1N3L70gMBdLQ6B8JE55n2ATCnSHOpoSo9sAB3A0IKA7HORX_G7HIw92HUgej_1-](http://portal.mpt.gov.br/wps/portal/portal_do_mpt/sobre_o_mpt/prts/!ut/p/c5/04_SB8K8xLM9MSSzPy8xBz9CP0os3hH92BPJydDRwN_E3cjA88QU1N3L70gMBdLQ6B8JE55n2ATCnSHOpoSo9sAB3A0IKA7HORX_G7HIw92HUgej_1-)
### Indicator 10.1.3 – Forest Sustainable Management Plan holder or Tenant; the owner, tenant or squatter and the owner of the processing Unit (sawmill/mill) guarantee that its subcontractors, contractors, partners and service providers comply with all other land and environmental laws and regulations.

<table>
<thead>
<tr>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For all Brazilian states</strong></td>
</tr>
<tr>
<td>Verifier 10.1.3.1 - Specific clauses of the contract between contracting with subcontractors, contractors, partners and service providers regarding the compliance to land and environmental laws and regulations.</td>
</tr>
<tr>
<td>Verifier 10.1.3.2 - Norms and internal procedures established by the contracting parties to follow-up the services provided by subcontractors, contractors, partners and service providers.</td>
</tr>
</tbody>
</table>

### Legal References:

- Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
  [https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm](https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm)

- Law #12.651/2012 - New Forest Code
  [http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm](http://www.planalto.gov.br/ccivil_03/_Ato2011-2014/2012/Lei/L12651.htm)

- Law #11.284/2006 - Public Forests Management
  [http://www.planalto.gov.br/ccivil_03/_Ato2004-2006/2006/Lei/L11284.htm](http://www.planalto.gov.br/ccivil_03/_Ato2004-2006/2006/Lei/L11284.htm)
<table>
<thead>
<tr>
<th>Criterion 10.2: The company ensures that all subcontractors and partners are operating within the law</th>
</tr>
</thead>
</table>

- **Law #9.605/1996 - Environmental Crimes Law**  
  [https://www.planalto.gov.br/ccivil_03/leis/l9605.htm](https://www.planalto.gov.br/ccivil_03/leis/l9605.htm)


- **Page 154 of the Federal Official Gazette - DOU**  

- **Page 155 of DOU**  

- **Page 156 of DOU**  

- **Page 157 of DOU**  

- **Page 158 of DOU**  

- **Page 159 of DOU**  
<table>
<thead>
<tr>
<th>Indicator 10.2.1 – Transparent relation on the hiring process of the employee/worker for third parties in the Forest Management Unit and in the timber processing unit.</th>
<th>Plantation and Natural Forest Timber</th>
</tr>
</thead>
<tbody>
<tr>
<td>For all Brazilian states</td>
<td></td>
</tr>
<tr>
<td>Verifier 10.2.1.1 - Easy access and available information on rights and legal duties regarding activities carried out inside the Forest Management Unit and processing unit.</td>
<td></td>
</tr>
<tr>
<td><strong>Legal References:</strong></td>
<td></td>
</tr>
<tr>
<td>Art. 613 of the Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)</td>
<td><a href="https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm">https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm</a></td>
</tr>
<tr>
<td>Indicator 10.2.2 – In the Forest Management Unit there is no distinction of any nature or discrimination of hired people from traditional (indigenous people or not) and neighbouring rural communities.</td>
<td>Plantation and Natural Forest Timber</td>
</tr>
<tr>
<td>For all Brazilian states</td>
<td></td>
</tr>
<tr>
<td>Verifier 10.2.2.1 - Equal conditions of labor, training, feeding, transportation, hosting, occupational health and work safety to hire people from traditional (indigenous people or not) and neighbouring rural communities.</td>
<td></td>
</tr>
<tr>
<td><strong>Legal References:</strong></td>
<td></td>
</tr>
<tr>
<td>Decree-Law 5.452/1943 and changes - Consolidated Labor Laws (CLT)</td>
<td><a href="https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm">https://www.planalto.gov.br/ccivil_03/decreto-lei/del5452.htm</a></td>
</tr>
</tbody>
</table>
Law #6.001/1973 - Indigenous people statute
https://www.planalto.gov.br/ccivil_03/leis/l6001.htm

Decree #6.040/2007 - National Policy for the sustainable development of traditional peoples and communities

Law #9.029/1995 - Prohibits discriminatory practices, for hiring or legal labor relation permanence effects.
http://www.planalto.gov.br/ccivil_03/leis/l9029.htm

https://www.planalto.gov.br/ccivil_03/leis/l9985.htm

POLITICAL SYSTEM AND POWERS IN BRAZIL
Brazil is a federation consisting of 26 states, a Federal District and 5,625 municipalities. The states are endowed with executive and political autonomy guaranteed by the Constitution and have the power to enact their own Constitutions and laws.

