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Country Report
BRAZIL

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Prepared by Ivan Tomaselli

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%	Percentage
MM	Million
M^3	Cubic meter
Nº	Number
USD	American Dollar Currency
Km^2	Square Kilometer

List of Acronyms

ABIMCI	Brazilian Association for Mechanically Processed Timber Industry (Associação Brasileira das Indústrias de Madeira Processada)
ART.	Article
ASV	Suppression Vegetation Authorization (Autorização de Supressão Vegetal)
ANVISA	National Health Surveillance Agency (Agência Nacional de Vigilância Sanitária)
AUMTF	Authorization for Use of Forest Raw Materials (Autorização para Utilização de Matéria- Prima Florestal)
AUTEF	Forest Harvesting Authorization (Autorização para Exploração Florestal)
AUTEX	Forest Harvesting Authorization (Autorização para Exploração)
AWB	Airway Bill
BACEN	Central Bank of Brazil (Banco Central do Brasil)
CAR	Rural Environmental Registry (Cadastro Ambiental Rural)
CCS	Chain of Custody System (Sistema de Cadeia de Custódia)
CE	European Conformity (Conformité Européenne)
CERFLOR	Brazilian Forest Certification Program (Programa de Certificação Florestal Brasileira)
CFO	Phytosanitary Certificate of Origin (Certificado de Origem Fitosanitária)
CFOC	Consolidated Phytosanitary Origin Certificate
CIPEM	Center of the Producing and Exporting Industries of the State of Matogrosso (Centro das Indústrias Produtoras e Exportadoras de Madeira do Estado de Matogrosso)
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora

CoC	Chain of Custody System
CONAMA	National Environment Council (Conselho Nacional do Meio Ambiente)
CRT Rodoviário)	Road Transportation Knowledge (Conhecimento de Transporte
CTF	Federal Technical Registry (Cadastro Técnico Federal)
CTPS Social)	Work and Social Security Portfolio (Carteira de Trabalho e Previdência
DANFE	Auxiliary Document of the Electronic Invoice (Documento Auxiliar da Nota Fiscal Eletrônica)
DDE	Declaration of Export Dispatch (Declaração de Despacho de Exportação)
DETEX	Selective Scan Detection System (Sistema de Detecção de Exploração Seletiva)
DI	Import Declaration (Declaração de Importação)
DOF	Document of Forest Origin (Documento de Origem Florestal)
EIA	Environmental Impact Assessment (Estudo de Impacto Ambiental)
EU	European Union
EUTR	European Union Timber Regulation
FLEGT	Forest Law Enforcement, Governance and Trade
FLONAs	National Forests (Florestas Nacionais)
FSC	Forest Stewardship Council
FUNAI	National Indian Foundation (Fundação Nacional do Índio)
GF	Forest Guide (Guia Florestal)
GOJ	Government of Japan
IBÁ	Brazilian Tree Industry (Indústria Brasileira de Árvores)
IBAMA	Brazilian Institute of the Environment and Renewable Natural Resources (Instituto Brasileiro de Meio Ambiente e Recursos Naturais Renováveis)
IBGE	Brazilian Institute of Geography and Statistics (Instituto Brasileiro de Geografia e Estatísticas)
IGES	Institute for Global Environmental Strategies
ICMBio	Institute Chico Mendes of Conservation and Biodiversity (Insituto Chico Mendes de Conservação e Biodiversidade)
IN	Normative Instruction (Instrução Normativa)
INCRA	National Institute of Colonization and Land Reform (Instituto Nacional da Colonização e Reforma Agrária)
INMETRO	National Institute of Metrology, Quality and Technology (Instituto Nacional de Metrologia, Qualidade e Tecnologia)
INSS	National Social Security Institute (Insituto Nacional de Seguridade Social)
ITR	Rural Territorial Property Tax

ITTO	International Tropical Timber Organization
JFA	Japan Forest Agency
LIDAR	Light Detection and Ranging
LR	Legal Reserve
LO	Operational License (Licença Operacional)
MDIC	Ministry of Development, Industry and Foreign Trade
MERCOSUL	Southern Common Market (Mercado Comum do Sul)
MTE	Ministry of Labour and Employment (Ministério do Trabalho)
MMA	Ministry of the Environment (Ministério do Meio Ambiente)
NCM	Common Nomenclature of Mercosul (Nomenclatura Comum do Mercosul)
PAOF	Annual Forest Grant Plan (Plano Annual de Outorga Florestal)
PEFC	Program for the Endorsement of Forest Certification Schemes
POA	Annual Operational Plan (Plano Operacional Annual)
PPA	Permanent Preservation Areas (Áreas de Preservação Permanente)
PPCDA	Plan of Action for the Prevention and Control of Deforestation in the Amazon
RADAR	Registration and Tracking of the Performance
REI	Registration of Exporters and Importers
RFB	Brazilian Federal Revenue (Receita Federal do Brasil)
SECEX	Secretariat of Foreign Trade
SEMA	State Secretary for the Environment (Secretaria de Estado do Meio Ambiente)
SFB	Brazilian Forest Service (Serviço Florestal Brasileiro)
SFMP	Sustainable Forest Management Plans
SNUC	National System of Conservation Units (Sistema Nacional de Unidades de Conservação)
SISCOMEX	Integrated Foreign Trade System (Sistema Integrado de Comércio Exterior)
SISFLORA	System of Forest Products Commercialization and Transport (Sistema de Comercialização e Transporte de Produtos Florestais)
SINAFLOR	National System of Control of the Origin of Forest Products (Sistema Nacional de Controle de Origem de Produtos Florestais)
SINIEF	National System of Economic Information (Sistema Nacional de Informações Econômica)
SISNAMA	National Environment System (Sistema Nacional do Meio Ambiente)
STCP	STCP Engenharia de Projetos Ltda
TIF	Railway Transport

TIMOs	Timberland Investment Management Organizations
TOR	Terms of Reference
UC	Conservation Units (Unidades de Conservação)
UK	United Kingdom
USA	United States of America

1. INTRODUCTION

The Government of Japan (GOJ) enacted the “Act on Promotion of the Use of Legally-Harvested Wood and Wood Products (Clean Wood Act)”, in May 2017. The Objective of the Clean Wood Act is to promote the use and distribution of wood and wood products made from trees harvested in compliance with the laws and regulations of Japan and the countries of origin.

In order to comply with the Clean Wood Act and to facilitate the access of wood-related business entities to relevant data and information to check legality of wood products they are handling, JFA created a “Clean Wood Navi” website. Thus, JFA is collecting data and information on wood product distribution and relevant legislations in two target countries in Latin America (Brazil and Ecuador) to add contents to the webpage to support the efforts related to the Clean Wood Act implementation.

The International Tropical Timber Organization (ITTO) was requested to support this effort with assistance from the Institute for Global Environmental Strategies (IGES). In order to collect the relevant information on Brazil and Ecuador, ITTO prepared a Terms of Reference (TOR), followed by a suggested structured reporting template. Based on the TOR, the hired Consultant was requested to prepare a report, covering information on legislation (harvesting, transportation, distribution and trade of wood and wood products), on issues relevant to legality of wood and wood products, current situation of wood production and trade, forest certification and other related aspects.

Furthermore, aside from collecting above-mentioned data/information, the report also includes interviews with representatives of government institutions, academic/research institutions, wood industry, environmental NGOs and other relevant organizations to support the collected information. Moreover, documents such as copies of certificates and permits which support the legal origin of wood and wood products in the countries were collected.

The work was supervised by IGES, represented by Mr. Taiji Fujisaki, who has revised the ealier drafts of the report. This document is the Final Report for Brazil prepared by the Consultant, Dr. Ivan Tomaselli, with the support of Dr. Sofia Hirakuri.

2. OVERVIEW OF THE FORESTRY SECTOR

2.1. Forest Resources of the Country

2.1.1. Vegetation Types of Forests

Brazil has a total of 485.8 million hectares of natural forests and 7.84 million hectares of planted forests. The natural forests in Brazil is divided into 6 biomes: Amazon (Amazônia), "Caatinga", Savannah (Cerrado), Atlantic Forest (Mata Atlântica), "Pampa" and Wetland (Pantanal). The biomes of Amazônia, Caatinga and Cerrado are responsible for 93% of the total forest covered area. Table 1 presents the biomes and their corresponding area in hectares and Figure 1 presents a map of the distribution of biomes in Brazil.

Table 1 – Forest area by biome (2015)

Forest Area biome (2015)		
Biome	**Area (ha)**	**%**
Amazônia	342.027.340	70.4
Caatinga	40.582.671	8.3
Cerrado	69.235.988	14.3
Mata Atlântica	21.270.466	4.5
Pampa	3.210.486	0.7
Pantanal	8.975.022	1.8
Total	485.801.973	100

Source: SFB – SNIF (2017), compiled by STCP

In Brazil, natural forests are most predominant in northern region such as Acre, Rondônia, Pará, Amazônia, Mato Grosso, Acre and Roraima states. On the other hand, planted forests are mostly found on southeast (São Paulo) and southern regions (Santa Catarina and Paraná). Figure 2 illustrates common traded wood species in the country.

Brazil also has a long history of forest plantations using exotic species, such as Eucalyptus and Pine trees for commercial purpose in several industries such as pulp, wood panels, sawnwood and charcoal. According to IBÁ (2017), Eucalyptus plantations (5.7 million ha) are located mainly in the states of Minas Gerais, São Paulo and Mato Grosso do Sul, while pine plantations (1.6 million ha) are mostly located in the states of Paraná and Santa Catarina. In recent years, the country has made efforts on investing in plantation of native timber species like Paricá (*Schizolobium amazonicum*) and rubber wood (*Hevea brasiliensis*), as result of years of scientific development in tree genetics. It is noteworthy that logs from forest plantation (native and exotic species) are not subject to export ban.

Figure 1 – Map of the distribution of Biomes in Brazil

Source: Prepared by STCP (2018)

Figure 2 – Commonly traded wood species in Brazil (native and planted)

NATIVE TIMBER SPECIES		PLANTED SPECIES	
Common species: • Maçaranduba (*Manikara huberi*); • Angelim (*Dinizia excelsa.*); • Cupiúba (*Goupia coubaril.*); • Jatobá (*Hymenea coubaril*); • Cedrinho (*Erisma uncinatum*); • Amapa (*Brosimum utile*); • Cumaru (*Dipteryx odorata.*); • Faveira (*Parkia spp.*); • Garapa (*Apuleia leiocarpa*).	**High – value species:** • Yellow Ipe (*Handroanthus serratifolia*); • Ipe Roxo (*Handroanthus impetiginosus*); • Red cedar (*Cedrela odorata*); - This species is listed at CITES Appendix III.	**Common commercial species:** • Pine tree (*Pine spp.*); • Eucalyptus (*Eucalyptus spp.*).	**Other species:** • Acacia (*Acacia spp.*); • Teak (*Tectona spp.*); • Parica (*Schizolobium amazonicum*); • Rubber wood (*Hevea brasiliensis*).

