

Annex III: Document Checklist

KEY: [Hyperlinks](#) – Specified risk all districts – Specified risk for natural forest, low risk for plantations

Legal Right to Harvest

Land tenure and management rights

- CCIR (Certificate of Registration of Rural Real Estate – (Certificado de Cadastro do Imóvel Rural)
- Proof of Registration of the Territorial Institute – Land Institute ITR
- Authorization of Temporary Occupation provided by INCRA
- Certificate of Deed of Entire Content of the Rural Real estate (Certidão de Matrícula de Inteiro Teor do Imóvel Rural)
- CNDIR (Certidão Negativa de Débitos do Imóvel Rural)
- [CNPJ card](#)
- Operation License
- Operation Permit

Concession licenses

- Leasing, partnership, or rural loan for use contract registered or with a notary's acknowledgment
- Actual Right of Use Concession Contract – CCDRU (Extrativist Reserve and Sustainable Development Reserve)
- Use Concession Contract (National Forest)
- Registration in the CTF (Federal Technical Register)

Management and harvesting planning

- Query the status of the CAR
- Only for natural forests:
 - APAT – Prior Authorization for the Analysis of the PMFS
 - PMFS – Sustainable Forest Management Plan
 - Plantations are not required to have a management plan.

Harvesting permits

- AUTEX – Authorization for Exploitation

Taxes and Fees

Payment of harvesting royalties and fees

- Proof of payment of the rates regarding the analysis of the management plan by the responsible environmental body
- In case of a public forest concession* – Proof of payment of the GRU (Union Collection Voucher)
- Joint Certificate of Debts Related to Federal Taxes and to the Current Debt Before the Union

Value added taxes and other sales taxes

- Negative Debit Certificate of IBAMA
- Joint Certificate of Debts Related to Federal Taxes and to the Current Debt Before the Union
- Product Fiscal Bill of Sale;

Income and Profit Taxes

- Joint Certificate of Debts Related to Federal Taxes and to the Outstanding Debt Before the Union

Timber Harvesting Activities

Timber Harvesting Regulations

For natural forests:

- Previous Authorization for the Technical Analysis of the Sustainable Forest Management Plan
- PMFS – Sustainable Forest Management Plan (Plano de Manejo Florestal Sustentável)
- POA – Annual Operational Plan (Plano Operacional Anual)
- Forest Maintenance Responsibility Statement (Termo de Responsabilidade de Manutenção da Floresta)
- Activities Report
- AUTEX – Forest Exploitation Authorization (Autorização de Exploração Florestal)

Protected sites and species

- Environmental license for wood cut in APPs (Permanent Preservation Areas)

BRAZIL FORESTRY RISK PROFILE

- AUTEX – Forest Exploitation Authorization
- Agreement of Environmental Bodies for the management of areas near the Conservation Units

Environmental requirements

- Operating Permit, upon conditions
- CTF – [Federal Technical Register](#)
- Sustainable Forest Management Plan

Health and safety

- PPRA – Program for the Prevention of Environmental Risks
- PCMSO – Program for the Medical Control of Occupational Health
- Minutes of the CIPA/CIPATR
- Labor Ministry Inspection Book
- IPE (Individual Protection Equipment) Delivery Voucher
- ASO – Occupational Health Certificate
- SSO Training Proof (for operators of chainsaws, machine operators and application of herbicides, etc.)

Legal employment

- CAGED Statement – General Register of Employees and Unemployed
- Collective Agreement recorded in MTE
- CNDT – Negative Certificate of Labor Law Debit
- Negative Certificate of Labor Lawsuits
- CRF – FGTS Regularity Certificate (Time of Service Guarantee Fund)
- CND – Negative Certificate of Debits Before the Federal Revenue Service – INSS (National Social Security Institute)
- Salary Receipt or Proof of Deposit in Checking Account
- CTPS – Work and Social Security Booklet

Conversion

- Deforesting Authorization or Vegetation Suppression Authorization

Third Party Rights

Customary rights

- In cases of forest management in areas near Indian Reserves, Environmental License issued by IBAMA and endorsed by the legally competent agencies (FUNAI, FCP, IPHAN)

Free, prior and informed consent

N/A

Indigenous people rights

- In cases of managed forestry in areas nearby Indian Reserves, Environmental License issued by IBAMA and endorsed by the legally competent agencies (FUNAI, FCP, IPHAN) (I/X)

Trade and Transport

Classification of species, quantities, qualities

- Bills of Sale (IV/ V)
- DOF (Document of Forestry Origin)
- [Regularity Certificate](#)

Trade and transport

- CNPJ card
- Bill of sale (IV/ V)
- DOF/GF
- Regularity Certificate IBAMA

Offshore trading and transfer pricing

- Invoice
- Exportation DOF
- Exportation authorization for CITES species

Customs Regulations

- DOF / Forestry Guide /Exportation DOF (in the Brazilian territory)
- Exportation authorization by IBAMA
- Enrollment at SISCOMEX (Integrated Foreign Trade System)

BRAZIL FORESTRY RISK PROFILE

- Invoice
- Phytosanitarian Origin Certificate – CFO and the Consolidated Phytosanitarian Origin Certificate – CFOC.
- EXPORTATION SHIPPING DECLARATION - (Must include SISCOMEX NUMBER). Issued by local customs office.
- Sales Agreement (optional)
- Packing list
- Bill of Lading (Bill of Lading/ CRT/ AWB/ TIF)

CITES

- CITES License or Certificate issued by IBAMA

Due Diligence Requirements

Legislation Requiring due diligence / due care procedures

N/A