The Federal Constitution guarantees the classic three branch system of government (executive, legislative and judiciary) following the control of systems and checks and balances. The executive and legislative branches are organized independently in all three levels of government, while the judiciary branch is organized only at the federal and state levels.

Brazil is a federal constitutional republic under democratic-representative regimen. At the federal level, the highest office of the executive power is exercised by the President, who is the head of state and government and is elected by direct elections for a term of four years and may be reelected for four consecutive years. The President is responsible for the appointment of ministers of state, which assist in the administration of the federal government. Each state also has a Governor elected by direct vote for the same term, as well as mayors of the municipalities.

The legislative houses are the main source of law in Brazil. The National Congress is based on the bicameral system consisting of the Chamber of Deputies and the Senate. The states and municipalities have only one parliamentary house. In the states it is called the Legislative Assembly and state representatives are elected every four years. At the municipal level, the councilors are elected to the Hall for the same period. All levels of the legislative branch (city, state or federal) can create laws, ordinances and regulations regarding the environment. However, the municipal regulations cannot contradict state and federal regulations, but may be more restrictive. In turn, the state regulations cannot contradict federal regulations but may be more restrictive.
JUDICIAL SYSTEM IN BRAZIL

The Judicial branch is organized into a structure divided into several agencies. Each of these agencies work in a hierarchical manner, and this hierarchy consists of instances or levels of jurisdiction. In order to organize and facilitate the work of the judicial branch, a division of matters or issues that are judged was established. The most relevant for this document are the following:

1) Civil: regarding conflicts that arise between people, companies, institutions, etc.;
2) Criminal: regarding different types of crime;
3) Labor: disputes involving workers and employers;
4) Federal: cases that are of interest to the federal government or directly related to the political and administrative organization of Brazil.

Regarding instances, the first is composed by the Judge of a county (division of the Brazilian territory encompassing several municipalities, for purposes of administration of justice). Each county has judges enabled to adjudicate criminal and civil cases, and they also have Labor and Federal judges. In many regions of the Brazilian Amazon, especially in the states of Para, Amazonas and Amapá, there aren't enough judges.

In the first instance, the judge examines and judges a case brought to the judicial branch. After the decision of the judge or a jury trial, if one of the parties in the proceedings does not agree with the result and asks that it be reconsidered, the lawsuit may be subject to a higher court, as long as the law provides for such possibility. This resource is called "appeal".

Second instance will reassess the matter and can change the decision made by the first judge. Second instance is formed by the Courts of Justice and the Federal Regional Courts and Labor Courts. Each one is composed of several judges who form a board and judge together. The argument is won by receiving the majority of votes. The judges of the Courts of Justice are called appellate judges, and the judges of the regional federal courts are called federal appellate judges.

At first, the court is divided for trial of causes in only two instances. But according to the principle of double jurisdiction there are also the so called Superior Courts, such as the Superior Labor Court and the Superior Court of Justice - to which it is possible to appeal, according to the subject matter of the dispute, seeking to preserve the application of federal laws and interest of the parties. Finally, there is the Supreme Court, which is entrusted with ensuring compliance with the Constitution of the Federative Republic of Brazil and was created to preserve and discuss public issues of a more collective relevance.

LAND PLANNING AND ILLEGAL LAND APPROPRIATION IN THE BRAZILIAN AMAZON

In the south, southeast and central-western Brazil there are few areas of public lands without a purpose (example of lands with purpose: parks, reserves, indigenous lands and quilombolas lands, etc.). Comparatively, the issue of private domain of land, ownership or rights of land use in these regions is more consolidated. On the other hand, in the Amazon that covers the entire northern region of the country. Brazilian government has no control over part of the public or even private lands. It is estimated that around 65-75% of the land is public.
Illegal appropriation of public lands is a known phenomenon in the Amazon, and is a reflection of a number of factors, including: i) decades of "procession of lands" government policies to large corporations or political representatives without proper knowledge of what was in the areas or proper monitoring of these lands, (ii) lack of adequate supervision of the government on the registries of real estate records and notes, which are often involved in fraud operations of documentation of land or of chain of ownership; iii) weaknesses in the discriminatory processes and other investigative actions of legitimacy of titles and land tenure, and iv) political and electoral interests, generally with support from staff of land control agencies, who encourage land occupations by squatters with promises of future grant of lots.

The actions of land regularization in the region were gradually disabled since 1985 and virtually paralyzed in 1990. This means that the assignment of property title to federal lands, including the definitive titles of up to 100 hectares, was extremely small and punctual in the last 20 years. State governments followed suit when they did not encourage donations of dubious and legally questionable lands, generating more social conflicts in the field. Land planning and agrarian reform policy constitute the weakest and most delicate part of the Action Plan for Preventing and Combating Deforestation in the Amazon (Plano de Ação para Prevenção e Combate ao Desmatamento na Amazônia) from the federal government. The slowness of the measures adopted have not diminished the land chaos and disputes over land that have historically generated intense social conflicts and hindered the advancement of forest management on private areas.