Source: Data bank STCP (2018)

2.1.2. Land Uses in Brazil

The land use in Brazil is divided into 12 categories, according to the Brazilian Institute of Geography and Statistics (IBGE – Instituto Brasileiro de Geografia e Estatísticas). Table 2 describes the land use classification in Brazil.

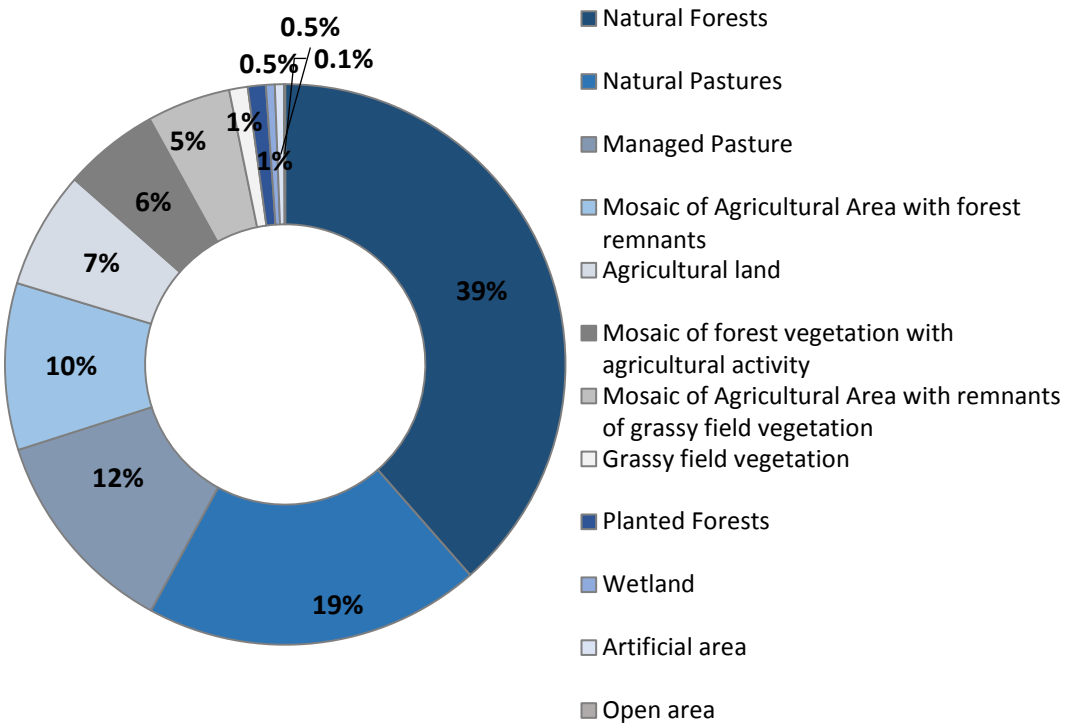
Table 2 – Land use classification in Brazil (2014)

Category	Description
Forest	Land covered by natural forests;
Planted Forests	Land covered by planted forest with exotic species;
Mosaic of forest vegetation with agricultural activity	Land covered by forests with temporary farming or pasture activity;
Grassy field vegetation	Land with vegetation formation such as savannahs, steppes, pioneering formations and ecological refuges;
Natural Pastures	Pastureland with natural vegetation with low anthropogenic interference for livestock grazing;
Managed Pasture	Area with perennial pasture for livestock grazing;
Agricultural land	Land used for production of food, fiber and agribusiness commodities;
Mosaic of Agricultural Area with forest remnants	Agricultural land with significant presence of natural forests;
Mosaic of Agricultural Area with remnants of grassy field vegetation	Land with agriculture, pasture and / or forestry and remnants of grassy vegetation may occur, to a lesser extent, tree plant formations;
Wetland	Land classified as puddles, swamps, wetlands;
Artificial area	Urban infrastructure;
Open area	This category includes rock outcrops, cliffs, reefs and erosion-eroded lands.

Source: IBGE (2016), compiled by STCP

IBGE land use categories are more detailed than the classification presented by the Brazilian Forest Service (SFB). For instance, natural land is divided into natural forests and natural pastures. Figure 3 illustrates the land use by IBGE's category for 2014.

Figure 3 – Land use in Brazil by category (2014)



Source: IBGE (2014), compiled by STCP

2.1.3. Tenure Categories in Brazil

As for land tenure rights, in Brazil, landownership can be either private or public. There are 7 categories of land tenure: settlements (*assentamentos*), indigenous land, vacant land, possession (posse), protected areas, private property and *quilombolas* land. The Brazilian Federal Constitution (1988) assures those land rights. Table 3 presents a summary of land occupation types in Brazil, according to ownership.

In 2012, with the goal to assist the Brazilian Public Administration in the process of environmental regularization of rural properties and possessions, the Brazilian Government established the Environmental Rural Registry (CAR[1]) by Law 12.651/12.

CAR system (see Fig. 21 in Annex) is a national electronic public registry system, mandatory for all rural properties in the country, with the purpose of integrating the environmental information of rural properties and possessions, making a database for control, monitoring, environmental and economic planning and combating deforestation. According to SFB, until June 2018, a total of 5.2 MM of rural properties were registered in the CAR system.

[1] CAR (Cadastro Ambiental Rural) was established by Law 12.651/12 (Art. 29).

Table 3 – Recognized categories of land occupation in Brazil

Types	Ownership	Description
Settlements (*Assentamentos*)	Public	Rural settlements created by the Brazilian Government for land reform. Land reform was established by Law 8.629/93.
Indigenous Land	Public	Land designated to Indigenous people and used for their livelihoods. Guaranteed by Art. 231 of the Brazilian Constitution. According to INCRA, Indigenous people have secure land rights of 13, 8% of Brazil's land area.
Vacant Land	Public	Public land not designated to any specific use.
Possession (*Posse*)	Public/Private	Land Possession refers to temporary use of land by a third part as referred in Chapter IV of Law 4.505/64. It can be either private or public: • In public lands: can be individual or collective. When collective it refers to traditional communities; and • In private lands: includes tenancy agreements such as lease, but also include informal occupation of private land.
Protected Areas	Public/Private	Land, either private or public, designated to achieve conservation and preservation of biodiversity. Levels of use differ according to different classes of protected areas as established by the Forest Code Law 12,561/12 and the National System of Conservation Units.
Private Property	Private	Land owned by legal entities (private) or individuals.
Quilombolas	Private	Land recognized as belonging to *quilombos* remnant peoples (descendants of Afro-Brazilian slaves) are regularized in Brazil. The Brazilian Constitution secures the ownership rights of *quilombolas* communities (which accounts for 0,2% of the Brazilian territory).

Source: Climate Policy Initiative (2017), compiled by STCP

As in for the risks involving land tenure in Brazil, according to IBGE latest agricultural census (2006), there were 300 million of hectares without proper land title, mainly in the northern region of the country, with an estimated 53% of land in the Legal Amazon with uncertain property rights. Because land rights regularization process in Brazil still incomplete, it results in a number of social and environmental problems, such as land dispute and inadequate use of natural resources.

2.1.4. Specific Land Tenure Rights for Protected Areas

The Brazilian Forest Code (Law 12.651/12), Article 12, establishes parameters for land use at property level. The most relevant are:

- Legal Reserves - LR
  A percentage of private land must be kept under native vegetation, called "Legal Reserves"[2] with function to protect vegetation and ensure the sustainable economic use of natural resources. These forested areas may be used for sustainable forest management. The percentage of legal reserve established by the Forest Code depends on the biome in which the property is located:
    - 80% of rural property located in forest areas in the Legal Amazon[3];
    - 35% of rural property located in "cerrado/savannah" area in the Legal Amazon;
    - 20% of rural property located in an area in other vegetation in the Legal Amazon;
    - 20% of rural property located in other regions of the country.
- Permanent Preservation Areas - PPA
  In addition to the Legal Reserves land owners have to consider the Permanent Preservation Areas[4]. These areas must be maintained by the owners, along river or water streams, and slopes, to protect soil and ensure water quality.

Moreover, Brazil's land tenure laws recognize Conservation Units (UC - Unidades de Conservação) as a land use as assured by Law 9.985/00 that establishes the National System of Conservation Units (SNUC), and can be either public or private.

The SNUC is divided into two groups with specific characteristics: i) Conservation units of integral protection; and ii) Conservation units of sustainable use. Table 4 presents the conservation units categories and its tenure types according to Law 9.985/00.

2.1.5. Certified Forest Area in Brazil

There are two active certification schemes in Brazil, the FSC (Forest Stewardship Council), and the CERFLOR (Brazilian Forest Certification Program), linked to the Pan European Forest Certification (PEFC).

CERFLOR, as the FSC, is a voluntary program developed together with representatives from different stakeholders at the national level, which has been operational since January 2003. The CERFLOR standards were largely based on intergovernmental processes, the Tarapoto Criteria and Indicators for sustainable management of Amazonian forests and, the ITTO Criteria and Indicators guidelines for sustainable forest management of natural tropical forests and tropical planted forests.

[2] Law 12.651/12, article 3 defines "legal reserve as an area located inside a property with the function of ensuring sustainable economic use of natural resources of the rural property to help in conservation and rehabilitation of ecological processes and to promote biodiversity conservation, as well as protection of wildlife fauna and native flora" (Item III);

[3] Legal Amazon was set by law (Federal Law No. 5.173/66) for economic planning of the region, which comprises all seven states of the North Region (Acre, Amapá, Amazonas, Pará, Rondônia, Roraima and Tocantins), and part of Mato Grosso in the Center-West Region and most of Maranhão in the Northeast Region, corresponding to 59% of Brazilian territory.

[4] Law 12.651/12, article 3 defines "Permanent Preservation Areas (APP) areas that are physically and ecologically fragile, such as riparian areas, springs, hilltops, mountain slopes, and mangroves, and are characterized by the important environmental services they provide at a landscape level, such as preservation of water resources, biodiversity, soil protection, geological stability, and facilitation of gene flows of fauna and native flora (item II)"

Table 4 – Conservation Units Categories according to Law 9.985/00 and its tenure types

Conservation Units Categories		Tenure Type	
Conservation Units	Ecological Station (Estação ecológica)	Public	-
	Biological Reserve (Reserva biológica)	Public	-
	National Parks (Parques Nacionais)	Public	-
	Natural Monument (Monumento Natural)	Public	Private
	Wildlife Refuge (Refúgio da vida Silvestre)	Public	Private
Sustainable Use	Environmental protection areas (Áreas de proteção ambiental)	Public	Private
	Areas of Relevant Ecological Interest (Áreas de Relevante Interesse Ecológico)	Public	Private
	National Forest (FLONA – Floresta Nacional)	Public	-
	Extractive Reserves (Reservas Extrativistas)	Public	-
	Wildlife Reserve (Reserva de Fauna)	Public	-
	Sustainable Development Reserves (Reserva de Desenvolvimento Sustentável)	Public	-
	Private Reserve of Natural Heritage (Reserva Particular do Patrimônio Privado)	-	Private

Source: Law 9.985/00 (Art. 7 –Art. 21), compiled by STCP (2018)

This Brazilian Certification Program was assessed and endorsed by PEFC in 2005. Also, it is important to highlight that in Brazil, the FSC and CERFLOR certification are often found as complementary to each other for the same area, almost overlapping certified areas. Table 5 shows the certified area by FSC and CERFLOR in the country.