In recent years, increasing pressure from social movements and the environmental sector has led the federal government to resume the process of regularization on federal lands. But the update, for example, of the Georeferenced Registry System of Rural Property (Sistema de Cadastro de Imóveis Rurais Georreferenciado) moves slowly. There are no trained personnel to handle the information, nor the infrastructure to achieve the whole region. It is estimated that 20 to 30 years are required to complete the registration, if the work continues at this rate.

Sources

BRAZILIAN FORESTS AND FOREST MANAGEMENT
The estimated total area of forests in Brazil is 524 million hectares, corresponding to 61.5% of the total area of the country. The area of natural forests is around 517 million hectares, while 6.7 million hectares are planted forests, mainly with species of *Pinus* and *Eucalyptus*.
The public forests of Brazil represent 297 million hectares and are located in different biomes and regions of the country. Most of it (92%) is in the Amazon biome, followed by the Cerrado with 6%, according to the National Registry of Public Forests (Cadastro Nacional de Florestas Públicas).

Approximately 76% of registered Brazilian public forests are destined to fulfill specific purposes, such as community use (49%), protection of biodiversity (26%) and military (1%). Forests for community use are indigenous lands, protected areas belonging to the Sustainable Development Reserves (RDS - Reservas de Desenvolvimento Sustentável) and Extractive Reserves (RESEX - Reservas Extrativistas) categories, and the types of federal sustainable settlements such as the Sustainable Development Project (PDS - Projeto de Desenvolvimento Sustentável), the Forest Settlement Project (PAF - Projeto de Assentamento Florestal) and the Agro-extractive Project (PAE - Projeto Agroextrativista).

In 2011, the Brazilian Amazon had about 64 million hectares of public land parcels not yet set for a particular purpose, 35 million hectares under the management of the federal government and 29 million hectares under the management of state governments. Such parcels are the ones that suffered the most with the pressure of illegal land appropriation.

In 2006, Law 11.284 created the possibility of costly concessions of areas of federal or state forests for timber production on an industrial scale. The same law created the Brazilian Forest Service (Serviço Florestal Brasileiro) and decentralized forest management to the states. It's the states' responsibility to authorize forest management and deforestation, control the exploitation and transportation of forest products and monitor the managed areas. According to the new Forest Code, Law 12.651/2012, all exploitation of natural forests for commercial purposes must occur under a forest management regimen and have specific authorization from the competent environmental agency. Forest plantations do not need permission for planting and exploitation, but the properties where they are located must respect the limits of maintaining the legal reserve area (20-80% of the natural vegetation depending on the region of the country) and permanent preservation areas (border of rivers, springs, lakes, slopes over 45 degrees and hilltops).

Sources
Brazilian Forest Service (Serviço Florestal Brasileiro) - www.sfb.gov.br

TRANSPORT AND COMMERCIALIZATION SYSTEM OF FOREST PRODUCTS
“Establishing control over the flow of Amazon native timber from the forest to the consumer starts with the harvesting license. According to Brazilian law, timber can be harvested through forest management or through deforestation to clear areas for crops, cattle and other economic activities. The latter must be authorized by the state environmental agency or the Brazilian Institute for the Environment and Natural Resources (Ibama). To obtain a harvesting
license, the interested party must present documentation about the property and the workers responsible for the harvest, as well as maps and a forest inventory containing volume estimates and the name of the species to be harvested.

If the Sustainable Forest Management Plan is approved, the Logging Authorization (Autex), a document required for timber production and storage, is issued. The timber produced under this system must carry identification plates so that it is traceable from forest to industry. The Autex is issued for the person who submitted the management plan. In the next step, the environmental authority inputs a certain amount of credits – equivalent to the timber volume authorized for harvest – into the electronic controlling system. The system is available on the Internet, but to be able to access it both the timber supplier and the consumer must register with the Federal Technical Registry (CTF), which is managed by Ibama. As with a bank account, the user receives a code to be able to conduct transactions with the timber credits. For instance, a supplier that has sold logs, boards and other timber byproducts, transfers credits from his account to the buyer’s. The buyer then needs to register his acceptance of the offer and finally the system issues an online document that certifies the legal origin of the timber. The document must be carried during transportation and match the amount, timber species and destination of the product being transported.

There are currently two types of documents used for that kind of control. The Forest Origin Document (DOF) is issued nationally by Ibama and used in most states. Federal law allows the states to adopt their own models and the states of Mato Grosso and Pará chose to use a different platform: the Forest Products Transport and Trading System (SISFLORA). The state of Minas Gerais uses the Electronic Environmental Control Document (GCA-Eletrônica). Both these systems issue transport documents and must be interconnected with Ibama’s database. In order to efficiently control the movement of timber between states that use different control systems, it is necessary for all of them to be integrated. The same goes for the final stage of consumption. But it doesn’t happen yet and it permits frauds. The state of São Paulo, the largest consumer of Amazon wood, uses the DOF to monitor the product’s transportation on its roads, as well as storage by retailers and construction companies. Both DOF and Sisflora were designed for quick and efficient monitoring of legal timber throughout the supply chain. They represent an important evolution, but today, fraudsters specialize in making timber credits disappear or appear quickly between suppliers and sawmills, which makes monitoring more difficult. The electronic controlling systems need filters and a lot of technical improvements to avoid the giant range of problems, but that in turn depends on political will...

Source:
http://www.raa.org.br/sites/raa.fgv.br/files/file/Wood_-_From_the_forest_to_the_consumer-baixa.pdf

ENVIRONMENTAL CRIMES
Since 1998, Federal Law 9.605 started to classify the aggressions to the environment and its components (flora, fauna, natural resources, cultural heritage) that exceed the limits set by laws and regulations as environmental crimes. Or even any conduct that ignores environmental regulations legally established even if no damage was caused to the environment.
The omission or withholding of technical-scientific data during a process of environmental licensing or authorization can be considered as environmental crime. Or even the granting of authorization, permit or license by a public official, in violation of environmental laws.

Individuals or legal entities (companies) are now also being blamed in the civil and criminal levels, being obliged to answer in court. Until then, accountability was only administrative, falling to the executive branch via the competent environmental agency to impose fines and penalties. For companies, accountability takes place where the offense is committed by a decision of its legal or contractual representative, or its collegiate body, in the interest or benefit of its organization.

**RIGHTS OF INDIGENOUS PEOPLES**
The Federal Constitution, revised in 1998, gave a new treatment to indigenous peoples, recognizing their own and differentiated cultural identity (social organization, customs, languages, beliefs and traditions), ensuring the right to remain as indigenous and explains as original right (a right originated before the creation of the Brazilian state) the use of the lands they traditionally occupy. The State, therefore, has the responsibility to ensure the recognition and respect for these rights by society. The State changed from the protection of people to the protection of rights.

Logging on a commercial scale within indigenous lands has not been allowed in Brazil due to lack of specific regulations. There is resistance from the government and managers working with indigenous causes to open this possibility due to the terrible history of timber theft and disruption of indigenous peoples caused by the illegal logging industry. Illegal logging of mahogany in indigenous lands in the 80s and 90s is a prime example.

**General Bibliography**
2012 “New” Forest Code (Código Florestal, 2012) (and addenda)
FSC - Forest Stewardship Council: *Padrões para Certificação de Florestas de Terra Firme na Amazônia Brasileira*, 2000
Law 10.250/2003 – Transparency of public data about the environment

**State Departments of Environment:**
Acre [www.ac.gov.br](http://www.ac.gov.br)
Amazonas [www.ipaam.am.gov.br](http://www.ipaam.am.gov.br)
Amapá [www.imap.ap.gov.br](http://www.imap.ap.gov.br)
LAWS AND REGULATIONS RELATED TO THE PRINCIPLES

**Principle 1: Access, use rights and tenure**

2. Regulation *Instrução Normativa* RFB 1.252/2012 - Digital Bookkeeping Tax of the Contribution to PIS/Pasep, the Contribution to Social Security Financing (Cofins in Portuguese) and Social Security Contribution on Revenues (EFD-Contributions)
5. Article 17 of Law #6.938/1981 and its alterations – National Environmental Policy
6. Article 36 of Law #12.651 – New Brazilian Forest Code
7. Article 29 of Law #12.651/2012 – New Brazilian Forest Code
9. Law #9.393/1996 - Tax on Rural Property (ITR in Portuguese) and the payment of debt represented by Agricultural Debt
10. Forest Development Institute of Pará State – IDEFLOR
14. Forest Concessions
15. Law #11.824/2006 – Management of Public Forests
17. CONAMA’s resolution 378/2006 - Projects potentially causing national or regional environmental impact
18. Law #6.969/1981 – Acquisition, by Special Adverse Possession, of Rural Properties
19. National Agrarian Ombudsman
20. Pastoral Land Commission (Comissão Pastoral da Terra – CPT, in Portuguese)
22. Legislative Decree #143/2002 - Approves (confirms) the text of ILO Convention 169
24. Law #6.001/1973 - The Indian Statute
25. Decree 6.040/2007 – National Policy for Sustainable Development of Traditional Peoples and Communities
27. page 155 on the Federal Official Gazette
28. page 156 on the Federal Official Gazette
29. page 157 on the Federal Official Gazette
30. page 158 on the Federal Official Gazette
31. page 158 on the Federal Official Gazette
32. Law #6.969/1981 – Acquisition, by Special Adverse Possession, of Rural Properties
33. National Agrarian Ombudsman
34. Pastoral Land Commission (Comissão Pastoral da Terra – CPT, in Portuguese)
35. Convention #169 of the International Labour Organisation - ILO Indigenous and Tribal Peoples
36. Decree 143/2002 - Approves (confirms) the text of ILO Convention 169
38. Law #6.001/1973 - The Indian Statute
39. Decree 6.040/2007 – National Policy for Sustainable Development of Traditional Peoples and Communities
40. CONAMA’s resolution 378/2006
41. Convention #169 of the International Labour Organisation - ILO Indigenous and Tribal Peoples
42. Decree 143/2002 - Approves (confirms) the text of ILO Convention 169
43. Decree 5.051/2004 - Promulgates the Convention 169 of the International Labour Organisation - ILO on Indigenous and Tribal Peoples
44. Law #6.001/1973 - The Indian Statute
45. Decree 6.040/2007 – National Policy for Sustainable Development of Traditional Peoples and Communities
46. National Press (Imprensa Nacional)
47. Press Office of the State of Pará (Imprensa Oficial do Estado do Pará)
Principle 2: Harvesting Regulations