Among them, 32% (1.2 million ha) of the FSC certification belongs to natural forests and 67% (4.8 million ha) of forest plantations.

In 2017, Brazil owned 8.1% of the total FSC certifications of forest management area worldwide, which represent 3.2% of the certified area in the world, and 3.4% of the total number of certified custody chains.

Table 5 – Forest Certified areas in Brazil (as of April 2018)

Certification Type	Certified Areas (ha)	Number of Certified Areas
FSC	6.601.911	1,126
CERFLOR	3.072.628*	48
TOTAL	9.674.539	1,174

Note*: 2017 data.

Source: SFB (2018), compiled by STCP

2.2. Forestry Sector and Wood Processing Sector

2.2.1. Product Types, Volume and Major Species

In Brazil, timber can be harvested either from planted forests or natural forests. The planted forest industry has a broad portfolio of products such as pulp, wood panels, sawnwood, wood chips, charcoal, fuelwood and roundwood. As for products from natural forest the main products are roundwood, sawnwood, plywood, charcoal and fuelwood.

- **Planted Forest Sector**

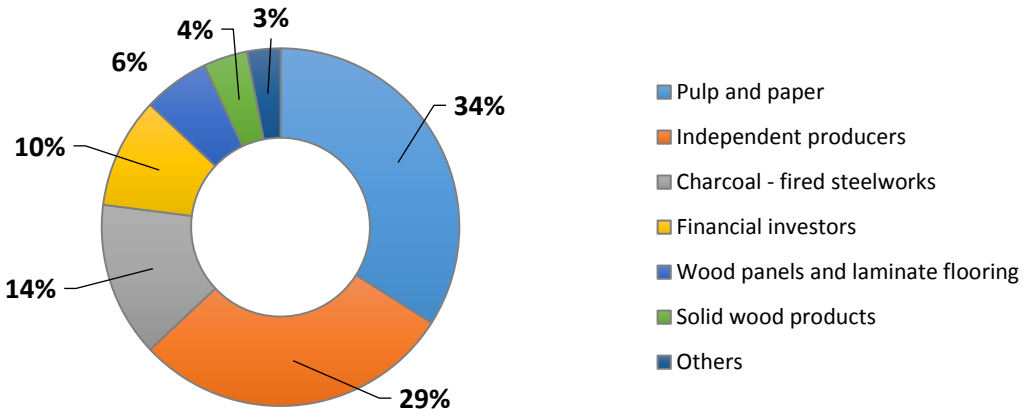
There are 7.84 MM hectares of planted forests in Brazil. In 2016, 36% of this area belonged to pulp and paper companies, followed by independent forest owners and small producers under forest out grower schemes/programs[5], corresponding to 29%. The steel and charcoal industry is placed third, representing 14% of the total planted forest area.

Financial investors, generally known as TIMOs (Timberland Investment Management Organizations), hold 10% of planted forest area in Brazil. These companies are attracted by the forest potential of the country, and began their operations 15 years ago. The segments of wood panels and laminate wood flooring with 6%, solid wood (4%) and others (3%) completed the graph with distribution of planted trees in Brazil.

Figure 4 presents the composition of planted forest area, by industry owner and by type of industry for 2016.

[5] Forest schemes/Programs: it is a strategic instrument that promotes the integration of rural producers into the production chain and provides them with economic, social and environmental advantages. In addition to the expansion of the forest base in the economic radius of transport to supply the raw material demand for the industries, those schemes/programs work as a complementary activity in the rural property, makes possible the use of degraded, unproductive, underutilized and unsuitable agricultural areas, as an additional income alternative to rural producers. According to ABRAF (2007), the most frequent forms of forest development can be exemplified by: donation of forest seedlings to rural producers; program of anticipated income to the producer for the forest plantation, among others.

Figure 4 – Composition of the area of planted forest, by owner and type (2016)

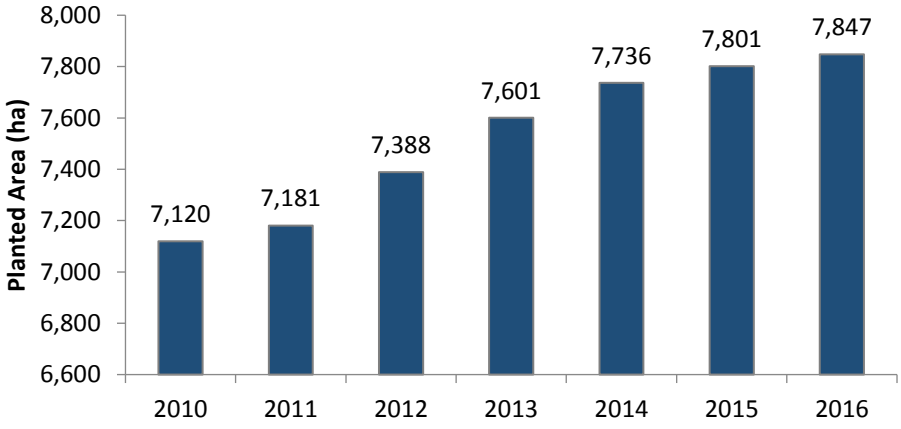


Source: IBÁ (2017), compiled by STCP (2018)

The major species used in forest plantations in Brazil are Eucalyptus and Pine sp. Eucalyptus plantations are the major source of raw material destined to industries, such as pulp, charcoal and wood panels. Pine sp. plantations are used mainly for pulp, wood panels and sawnwood. Plantation timber represents around 90% of the total industrial demand in Brazil (IBÁ, 2017).

According to IBÁ (2017), Eucalyptus plantations occupied 5.7 million hectares, while pine plantations 1.6 million hectares (See Fig. 5). The increase in planted area mainly occurred in the states of Minas Gerais, São Paulo and Mato Grosso do Sul.

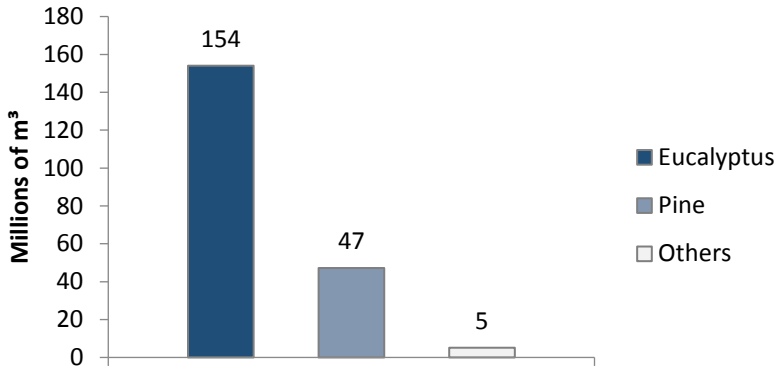
Figure 5 – Evolution of Planted Area in Brazil (hectares)



Source: IBÁ (2017), compiled by STCP (2018)

Additionally, there are other planted species such as Paricá (*Schizolobium amazonicum*), Acacia (*Acacia decurrens*) and Rubber trees[6] (*Hevea brasiliensis*), although not significant in volume. Figure 6 illustrates wood consumption from planted forest by species, for industrial use[7] in 2016.

Figure 6 – Wood consumption from planted forests by species for industrial use (2016)

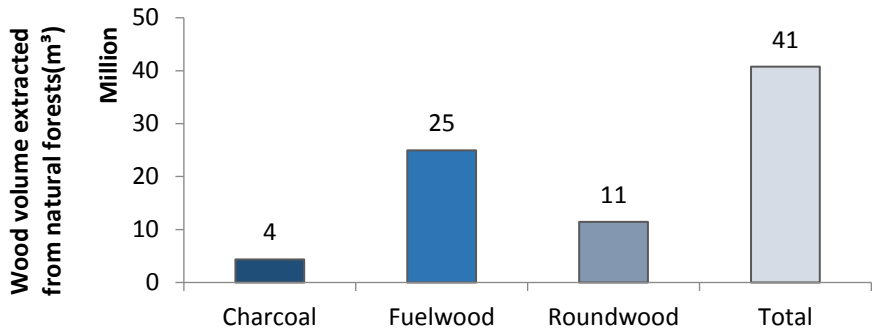


Source: IBÁ (2017), compiled by STCP

- **Natural Forests Sector**

The volume harvested from natural forests is currently much lower than that of planted forests. In 2016, approximately 4.4 million m³ of timber from natural forests were used for charcoal, 25.0 million m³ for fuelwood, 11.5 million m³ for industrial roundwood, totaling almost 41 million m³ harvested from natural forests, which is equivalent to 20% of production volume from planted forest. Figure 7 illustrates logging of natural forest by type of products for 2016.

Figure 7 – Natural forest harvesting by type of product (2016)



Source: SFB- SNIF (2017), compiled by STCP

[6] Mainly for resin.

[7] Industrial use include: Pulp and paper, charcoal (steelworks), wood panels and laminate wood flooring and solid wood products.

A large number of timber species are harvested in natural forests; the major species commercialized in volume in 2016 were *Manilkara huberi* (Maçaranduba), *Goupia glabra* (Cupiuba) and *Erisma uncinatum* (Cedrinho). Table 6 presents the twenty species most commercialized in volume in 2016.

Table 6 – Major native timber species commercialized in Brazil by volume (2016)

Timber Species	Common Name	Volume (m^3)
Manilkara huberi	Maçaranduba	343,780
Goupia glabra	Cupiuba	264,126
Erisma uncinatum	Cedrinho	203,756
Dinizia excelsa	Angelim - vermelho	176,807
Couratari guianensis	Maú	175,814
Euterpe edulis	Palmito	162,551
Araucaria angustifolia	Pinheiro do Paraná	150,439
Qualea paraenses	Mandioqueira	136,496
Qualea albiflora	Mandioqueira	127,496
Hymenolobium petraeum	Angelim	118,939
Hymenaea courbaril	Jatobá	110,652
Dipteryx odorata	Cumaru	108,100
Cariniana micranta	Castanha do Macaco	98,200
Apuleia molaris	Garapa	92,848
Astronium lecointei	Aroeira	91,560
Mezilaurus itauba	Itaúba	91,383
Tabebuia serratifolia	Ipê amarelo	88,805
Allantoma lineata	Seru	76,749
Apuleia leiocarpa	Grápia	72,771
Caryocar villosum	Pequiá	62,697

Source: IBAMA - Transportation Information Sheet (2016), compiled by STCP (2018)

2.2.2. Source of Logs

In Brazil, logs can legally originate from five sources, involving public and private forest lands. Table 7 presents types of log source in Brazil, its ownership and a brief description of each type.

Table 7 – Type of log source by ownership in Brazil

Log Source	Ownership	Brief Description
Private Sustainable Forest Management	Private	• Private forest management is the process by which a private land owner harvests its natural forest.
Forest Concession	Public	• Since 2006, the Brazilian Government has granted to businesses and communities the right to manage public natural forests to extract timber, non-timber products and provide tourism services. Concessionaires pay royalties to the government.

Log Source	Ownership	Brief Description
Land Use Change	Private/Public	• Land use change occurs in two ways: i) Authorization for the use of forest raw materials (AUMPF); and ii) suppression of native vegetation in undertakings of public or social interest, such as hydroelectric power plants, public roads, among others. In case of land use change for undertakings or activities (energy, oil and gas companies, public roads, etc.), that may cause environmental degradation are subject to environmental licensing.
Forest Plantation	Private	• Establishment of forest plantation or reforestation with native species or exotic species does not require prior permission except for some states, and shall be informed to the competent authority within one (1) year, for forest origin control purposes (Law 12.651/12, Art. 35).
Community Forest Management	Private/Public	• Established by Decree nº 6.874/09. The objective is to establish management activities and to promote sustainable management in forests that are used by family farmers, based on agrarian reform and by traditional peoples and communities.

Source: Several Sources, compiled by STCP (2018)

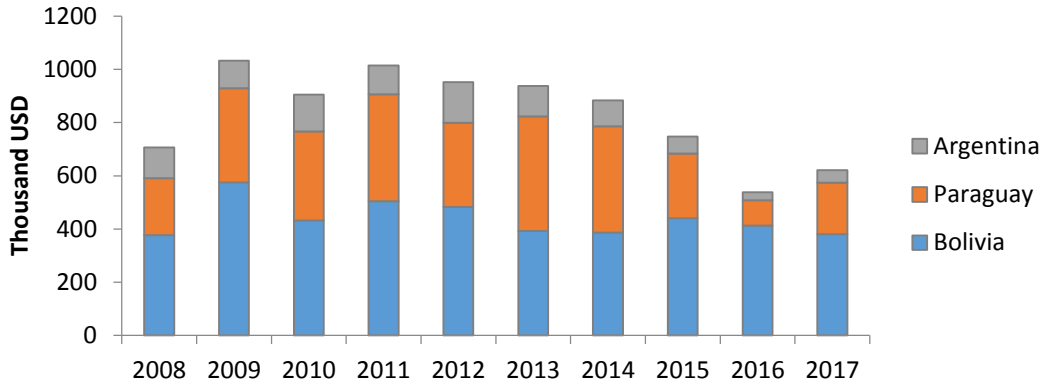
Note: *Traditional communities´ forest management accounts for less than 1% of forestry in Brazil, according to WWF Brazil.[8]

In the Amazon region, there are "small-scale forest operations with low intensity management" managed by community associations of diverse contexts, as residents of Extractive Reserves or National Forests (FLONAS), projects of Agrarian Reform settlements promoted by the Brazilian government; management practiced by Quilombolas or Indigenous people and also privately owned properties.

Brazil only imports a limited volume of logs. The majority of imported logs are originated from neighboring countries, such as Bolivia, Paraguay and Argentina, according to the TradeMap.

[8] Interview with Ricardo Russo, WWF Brazil, Forestry Program Coordinator, on September 27th, 2018, Brasilia.

Figure 8 – Brazilian imports of Roundwood in USD (2006 -2017)



Source: Trademap (2018), compiled by STCP (2018)

2.2.3. Key Supply Chain of Wood and Wood Products

The supply chain of wood and wood products in Brazil, considering natural forests, involves the harvesting in managed forest concession license[9] (public forests) and in managed forests located in private land. The harvesting permits are issued by Brazilian Institute of the Environment and of Renewable Natural Resources (IBAMA) or by the State environment authorities (SEMA).

Logs from natural forests may also originate from land use change permit (Autorização de Desmatamento). The Land Use Change Permit is authorized by the Secretariat for Environment (SEMA) of each State, and requires a survey of timber species that occur in the area. Once the permit is issued the land owner is allowed to commercialize the wood harvested from the area.

The supply chain of wood from planted forests begins with the formation of forest plantation[10], and involves the supply of seedlings, planting, fertilizing and other activities for the establishment and management of the forests. Depending on the State (Espiríto Santo, Minas Gerais, Rio Grande do Sul, among others) a plantation establishment permit is required. The State authority issues this permit.

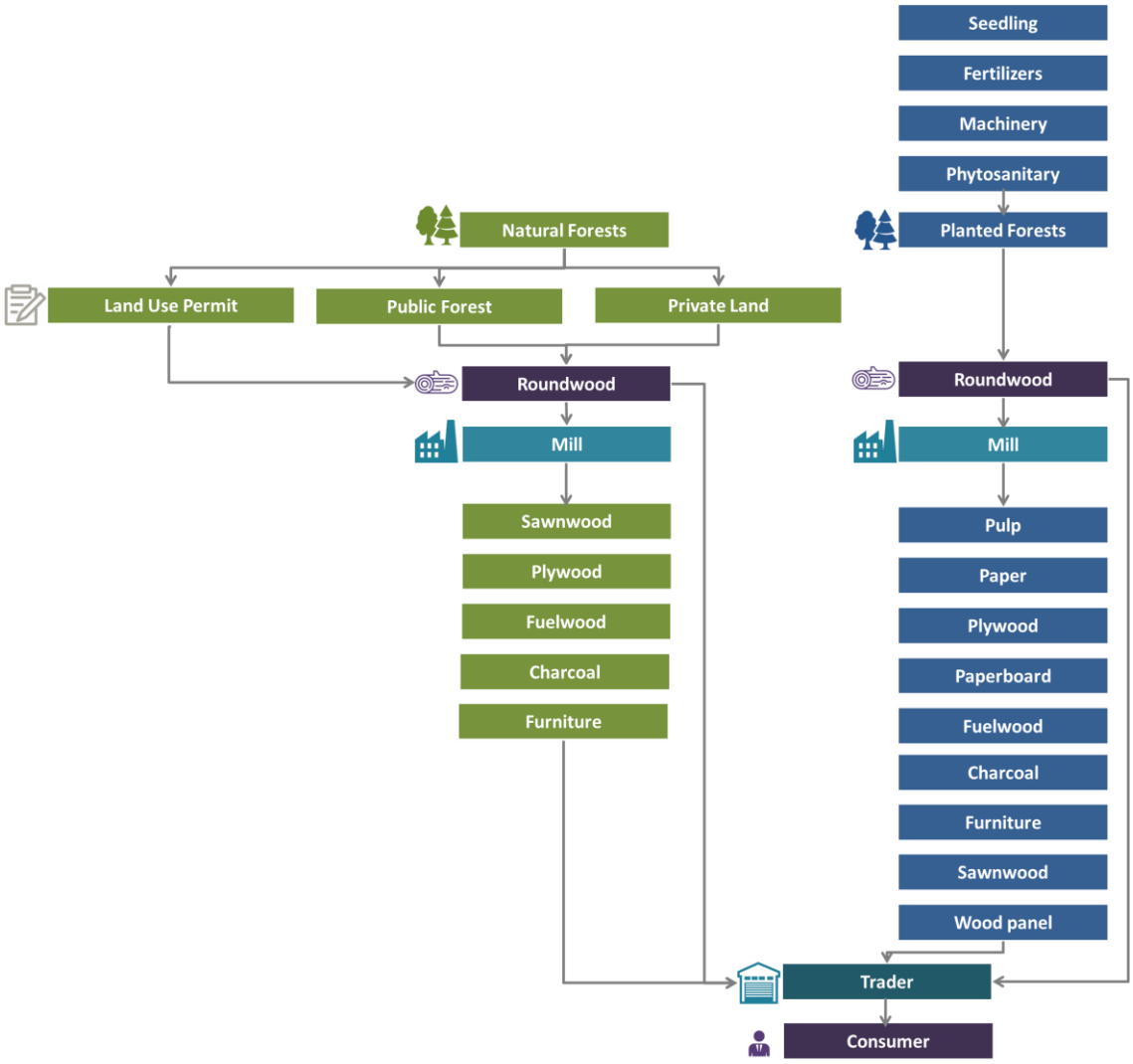
When the forest plantation is mature, are harvested and the timber transported to the mill, where can be processed into a variety of products that are finally delivered to traders / consumers at local or international market.

Figure 9 illustrates a basic model of the supply chain for wood and wood products, taking into account natural forests and planted forests.

[9] For years 2015, 2016, 2017 and 2018 approximately 1 million hectares are under forest management with 800 thousand m³ under harvest, according to the Brazilian Forest Service. Moreover, the forest concession is currently undergoing in two states (Pará and Rondônia), in 5 differents FLONA's (Altamira, Caxiuanã, Jacundá, Jamari and Saracá-Taquera).

[10] New forest plantations occur in degraded lands, without opening new deforestation fronts. That is done through a better use of areas that have already been modified by human activity, called anthropogenic. These areas include degraded pasturelands, areas degraded by agricultural misuse or areas unsuitable for agriculture (EMBRAPA Florestas, 2016 & FIEPA, 2017)

Figure 9 – Supply chain of wood and wood products for natural and planted forests



Source: Data Bank STCP (2018)

2.3. Trade of Wood Products

Timber industry is important economic sector in Brazil. The country is the third largest exporter of wood pulp, behind Canada and the United States and the lager world producer of eucalyptus pulp, according to Brazilian Tree Industry (IBÁ). In 2016, Brazil exported over 5.5 billion dollars of pulp (Figure 10). The main species used to produce wood pulp are Eucalyptus and Pine (accounted for 98% of pulp production). Paper wise, Brazil is the 20th exporter, with an exported value of 1.8 billion dollars in 2016.

Japan is a large consumer of Brazilian wood pulp (Figure 11), importing 113 million dollars in 2016, making it the 8th biggest importer of the commodity worldwide. On the other hand, imports of Brazilian paper are very small (1.16 million dollars in 2016, ranked 51st).

Cenibra S. A. (a subsidiary by the Japan Brazil Paper and Pulp Resources Development Co. - JBP) is the 8th pulp producer in Brazil. In 2017, the company had an annual production of 1.22 million tons of pulp, 97% of which was exported (Asia 46%, Europe 40% and North America 11%). According to Cenibra's 2017 Sustainability Report, the Japanese market for pulp grew 11.2%, when compared to 2016.