2. Regulation _Instrução Normativa_ MMA 04/2006 e MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Sustainable Forest Management Plans
3. Page 154 of the Country’s Official Gazette (DOU)
4. Page 155 of the DOU
5. Page 156 of the DOU
6. Page 157 of the DOU
7. Page 158 of the DOU
8. Page 159 of the DOU
9. Regulation _Instrução Normativa_ MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Sustainable Forest Management Plans
10. Page 155 of the DOU
11. Page 156 of the DOU
12. Page 157 of the DOU
13. Page 158 of the DOU
14. Page 159 of the DOU
15. Joint Resolution CEMACT/CFE #003/2008 – Licensing, monitoring and inspection of areas with forest management
16. Regulation _Instrução Normativa_ MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Sustainable Forest Management Plans (PMFS)
17. State Law #6.462 de 04/07/2002 - State Forestry Policy and Other Forms of Vegetation
18. Regulation _Instrução Normativa_ SDS 02/2008 – Sustainable Forest Management Plan for small scale
20. Corrigendum of Regulation _Instrução Normativa_ SDS 001/2010
21. Regulation _Instrução Normativa_ SDS 004/2010 - Post-exploratory Reports and Annual Operating Plan of Sustainable Forest Management Plan in small scale
22. Resolution CEMAAM 021/2011- Sustainable Forest Management Plan in small scale
23. Joint Resolution CEMACT/CFE at 003/2008 – Licensing, monitoring and inspection of areas with forest management
24. Regulation _Instrução Normativa_ MMA 08/2004 - Planting and conducting forest species, native or exotic
25. Regulation _Instrução Normativa_ MMA 06/2006 - Reforestation and consumption of forest raw material
27. Regulation *InstruçãoNormativa* SEMA-PA 22/2009- Annual update of register on CEPROF/SISFLORA
28. Ordinance SEMA-PA nº 30/2007 - Forest Management in the State of Mato Grosso
29. Resolution CONAMA 428/2010 – Environmental licensing for projects around protected areas
30. Regulation *Instrução Normativa* Icmbio 16/2011 - Guidelines for Sustainable Forest Management for Community Logging within Extractive Reserve (RESEX) and Federal Reserve of Sustainable Development (RDS) and National Forest (FLONA)
31. Regulation *InstruçãoNormativa* SDS 02/2008 – Small scale Sustainable Forest Management Plan
32. Regulation *InstruçãoNormativa* SDS 001/2010 - Alters Regulation Instrução Normativa SDS 002/2008
33. Corrigendum of Regulation *InstruçãoNormativa* SDS 001/2010
34. Regulation *InstruçãoNormativa* SDS 004/2010 - Post-exploratory Reports and Annual Operating Plan of Small Scale Sustainable Forest Management Plan
38. Regulation Instrução Normativa SDS 01/2009 - Plan for Sustainable Forest Management in State Conservation Units
39. Law #12.651/2012 – New Brazilian Forest Code
40. Law #12.651/2012 – New Brazilian Forest Code
41. Atlantic Forest Biome (Law 11428/2006)
42. Decree 6.660/2008 - Regulates Law #11.428/2006 related with protection of the Atlantic Forest Biome
43. Law #11.105/2005 - National Biosafety Policy
44. Decree 5.591/2005 - Regulates the articles of Law #11.105/2005
46. Law #11.460/2007 – Plantation of species genetically modified in protected areas
47. Decree 5.591/2005 - Regulates the articles of Law #11.105/2005
48. Article 31 of Law #12.651/2012 New Brazilian Forest Code
49. Resolution CONAMA 378/2006 - Projects potentially causing environmental impact nationally or regionally
50. Legislative Decree 54/1975 - Approves/ratifies CITES
51. Decree 76.623/1975 - Promulgates CITES
52. Decree 3.607/2000 - Implementation of the CITES
53. Ordinance Ibama 03/2004 - CITES
54. Ordinance Ibama 63/2005 - CITES
55. Ordinance Ibama 38/2006 - CITES
56. Regulation *Instrução Normativa* MMA 06/2008 - List of species of Brazilian flora threatened with extinction  
57. Article 31 of Law #12.651/2012 – New Brazilian Forest Code  
58. Law #11.284/2006 - Management of Public Forests  
60. Resolution CONAMA 428/2010 – Environmental licensing projects of the buffer zones in protected areas  
62. Resolution CONAMA 406/2009 - Reforestation and consumption of forest raw material  
65. Article 31 of Law #12.651/2012 New Brazilian Forest Code  
67. Page 155 of DOU  
68. Page 156 of DOU  
69. Page 157 of DOU  
70. Page 158 of DOU  
71. Page 159 of DOU  
72. Article 31 of Law #12.651/2012 New Brazilian Forest Code  
74. Page 155 of DOU  
75. Page 156 of DOU  
76. Page 157 of DOU  
77. Page 158 of DOU  
78. Page 159 of DOU  
80. Page 154 of the Federal Official Gazette - DOU  
81. Page 155 of DOU  
82. Page 156 of DOU  
83. Page 157 of DOU  
84. Page 158 of DOU  
85. Page 159 of DOU  
88. Decree 76.623/1975 - Promulgates the CITES
89. Legislative Decree 54/1975 - Ratifies the CITES
90. CITES - Appendices I, II and III, valid on April 3, 2012
91. Regulation Instrução Normativa MMA 06/2008 – List of species of Brazilian flora threatened with extinction
92. Decree AM 25.044/2005 - Prohibits the cutting of the Copaiba and Andiroba trees
94. Page 154 of DOU
95. Page 155 of DOU
96. Page 156 of DOU
97. Page 157 of DOU
98. Page 158 of DOU
99. Page 159 of DOU
100. Regulation Instrução Normativa MMA 5/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation of Sustainable Forest Management Plans