Figure 10 – Brazilian exports of wood pulp and paper in USD (2006-2016)

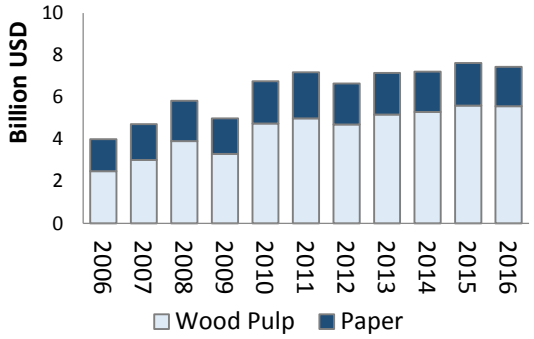


Figure 11 – Brazilian exports of wood pulp and paper to Japan in USD (2006-2016)

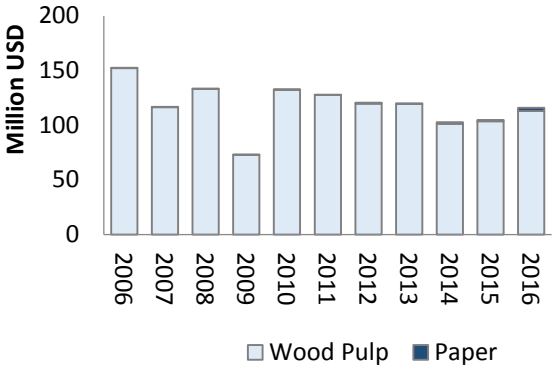


Figure 12 – Brazilian imports of wood pulp and paper in USD (2006-2016)

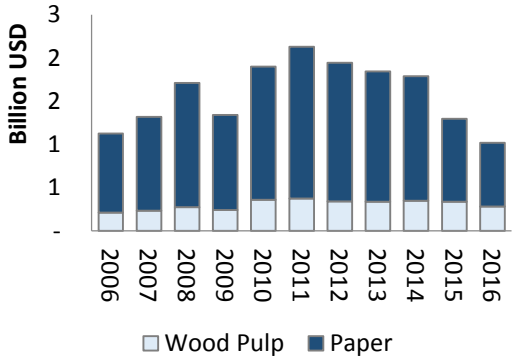
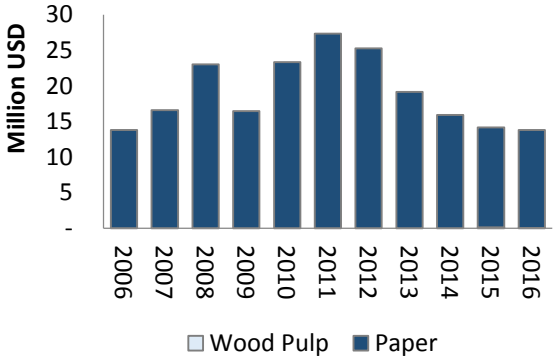


Figure 13 – Brazilian imports of wood pulp and paper from Japan USD (2006-2016)



Source: Trademap (2018), compiled by STCP

Along the last few years, the slowdown of the domestic civil construction led to a drop in domestic consumption of lumber[11] and plywood, and the industry drove those products to the international market.

The United States (USA) continues to be one of the greater importers of wood products, followed by Mexico and China. The USA is the main importer of plywood (USD 151 Million), Builders wood (USD 207 million) and sawnwood (USD 163 million) in 2016. Most of the exported sawnwood was *Pinus spp*, although USD 13 million (or 8% of exported value) was tropical wood.

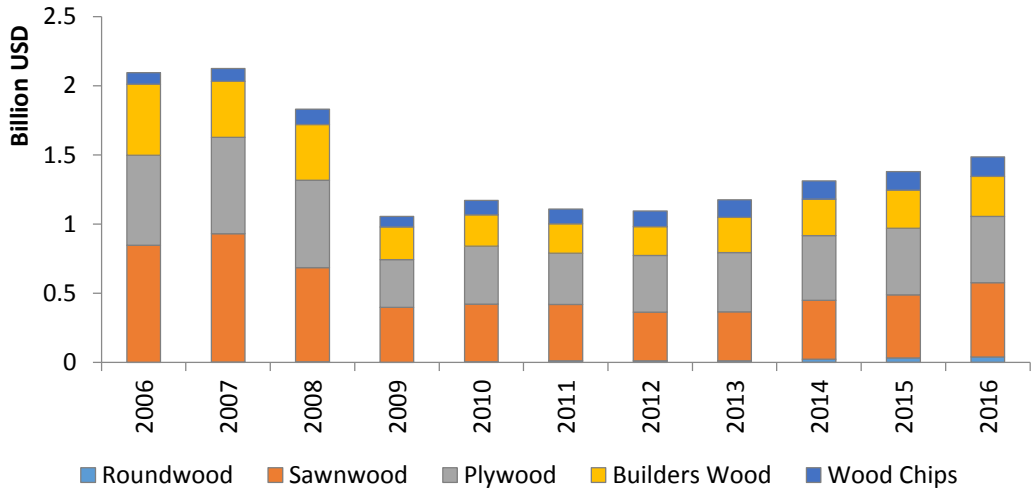
[11] Segment of sawnwood which comprise the following products: roundwood, boards, rafters, battens, beams, laths, and joists.

In 2016, Mexico was the 5th importer of plywood (USD 21.6million) and 2nd importer of sawnwood (USD 77.3 million), USD 884 thousand being of tropical wood. China, on the other hand, was the second biggest importer of Brazilian roundwood USD (5.5 million) and 3rd importer of sawnwood (USD 68.3 million), 6% of the value being sawn tropical wood (USD 4.3 Million).

As for wood products exported to the EU, in 2016 plywood was the largest in value, USD 215 million, followed by sawnwood, USD 77 million and Builders wood, USD 30 million. The UK and Germany are second and third main importers of Brazilian plywood. USD 36 million or 48% of the total value of imported sawnwood is tropical wood.

Although exports have increased, there is an evident decrease in profitability of wood industry according to the interview with Brazilian Association of Industrial Processed Wood (ABIMCI)[12]. This is due to difficulties the industry have been facing internally with the increase of manufacturing costs, such as energy, logistics, inputs and others. Figure 14 presents exports of main solid wood product in terms of USD on a historical time series.

Figure 14 – Brazilian exports by product (2006-2016)

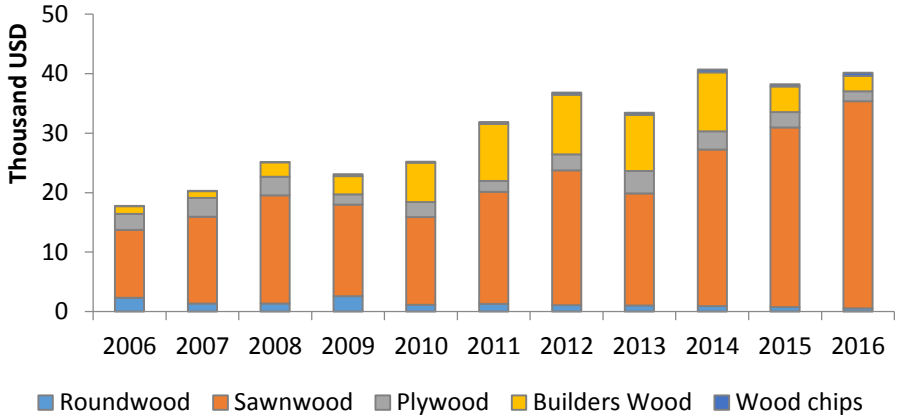


Source: Trademap (2018), compiled by STCP

Brazilian imports of wood products such as roundwood, sawnwood, plywood, builders' wood and wood chips are very low compared to export, due to the high availability of forests in the country, specially planted forest. Figure 15 presents Brazilian imports of main solid wood product in terms of USD on a historical time series.

[12] Interview with Roberto Puppo, ABIMCI, on September 25th, in Curitiba, Brazil.

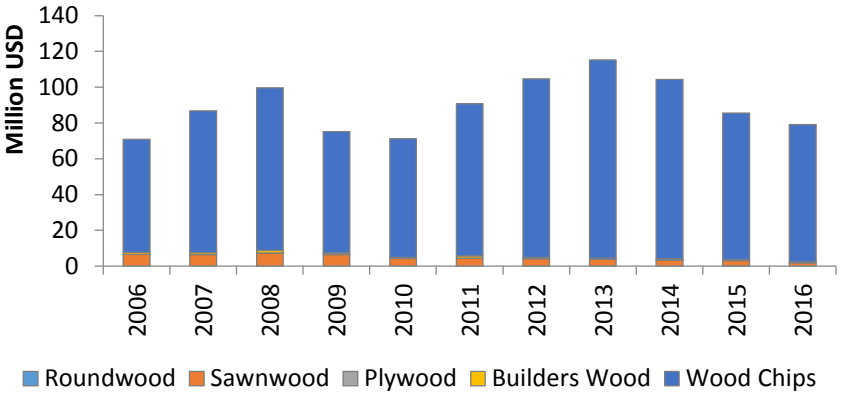
Figure 15 – Brazilian imports by product (2006-2016)



Source: Trademap (2018), compiled by STCP

Japan is the main importer of wood chips (eucalyptus and acacia) from Brazil. This is basically a result of Japanese companies' subsidiaries operating in Brazil). Exports to Japan are also concentrated in veneer and plywood mills. Figure 16 presents a historical time series of wood products imported by Japan from Brazil, pointing out a large concentration on wood chips.

Figure 16 – Brazilian exports by product to Japan in USD (2006-2016)



Source: Trademap (2018), compiled by STCP

3. OVERVIEW OF THE RELEVANT GOVERNMENT ORGANIZATION

The Brazilian Forest Code (Law 12.651/12) sets out the responsibilities of agencies/institutions in charge for forest-related activities (public and private). The management of forests in Brazil involves different institutions at three levels of government (federal, state, and municipality). The main institutions are federal and state, including:

- **Federal Level**
  At the federal level, forest management is under the responsibility of the Ministry of the Environment (MMA) and their complementary institutions: Brazilian Forest Service (SFB), Brazilian Institute of the Environment and Renewable Natural Resources (IBAMA) and Institute Chico Mendes of Conservation and Biodiversity (ICMBio). These organizations basically regulate the forest sector, issue permits and supervise operations.
  There are other institutions, at federal level that influence the forest sector. Examples are the National Institute of Colonization and Land Reform (INCRA) and Ministry of Labor and Employment (MTE). They are not directly related to forest activities but play a significant role on land and labor-related activities.
- **State Level**
  At State level the responsibility is generally under the Secretary for Environment (SEMA). They establish regulations and monitor forest management, issue permits, inspect of timber and timber products, varying according to each State in Brazil.

The role of the municipalities is generally less important, but in some cases might be important in cases of specific permits. Table 8 shows relevant federal and state governmental institutions identified regulating forest management, timber processing and trade activities.

Table 8 – Major institutions and their role on forest management, timber processing and trade

Organization	Government Level	Roles and Responsibilities
Brazilian Forest Service – SFB	Federal	Responsible for managing federal public forests, generating knowledge, promoting sustainable use and expansion of forest cover and sustainable production of goods and services, making the forest agenda strategic for the country's economy.
Brazilian Institute of the Environment and Renewable Natural Resources (IBAMA)	Federal	Responsible for environmental control and inspection, and is also responsible for licensing and environmental control of the Brazilian forests;
Institute Chico Mendes of Conservation and Biodiversity (ICMBio)	Federal	Responsible for proposing, implementing, managing, protecting, inspecting, and monitoring the Conservation Units; principally when involving sustainable forest management in extractive reserves, national forests, others
State Secretariat of for the Environment (SEMA)	State	Promote integrated, shared and efficient environmental management compatible with sustainable development, ensuring the preservation, conservation of the environment and improvement of the quality of life.

Source: Compiled by STCP (2018)

4. LEGISLATIONS ON HARVESTING OF FOREST RESOURCES

4.1. Laws and Regulation on Harvesting of Forest Resources

Article 21 of the Brazilian Forest Code (Law 12.651/12) defines forms of access to natural forests resources and on the issues of permits by SISNAMA (IBAMA system on concession license). Access to timber from natural forests is primarily based on a Sustainable Forest Management Plan – SFMP, in spite of the fact that timber from land use conversion can also be used. On the other side, harvesting in plantation forests is deregulated.

Table 9 presents a summary of the laws and regulations regarding access and management of natural forest, harvesting permits and other related regulations.

Table 9 – Laws and regulations access forest resources, management and issue of permits

Laws and Regulations	Year	Description
Law nº. 12.651	2012	Provides guidance for the protection of native vegetation, vegetation suppression, logging, among other measures.
Law nº. 12.187	2009	Establishes the National Policy on Climate Change - PNMC and makes other provisions, such as carbon markets for Climate change mitigation. It includes Forest Carbon for International and National Market.
Law nº. 11.284	2006	Deals with the management of public forests with the objective of sustainable production and establishes principles for the administration of public forests, relating forest management and sustainable management.
Law nº. 6.938	1981	Provides for the National Environmental Policy Act, its purposes and formulation and application mechanisms, and provides for other matters.
Decree nº. 8.375	2014	Deals with the Agricultural Policy for planted forest, among other measures.
Decree nº. 6.063	2007	Regulates provisions of Law No. 11.284, of 2006, which deals with the management of public forests for sustainable production.
Normative Instruction MMA nº. 05	2006	Regulates technical procedures for the preparation, presentation, execution and technical evaluation of Sustainable Forest Management – PMFS, among other measures such as succession on the Legal Amazon.

Source: Compiled by STCP (2018)

Basically, for harvesting in natural forest, as established by the Forest Code and complementary regulations requires:

- Preparation of a Sustainable Management Plan

- Forest Census and georeferencing of the each commercial tree;
- Preparation of an Operational Annual Plan – POA
- Issue of the Forest Harvesting Authorization – AUTEF[13]/AUTEX (see Fig. 22 and 23 in Annex).

The AUTEF and the AUTEX point out the volumes allowed to be harvested by species, based on the Operational Annual Plan (POA). Because of the nature of jurisdiction in Brazil, individual States might consider particularities in their legislation regarding forest management and the issue of permits.

4.2. Legal Rights over Forests

4.2.1. Land Tenure and Legal Rights over Forest Resources

Private land ownership is based on a land title validated by the public notary. The title is required to submit, and approve, a forest management plan by the authorities, and ensure the rights to harvest forest products.

Despite Brazil having five types (item 2.2.2) of legal sources of timber, access to forest resources based on forest management is basically concentrated in:

- State owned forests through a forest concession license

  The forest concession license follows the requirements defined by Law 11.284/06. Article 35 of Decree 6.063/07 sets out that the concession is managed through public forest concession contracts. The contract gives the right of sustainable forest management to a company[14] that presents the best financial and technical proposal, assuring the lowest environmental impact, the greatest direct social benefits, greater efficiency, and greater value adding to forest product or service, in the concession region.

- Forest management in private forest land

  In case of private land, the Law 4.504/64 regulates the rights and obligations concerning rural properties and management of the resources. The law grants the owner the right to transfer the land to a third party through formal contracts (e.g. rural leasing, agricultural, agro-industrial and extractive partnership) that are registered with public notaries. This is a common practice on management of natural/forest plantations.

4.2.2. Legality Risks in forest licensing processes

The risks associated with illegalities involving forest concessions licensing in Brazil are quite low, according to WWF Brazil.[15] The process is transparent and reviewed in several steps of the completion of the contracts, which reduces the possibility of unethical conduct in all phases of the process, from the publication of tender bids to audits. The practice of forest concessions in Brazil is well consolidated and with minor risks related to the process.

Harvesting in private forestland it is also a process involving low illegality risks. The sustainable management practices are quite well defined and harvesting is relatively well

[13] Logging permit in only for Pará and Mato Grosso States, adopt the terminology AUTEF (Autorização de Exploração Florestal) instead of AUTEX.

[14] According to Art. 19, § 1º of Law nº 11.284/06, only Brazil-based companies are allowed to be granted a forest Concession License.

[15] Interview with Ricardo Russo, WWF Brazil, Forestry Program Coordinator, on September 27th, 2018, Brasilia.

monitored by the authorities. For instance, the states of Mato Grosso and Acre have a good forest control, according to CIPEM[16].

4.3. Harvesting, Management, and Risks

4.3.1. Production of Timber and Origin

The production of timber from natural forests is identified from the information provided in the DOF system, which is a federal electronic tool. This tool integrates federal (SINAFLOR) and state (SISFLORA) forest transport documents to monitor and control harvesting, transformation, trade and storage of forest products. Details of these systems are presented below.

- The DOF system (Document of Forest Origin)

  The DOF (see Fig. 24 in Annex) is issued based on information on timber volumes defined in the AUTEX, which is based on information of the sustainable forest management plans – SFMP and Census of natural forests (private natural forests and public forest concession).DOF can also be based on permits of land use change, vegetation suppression authorization[17]. Forest plantations with exotic species do not require a DOF (for timber from planted forests see item 2.2.2). It is noteworthy that indigenous people are not allowed to commercialize log from their land, however, traditional communities are able to sell wood from their land, but this activity happens in small-scale or is almost inexistence as seen in the interviews[18].

- The SINAFLOR (National System for Control of the Origin of Forest Products)

  This system integrates the control of the origin of wood, charcoal and other forest products, under the coordination of IBAMA. SINAFLOR was established by Normative Instruction Nº. 21/14, in compliance with Art. 35 and 36 of Law 12.651/12 and is being gradually implemented across Brazil. SINAFLOR[19] covers volume from Sustainable Forest Management Plan (private and public land), land use change, vegetation suppression authorization, forest reposition[20] and isolated tree cut. Furthermore, this system is still in process of implementation in some States, and forest management projects authorized prior to the implementation of SINAFLOR will be managed under the DOF system. According to IBAMA (2018), Twenty-one states are already prepared to operate the system: Acre, Amazonas, Amapá, Rondônia, Roraima, Tocantins, Alagoas, Ceará, Maranhão, Paraíba, Pernambuco, Piauí, Rio Grande do Norte, Sergipe, Federal District, Goiás, Mato Grosso South, Minas Gerais, Rio de Janeiro, Paraná and Rio Grande do Sul. The states of Bahia, Pará, Mato Grosso, Espírito Santo,

[16] Interview with Rafael Mason of CIPEM, on September 28th, 2018, in Cuiabá, Brazil.

[17] Vegetation Suppression Authorization (Autorização de Supressão Vegetal - ASV) refers to the suppression of native vegetation in undertakings of public or social interest subject to environmental licensing by IBAMA. It seeks to guarantee the control of exploitation and commercialization of the forest raw material actually exploited in the undertakings licensed by IBAMA and the control of flora specimens.

[18] Interviews held in Brazil with several experts in 24 – 28th of September, 2018.

[19] Planted trees (native and exotic) do not need authorization, according to Art 35 of Law 12651/2012; however, a prior notice is required by registering at SINAFLOR system.

[20] The forest reposition is the compensation of the volume of raw material extracted from natural forests by the volume of raw material resulting from forest planting for recovery of forest cover. (https://www.ibama.gov.br/flora-e-madeira/reposicao-florestal/o-que-e-reposicao-florestal)

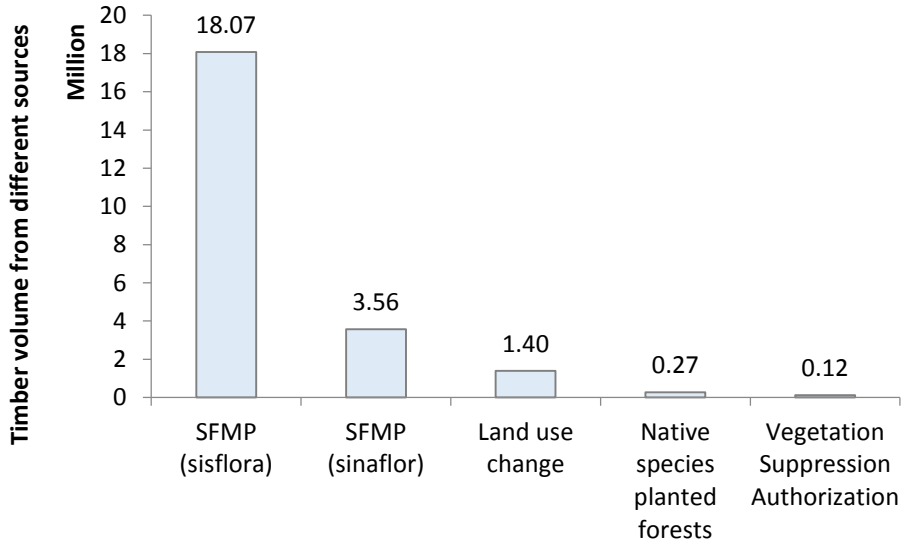
São Paulo and Santa Catarina are completing the stages of training and implementation.

- The SISFLORA (System of Forest Products Commercialization and Transport)

  SISFLORA is the State System of Commercialization of Forest Products Transport, exclusively used in the States of Pará and Mato Grosso in the forest control. Those States have decentralized system due to the high volumes of harvesting natural forests. In 2016, the SISFLORA (Pará and Mato Grosso), informed timber volume production of 18.073.603 m³ coming from SFMP, including private and public forests. The two States using SISFLORA are responsible for the supply of over 70% of tropical timber produced in the country. SISFLORA covers volume from Sustainable Forest Management Plan (private and public land), land use change, vegetation suppression authorization, forest reposition and isolated tree cut.