**Principle 3: Transportation of Logs and Wood Products**

3. Regulation Instrução Normativa SEMA-PA 11/2006 – Norms and procedures for the registry CEPROF and SISFLORA
4. Regulation Instrução Normativa SEMA-PA 22/2009 – Annual update of the registry CEPROF and SISFLORA
5. Ordinance SEMA-MT 30/2007 - Forest Management in the state of Mato Grosso
7. Ordinance IEF 133/2003 - Extinguishes the Authorization for forest extraction (APEF) for planted forests.
10. Art. 47 of the Decree 6.514/2008 - Offence to the environment and administrative sanctions.
12. Norm of the Maritime Authority (NORMAM) 02/Directorat of Ports and Coast (DPC) - Norms of the Maritime Authority for Watercrafts Employed in Inland Navigation.
Principle 4: Processing Regulations
1. Law 12.651/2012 – New Forest Code
7. Regulation Instrução Normativa SEMA-PA 22/2009 - Annual update of the registration at CEPROF/SISFLORA
8. Ordinance SEMA-MT 30/2007 - Forest Management in the state of Mato Grosso
10. Regulation Instrução Normativa RFB 1.052/2010 - Natural Persons Registry (CPF, in Portuguese)
11. Law 12.651/2012 – New Forest Code
13. page 156 of the DOU
17. Ordinance IEF 17/2009 – GCA electronic

Principle 5: Import and Export Regulations
5. State Decree 53.047/2008 - State Registry of Legal Entities who commercialize Brazilian native flora products and by-products (CADMADEIRA)
7. Regulation Instrução Normativa Ibama 77/2005 - Natural and planted, native and exotic forests products and by-products Export.
9. Regulation Instrução Normativa MMA 06/2008 – List of endangered and threatened Brazilian flora species
12. Regulation Instrução Normativa MMA 06/2008 – List of endangered and threatened Brazilian flora species
14. Legislative Decree 54/1975 - Approves (ratifies) the CITES
15. Decree 76.623/1975 - Promulgates the CITES
16. Decree 3.607/2000 - Implements the CITES
17. Ordinance Ibama 03/2004 - CITES
18. Ordinance Ibama 63/2005 - CITES
19. Ordinance Ibama 38/2006 - CITES

**Principle 6: Environment Regulations**

2. Resolution CONAMA 378/2006 – Defines the projects that potentially cause impacts on national or regional scale.
3. Law 9985/2000 – Establishes the National Nature Conservation Units System
6. Page 156 of the DOU
7. Page 157 of the DOU
8. Page 158 of the DOU
9. Page 159 of the DOU
10. Law 12.651/2012 - New Forest Code
12. Resolution CONAMA 428/2010 - Environmental licensing that impacts the conservation unit or its buffer zone.
15. Resolution CONAMA 237/1997 - Environmental Licensing Procedures
19. Page 156 of the DOU
20. Page 157 of the DOU
21. Page 158 of the DOU
22. Page 159 of the DOU
27. Page 155 of the DOU
28. Page 156 of the DOU
29. Page 157 of the DOU
30. Page 158 of the DOU
31. Page 159 of the DOU
32. Decree 94.076/1987 - National Program for Micro Watersheds
34. Law 9.605/1996 - Environmental Crimes Law
35. Ordinance MTE 86/2005 - Safety and Health at Work, on Agriculture, on Livestock, on Silviculture, Forestry and Aquaculture.
38. Page 155 of the DOU
39. Page 156 of the DOU
40. Page 157 of the DOU
41. Page 158 of the DOU
42. Page 159 of the DOU
43. Laws 7802/1989 and 9.974/2000 - Regarding the research, experimentation, production, packaging and labeling, transportation, storage, trade, advertising, use, import, export, final waste and packaging disposal, registration, classification, control, inspection and pesticides, their components and related surveillance.
45. National Policy of Solid Waste
46. Decree 7404/2010 - Regulates Law 12.305/2010

**Principle 7: Conservation Regulations**
1. Art. 31 of Law #12.651/2012 – New Forest Code
2. For the states of Legal - Full PMFS or of industrial scale
3. Art. 4º § 3 º and item 4.5 of Annex II of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans
4. Page 155 of DOU
5. Page 156 of DOU
6. Page 158 of DOU
7. Page 159 of DOU
10. Art. 2 subparagraph XIII, 26 and 27 of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans
11. Page 155 of DOU
12. Page 156 of DOU
13. Page 157 of DOU
14. Page 158 of DOU
15. Law #11.284/2006 - Public Forests Management
17. Regulating Norm (NR) MTE 31/2011 and changes - Precepts to be followed in relation to labor organization and ambiance. Labor safety, health and environment
18. Art. 4 § 3 and item 4.6 of Annex II of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans
19. Page 155 of DOU
20. Page 156 of DOU
21. Page 157 of DOU
22. Page 158 of DOU
23. Page 159 of DOU
25. Page 155 of DOU
26. Page 156 of DOU
27. Page 158 of DOU
28. Page 159 of DOU
29. Decree 2.661/1998 - Prevention norms concerning the use of fire in agro pastoral and forestall practices and creation of the National System of Forest Fires Prevention and Fighting Prevfogo/Ibama
30. Forest Fires Prevention and Fighting National Centre
31. Legal Amazon deforestation Prevention and control Action Plan
32. Deforestation and Fires Prevention and Control - Cerrado Action Plan
33. Subsidies for the elaboration of the Caatinga’s Deforestation Prevention and Control Action Plan
34. Deforestation Prevention and Control state Plans
35. Law #12.651/2012 – New Forest Code
36. Art. 5 § 3 subparagraph I and item 4.5 of Annex II of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans
37. Page 155 of DOU
38. Page 156 of DOU
39. Page 158 of DOU
40. Page 159 of DOU
41. Art. 5 § 3 subparagraph I and Item 4.3 of Annex II of the Regulation *Instrução Normativa* MMA 05/2006 - Technical procedures for the preparation, presentation, execution and technical evaluation for Forest Sustainable Management Plans
42. Page 155 of DOU
43. Page 156 of DOU
44. Page 158 of DOU
45. Page 159 of DOU
46. Law #9.795/1999 - Environmental Education National Policy

**Principle 8: Social Regulations**
1. ILO Convention 169 - Customary rights of indigenous and tribal peoples.
2. Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text
4. Law #6.001/1973 - Indigenous people statute
6. Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
8. Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text
10. Law #6.001/1973 - Indigenous people statute
12. Law #9.029/1995 - Prohibits discriminatory practices, for hiring or legal labor relation permanence effects.
13. Decree-Law 5.452/1943 and changes - Consolidated Labor Laws (CLT)
14. Labor Justice Superior Council - CSJT
15. Consultation of litigation at the Labor Ministry - MPT
16. Consultation of litigation by the Regional Labor State Attorney - PRT
17. Consultation of litigation at the Labor Superior Court - TST
18. Consultation of litigation at the Labor Regional Court - TRT
20. Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text
24. Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text
27. ILO Convention 169 - Customary rights of indigenous and tribal peoples.
28. Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text
32. Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention 169 text
34. Law #6.001/1973 - Indigenous people statute
35. Decree 6.040/2007 - National Policy for the sustainable development of traditional peoples and communities
36. CONAMA Resolution 428/2010 – Environmental licensing of enterprises around conservation units
37. CONAMA Resolution 378/2006 - Enterprises potentially creator of national or regional environmental impact


40. Page 155 of DOU

41. Page 156 of DOU

42. Page 157 of DOU

43. Page 158 of DOU

44. Page 159 of DOU

45. MP2.186-16/2001 - Regulates article 225 of the Federal Constitution and CDB - Convention on Biological Diversity regarding to access to genetic patrimony, to the protection and access to associated traditional knowledge, to the distribution of benefits and access to technology and technology transfer for conservation and biodiversity use

46. Decree 3.945/2001 - Regulates articles of MP2.186-16/2001

47. Decree 4.946/2003 - Revokes and adds precepts to Decree 3.945/2001


50. Interministerial Ordinance 02/2011 - Registry of Employees which have submitted their workers to conditions analog to slavery.