Figure 17 presents logging volume by type of timber origin for 2016, which originated from DOF system data.

Figure 17 – Volume of timber by type of timber origin (2016)



Source: IBAMA (2018), compiled by STCP

4.3.2. Legal requirements for management planning

Legal requirements for logging in Brazil are laid out in the Brazilian Forest Code (Law 12.651/12) and forest concession Law 11.284/06 and their regulations.

In Brazil, timber harvesting, as mentioned, can occur in public lands (Forest concession) or private lands. The licensing process for logging varies depending on whether the forest is public or private, for instance, public forests require public notice. In all cases, public or private natural forests, an Annual Operation Plan (POA) shall be presented and approved, to be issued a logging permit by the relevant environmental agency. For federal public forests, the permit is issued by the federal environmental agency - IBAMA.

In terms of forest concession, commercial harvesting requires the Annual Forest Grant Plan (PAOF). The size (hectares) of forest concessions varies according to the year of the

PAOF and the forest concession, when granted last for 40 years. At the federal level (federal public forests), PAOF is prepared and proposed by the SFB and approved by the Ministry of Environment. At State[21] level (state public forests), PAOF is prepared and proposed and approved by the state government, generally by the State Environment Secretariat (SEMA).

The PAOF establishes the criteria for access to forest concessions by small, medium-sized organizations, as a way to promote equity in the management policy of Public Forests in Brazil. It considers initiatives of great value such as the Plan of Action for the Prevention and Control of Deforestation in the Amazon Legal (PPCDA) and the Ecological-Economic Macro zoning of the Legal Amazon.

All concessionaires should be registered at the IBAMA's technical register system (Cadastro Técnico Federal). Moreover, in order to be granted the legal right to harvest from concessions in natural public forests, concessionaires must hold a concession contract. For harvesting in private natural land forests, timber companies must hold land title documents or a land lease contract.

When harvesting in natural forests[22], timber companies must have an approved Sustainable Forest Management Plan – SFMP, an approved POA and a logging permit (generally called Autorização de Exploração – AUTEX, except in the State of Pará, which it is called AUTEF. Figure 18 summarizes the documents required in the process of harvesting natural forests. This process is the same for forest management in private land[23].

Companies harvesting from planted forests (native and exotic species) do not need to have a harvesting permit[24], but in some states they need to inform the competent authorities (the local State Environmental Secretariat) the final purpose of harvesting, when establishing the plantation, following the rules established in Chapter VII of the Forest Code (Law 12.651/12).

For forest clear-cut, the State Environment Secretariat (SEMA) issues Land Use Change Authorization and Vegetation Suppression Authorization. Companies harvesting using those permits should carry out a survey of timber species in the area, a simple inventory with the volume of the area to be harvested.

[21] Only Acre and Amapá States have state forest concession.

[22] It does not include land use change permit.

[23] Interview with Douglas Antônio Granemann, Triângulo Pisos e Painéis Ltda., on September 24th, 2918, in Curitiba, Brazil.

[24] In case of specific native threatened timber species, such as araucaria or mahogany need harvesting permit, but other species do not need harvesting permit.

Figure 18 – Required documents and permits regarding logging from natural forest management in Brazil

Source: IBAMA, compiled by STCP (2018)

4.3.3. Risks Associated to Management Planning

There are some risks of illegality associated with management and harvesting permits, but inspections from the forest and environment authorities has gradually mitigated the problem.

The risks are mainly associated to poor forest inventory (over estimating volumes), harvesting prohibited tree species, harvest from non-licensed areas and harvest trees with a diameter below allowed by law (Brancalion et al. 2018).

4.4. Environmental Requirements

4.4.1. Legal Environmental Requirements in Brazil

As mentioned in section 1.1.4, a certain percentage of private land must be kept under native vegetation, called "Legal Reserves" with function to protect vegetation and ensure the sustainable economic use of natural resources.

In Brazil, a preparation of Environment Impact Assessment (EIA) and Environmental Impact Statement Report (EIS) was required for a SFMP with area above 2.000 ha, as established by Decree 1.282/94. However, this regulation was eliminated, and Article 4 of Decree 5.975/06 states that a sustainable forest management plan already complies with all environmental requirements necessaries to allow forest harvesting.

4.4.2. CITES-listed tree species in Brazil

Brazil has a number of laws that regulate the protection, utilization and trade CITES listed species. Decree 3.607/00 regulates the exports and imports procedures for species listed in CITES Appendixes. Exports of the CITES listed timber species requires a specific permit (see Fig. 25 in Annex) issued by CITES Authority - IBAMA. Such permit will be issued after a non-detrimental finding report prepared by the Scientific Authority certifying that export will not affect the survival of the species, and therefore the trade is considered legal.

The main Brazilian timber species that are commercially valuable and regulated by CITES are Mahogany (*Swietenia macrophylla*), listed in CITES Appendix II, and Red cedar (*Cedrela odorata*) in Appendix III. Both species, originate from the Amazonian Biome. The CITES listed species for Brazil is presented in Table 10.

Table 10 – List of timber species regulated by CITES

Appendix	Species	Common name
Appendix III	*Cedrela fissilis*	Cedro rosa
Appendix III	*Cedrela lilloi*	Cedrinho
Appendix III	*Cedrela odorata*	Red Cedar
Appendix II	*Swietenia macrophylla*	Mahogany
Appendix II	*Caesalpinia echinata*	Pau - Brasil
Appendix II	*Aniba rosaeodora*	Rosewood
Appendix I	*Dalbergia nigra*	Jacarandá

Source: CITES (2018), compiled by STCP (2018)

IBAMA has established an online system to control permission of CITES export and import,[25] where individual / company to import / export should be registered. IBAMA reviews all applications for commercial use of CITES species. Issuance of each permission costs about USD 25.

Moreover, the Brazilian government has made suggestion of timber species to be included in the CITES Appendix. According to CITES proposal for amendment of Appendices I and II[26], the government suggests that species of the Gender *Handroanthus spp. (Tabebuia spp; Roseodendron spp.)* are included in Appendix II due to the decrease of populations in the northern region, specifically of *Handroanthus impetiginisus* (Ipê-roxo/Pink-Ipê) and *Handroanthus serratiofolius* (Ipê-amarelo/ Yellow-Ipê).[27]

4.5. Employment and Safety in Forest Operations

4.5.1. Legal Requirements for Employment

In Brazil, labor relations are governed by the Labor Law (Decree Law 5.452/1943) and complementary regulations. Article 41 of the Law stipulates that the company employer should register all workers. The 1988 Constitution contains several labor provisions, establishing the rights of urban and rural workers, aiming at improving their social conditions (Art. 7). Among other things, it legalizes unions, collective bargaining, the right to strike both in the public and private sector, regulates working hours, paid vacation, child and woman labor, and other matters. For a Brazilian citizen to have the right to work, he or she must hold work and social security papers (Carteira de Trabalho e Previdência Social – CTPS), where the terms of employment contract have to be recorded.

[25] https://www.ibama.gov.br/licencas-servicos/fauna/licenca-de-importacao-exportacao-de-fauna-cites-e-nao-cites

[26] https://cites.org/sites/default/files/eng/cop/18/prop/020119_d/S-CoP18-Prop_draft-Handroanthus-spp_Tabebuia-spp_Roseodendron-spp.pdf. The Proposal for amendment of Appendices I and II will be discussed at the 18th Conference of the Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES COP 18), to be held in Colombo, Sri Lanka, on 23 May -3 June 2019.

[27] CITES, Examen de las Propuestas de Enmienda a los Apéndices i y ii. Available at: https://cites.org/sites/default/files/eng/cop/18/prop/020119_d/S-CoP18-Prop_draft-Handroanthus-spp_Tabebuia-spp_Roseodendron-spp.pdf

Ministry of Labor and Employment (MTE) is responsible for inspections related to Health and Safety requirements. There is a range of Regulating Norms (NR) that deal with the matter. The rule directly applicable to the forestry sector is MTE NR 31 (Security and Health in the Work in Agriculture, Forestry, Forest Exploitation, among others), related to rural activities with focus on health and safety of the workers.

4.5.2. Legal Employment Associated Risks

In general, the forest workers in Brazil have a low level of education and are often unaware of his or her labor law rights. General situation has improved along the last years but there are still risks associated to work analogous to slavery, child labor and gender inequality.

The MTE holds a 'blacklist' of companies where this type of illegality was registered, most of companies presented in this list are from Agribusiness (31%), followed by livestock (25%) and logging companies (8%)[28]. Overall, the global rank the country holds in the Rule of Law index regarding "fundamental rights (labor rights)" is 59/113.

4.6. Social Requirements

4.6.1. Social requirements in Brazil

The legislation in Brazil emphasizes protection of the rights of traditional communities[29] and indigenous peoples to utilization of natural resources. The National Policy for Sustainable Development of Traditional Peoples and Communities (Decree 6.040/07)[30] establishes the recognition, respect for the socio-environmental and cultural diversity of traditional peoples and communities, guaranteeing them access to the natural resources they traditionally use for their cultural and economic activities.

According to MMA, Brazilian traditional people and communities include Indigenous people, Quilombolas (descendants of slave communities), Seringueiros (rubber tappers), Castanheiros (Brazilian nut collectors) and others.

The Palmares Foundation has identified and certified more than 2,400 quilombola communities in 23 Brazilian states. National Indian Foundation (Fundação Nacional do Índio – FUNAI) has mapped and demarcated 566 traditionally occupied Indigenous areas all around the country, and there are another 135 either under study or already designated as restricted areas by FUNAI for the protection of isolated indigenous peoples and groups, with limitations on use and entry and transit of third parties in the area. Additionally, there are 51 indigenous reserves either already demarcated or in the demarcation process. In total, there are more than 110 million hectares of Indigenous lands in Brazil, according to FUNAI[31].

[28] List of companies with registry of work analogous to slavery: http://www.prt5.mpt.mp.br/images/Lista_Suja_2018.pdf

[29] Art. 149 of the Brazilian Penal Code defines work analogous to slavery as "to reduce someone to the condition analogous to slavery, whether by submitting forced labour or extended working hours, or subject to the conditions of degrading work or by restricting by any means their movement due to debt contracted with employer.

[30] Decree 6.040/07, Article 3 defines Traditional People and Communities as "culturally differentiated groups that acknowledge themselves as such and maintain their own social organization, and which occupy and use territories and natural resources as a condition for their cultural, social, religious, ancestral, and economic reproduction, using knowledge, innovation and practices generated and transmitted by tradition". Also the same Decree defines Traditional Territories as "the spaces necessary for the cultural, social and economic reproduction of the Traditional People and Communities, whether they are used in permanent or temporary form".