52. Page 155 of DOU

53. Page 156 of DOU

54. Page 157 of DOU

55. Page 158 of DOU

56. Page 159 of DOU

57. ILO Convention 184 - Safety and Health in Agriculture

58. Decree 7.602/2011 - National Policy for Safety and Health at Work (PNSST)

59. Regulating Norm (NR) 31/2011 and changes - Precepts to be observed in work's organization and ambience. Work's safety, health and environment.

60. MTE Ordinance 2.546/2011 - Changes NR 31/2011

61. MTE Ordinance 86/2005 - Safety and Health at Work in Agriculture, Livestock, Silviculture, Forestry and Aquaculture.

62. MTE Ordinance # 142/2005 - Violations regarding the disobedience of NR 31/2011

63. MTE Ordinance # 699/2001

64. Regulating Norm (NR) #31/2011 and changes - Precepts to be observed in work's organization and ambience. Work's safety, health and environment.

65. Section 31.3.3. Line j) and l) of the Regulating Norm (NR) 31/2011 and changes - Precepts to be observed in work's organization and ambience. Work's safety, health and environment

66. Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
67. Regulating Norm (NR) 31/2011 and changes - Precepts to be observed in work’s organization and ambience. Work’s safety, health and environment
68. Regulating Norm (NR) #31/2011 and changes - Precepts to be observed in work’s organization and ambience. Work’s safety, health and environment
69. International labor ILO conventions 87 and 98 regarding union and collective negotiation freedom.
70. Art. 200 Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
71. Regulating Norm (NR) 31/2011 and changes - Precepts to be observed in work’s organization and ambience. Work’s safety, health and environment
72. ILO Convention 184 - Safety and Health in Agriculture
73. Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
74. Decree 7.602/2011 - National Policy for Safety and Health at Work (PNSST)
75. Regulating Norm (NR) 31/2011 and changes - Precepts to be observed in work’s organization and ambience. Work’s safety, health and environment
76. MTE Ordinance 86/2005 - Safety and Health at Work in Agriculture, Livestock, Silviculture, Forestry and Aquaculture.
77. MTE Ordinance 142/2005 - Violations regarding the disobedience of NR 31/2011
78. MTE Ordinance 2546/2011 - Changes NR 31/2011

**Principle 9: Taxes, Fees and Royalties**
1. Law #5.172/1966 - National Tributary System and institutes general norms of tributary law applicable to the Federal, State and municipal Governments.
2. Decree-Law #406/1968 - General norms of financial law, applicable to taxes on operations related to the circulation of goods and services of any nature.
4. Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
5. Decree 3.048/1999 and changes - Regulates Social Security
7. Decree 99.684/1990 - FGTS regulating norms
8. Law #9.012/1995 - Restrictions to access to credit for legal entities in debt with FGTS
9. Supplementary Law #110/2001 - FGTS
10. Consults the regularity of the employer at FGTS
11. Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
12. Law #5.172/1966 - National Tributary System and institutes general norms of tributary law applicable to the Federal, State and municipal Governments.
13. Decree-Law #406/1968 - General norms of financial law, applicable to taxes on operations related to the circulation of goods and services of any nature.
15. Law #10.522/2002 - Informative Registry of Non-paid Federal Public Sector Credits (Cadin)
16. STN Ordinance #685/2006 - Registration of debts of natural and legal persons at CADIN

**Principle 10: Subcontractors and Partners**
1. Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
2. Labor Justice Superior Council - CSJT
3. Consultation of litigation at the Labor State Prosecutor - MPT
4. Consultation of litigation by the Regional Labor State Attorney - PRT
5. Consultation of litigation at the Labor Superior Court - TST
6. Consultation of litigation at the Labor Regional Court - TRT
7. Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
8. Labor Justice Superior Council - CSJT
9. Consultation of litigation at the Labor State Prosecutor - MPT
10. Consultation of litigation by the Regional Labor State Attorney - PRT
11. Consultation of litigation at the Labor Superior Court - TST
12. Consultation of litigation at the Labor Regional Court - TRT
13. Decree-Law #5.452/1943 and changes - Consolidated Labor Laws (CLT)
14. Law #12.651/2012 - New Forest Code
15. Law #11.284/2006 - Public Forests Management
16. Law #9.605/1996 - Environmental Crimes Law
19. Page 155 of DOU
20. Page 156 of DOU
21. Page 157 of DOU
22. Page 158 of DOU
23. Page 159 of DOU
25. Decree-Law 5.452/1943 and changes - Consolidated Labor Laws (CLT)
27. Legislative Decree 143/2002 - Approves (ratifies) the ILO Convention #169 text
29. Law #6.001/1973 - Indigenous people statute
30. Decree #6.040/2007 - National Policy for the sustainable development of traditional peoples and communities
31. Law #9.029/1995 - Prohibits discriminatory practices, for hiring or legal labor relation permanence effects.