[31] http://www.funai.gov.br/index.php/indios-no-brasil/terras-indigenas

According to Decree 419/11, IBAMA should be informed of any applications for an environmental licensing for activities in the vicinity of Indigenous or Quilombola land. IBAMA will consult those communities and it might be necessary to prepare EIA/EIS[32], following public consultation.

Moreover, Law 11.284/06, its Article 2 sets out as a principle of forest concession management the respect for the right of local communities to the access to public forest and its benefits as result of its use and conservation. In this way, in a forest concession area, if there are forest products that are traditionally exploited by the local communities, the right to collect these products continue to be ensured. In this case, the concession winner must guarantee the population's access to the area to continue its activities. On the other hand, communities should follow the rules of access to the area, especially those related to the safety of the worker. The concession contract specifies the local community use products that are excluded from the list of products which the dealer may operate or which has restrictions use.

4.6.2. Social Requirements Associated Risks

The legislation in Brazil protects the rights of traditional and Indigenous communities regarding natural resources through the 'Estatuto do Índio', Law 6.001/73. According to interview[33] with SFB, when the PAOF (item 3.3) is elaborated by SFB, areas near indigenous people and traditional communities are avoided, which result in low risk regarding those groups and forest activities

4.7. Control Measures to Verify Legality of Harvesting

4.7.1. System and Process to verify legality on Harvesting Activities

The SFB, responsible to manage the forest concessions program is responsible for monitoring the proposed activities and contractual obligations of the concessionaire, to guarantee the sustainability of the forests and generate social, economic and environmental benefits.

The monitoring activities are established by Decree 6.063/07, including accompanying the activities of concessionaires, the forest production and the fulfillment of the obligations assumed by the companies in the bidding process. The results of the monitoring are incorporated into the Public Forest Management Reports published annually by the SFB.

The SFB uses three methods for the monitoring of forest concessions including the Chain of Custody System, the Remote Sensing (LIDAR and Detex); and Forest Independent Audit. A brief description is presented below:

- **Chain of Custody System**

The SFB has made efforts on monitoring all stages of harvesting natural forests in Brazil, using technology in the process by creating the Chain of Custody (CCS) System (2015). The CCS is a set of procedures adopted for the tracking of timber forest products harvested in forest concessions, ranging from tree felling, logging and transportation of logs until their transformation into the first processing, controlled through a computerized system.

The CCS considers:

[32] EIA/EIS are prepared by an accredited professional registered at professional association (CREA). In case of forestry activities, it is generally a Forest Engineer.

[33] Interview with Antonio Carlos Prado and Marcus Vinicius, the Brazilian Forest Service, on September 27th, 2018, in Brasilia, Brazil.

- Records the location of all trees in the forest;
- When these trees are harvested the forest concessionaire is obliged to inform all the production in the system;
- Each transport of wood to the processing industry is also registered in the system, which generates a QR Code for each document;
- Upon arriving at the industry the logs are converted into primary products and packages recorded;
- Each product package also receives a QR Code generated by the CCS.

Thus, when querying the generated codes, the system automatically shows which trees gave origin to the consulted wood and generates a map with the geographical coordinates of these trees, ensuring a full traceability of the timber.

The application makes it possible to:

- Verify the legality and origin of timber coming from sustainable management in a public forest;
- To trace using QR Code the log or sawnwood from concession areas as stated previously;
- Access production reports of the concessions with production data per year, by species, per state; and
- Consult the list of forest dealers who produce selected timber.

Since the beginning of SFMP implementation, concessionaires should include all activities in the CCS data, which allows SFB to control the production and transportation of wood products in areas under forest concession. According to interviews[34], forest concession presents low risk for timber legality among legal sources of timber in Brazil.

ii) Remote Sensing (LIDAR and Detex)

To monitor forest concessions, the use of remote sensing[35] tools is very important. Currently, in its monitoring activities, SFB makes use of the Detection System for Selective Exploitation (Detex) and Light Detection and Ranging Mapping (LIDAR).

iii) Forest Independent Audit

The Law 11.284/06 defines that the forest concessions should be submitted to Independent Forest Audits, at intervals not exceeding three years; on the other hand, the environmental agency and SFB carry out their regular inspections.

The Audits should be carried out by entities accredited by the National Institute of Metrology, Standardization and Industrial Quality (INMETRO) and recognized by SFB. They should evaluate and qualify the forestry activities and economic, social and environmental obligations expected in the bidding process and signed in the forest concession agreement.

As for forest management in private lands, the control system is SINAFLOR and SISFLORA (see section (4.3.2), and there is no independent forest audit.

- **Field Inspection**

The SEMA is responsible for conducting field inspection and monitoring forest management (natural forest) in private land, across Brazilian States. According to SEMA-

[34] Interview with different experts at SFB, IBAMA and WWF Brazil, on September 27th, 2018 in Brasília, Brazil.
[35] Details for monitoring forest concessions, see: http://www.florestal.gov.br/monitoramento

MT, the State monitoring system in private land has two steps: i) Laboratory; and ii) Field inspection.

i) Laboratory: this step monitors forest activities through remote sensing (satellite images, remote sensing, etc.); and;
ii) Field Inspection: once detected potential illegal activities, the SEMA will cross-check with documents such as POA and SFMP, which will result in a field inspection through sampling areas.

Moreover, SEMA has monitoring goals during the three phases of sustainable forest management: pre-operation (prior to the forest harvesting); during the SFMP activities (harvesting, etc.) and post-forest harvesting activities (transport, mill yard, etc). In general, field inspections shall be carried out monthly, including SFMP monitoring and routine inspection.

4.7.2. Risks Associated to the System and Process to Verify Legality on Harvesting

Risks associated to Illegality in timber harvesting in Brazil have been reduced over the last few years. It is generally accepted that illegal timber volumes in Brazil from natural forests are low (5 – 8%). Most illegal timber is traded in the local or regional markets, and very little is exported, according to CIPEM and ABIMCI[36].

The overall percentage of illegally harvested timber has declined as a result of the fact that plantation timber is now, by far, the most important source for the industry. Regulations for harvesting timber from plantation forests are less demanding than that for natural forest, and it is generally accepted that there is no major legal risks associated with harvesting, transportation, processing and trade of plantation timber.

Comments kept

5. LEGISLATIONS ON TRANSPORTATION AND PROCESSING

5.1. Laws and Regulation on Transportation and Processing

Table 11 presents the most relevant Brazilian laws regulating transportation and processing of wood and wood products.

Table 11 – Laws and regulations regulating transportation and processing of wood and wood products

[36] Interview with Rafael Mason of CIPEM, on September 28th , 2018 in Cuiabá, Brazil

Laws and Regulations	Year	Description
Decree 6.759	2009	Provides the administration of customs activities, and the control, control and taxation of foreign trade operations.
IBAMA IN nº 21	2013	Regulates the Document of Forest Origin - DOF for exportation and importation of wood products.
IBAMA IN nº 15	2011	Establishes the procedures for the exportation of wood products and sub-products from native species originated from natural or planted forests.
MMA Portaria nº 253	2006	Establishes the Document of Forest Origin – DOF for the transportation of wood and wood products in the Brazilian territory.
SINIEF Adjustment 07	- 2005 - 2009	Establishes National System for Economic and Fiscal Information and Creates the electronic bill of sale and the DANFE, an official document for every sale inside the country.

Source: Compiled by STCP (2018)

5.2. Transportation of Wood and Wood Products

5.2.1. Legal Procedures to Transport Wood and Wood Products

The legal documents required for transportation of wood and wood products in Brazil are:

- Bill of Sale (Nota Fiscal)

  The bill of sale is an invoice. It is the evidence of any monetary transaction of a good sale or performed service. This document also serves to collect taxes. The failure in use or request a bill of sale is considered tax evasion. Currently, most of companies use the electronic bill of sale, and in such cases the physical document that accompanies the product is the DANFE – Document of the Electronic Bill of Sale – which bears the same information. This document should follow the transportation of wood and wood product in the domestic market, and applies to timber from natural forests and also for timber from plantations.

- Document of Forest Origin (DOF)

  The DOF (see Fig. 24 in Annex) was created by Normative Instruction n. 21 2013, by IBAMA and applies only to native timber from natural forests. It contains information related to the type of operation (Sustainable Forest Management Plan, Land Use Change, and Vegetation Suppression authorization), timber species, volume, company name, address, route planned, and authorization number according to the forest management plan and among other important information. The DOF is issued online by IBAMA or SEMA. This document must accompany the wood and wood products (sawnwood, wood residues, wood chips, charcoal, railway ties and posts) throughout the route and it might be requested/ inspected by the authorities. The purpose of DOF is to control the origin of forest products. . In order to issue DOF for wood, the interested party (forest/mill owner) must register the origin of wood (AUTEX/AUTEF/Mill yard) on DOF online system, which means that DOF online will be able to trace information about the origin of wood and wood products. The issuance of DOF documents for the transport of forest

product will take place after acceptance of an online offer and the indication of the transport destination is mandatory (that is, indication of the buyer). It should be noted that the procedure of the issuance of DOF for wood and DOF for processed wood products is independent; nevertheless, based on the information contained in the DOF for processed wood products, one is able to trace the wood origin.

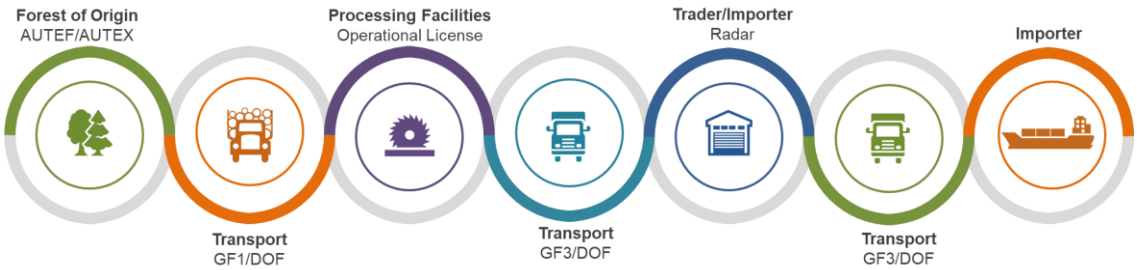
The Forest Guide GF1/GF3 (Guia Florestal), if timber is originated from Pará and Mato Grosso state (see Fig. 26 and 27 in Annex) can replace the DOF.

The GF1 is used only to the transport of logs from the forest of origin to the processing facilities. The GF3 is used to transport processed timber products to the final consumer. It is noteworthy that GF1 is not a requirement for GF3. Information contained in both transport documents GF1 and GF3 refers to POA; therefore, it is possible to trace the wood origin. All state systems are interconnected between them and with IBAMA, so that SEMA is able to cross-check the information in the documents. Furthermore, GF3 is also issued when wood and wood products (sawnwood, wood residues, wood chips, charcoal, railway ties and posts) are destined to international market. If that is the case, the document should state the name of the importer and destination country. Those documents presented above are issued by SEMA and should follow along with the bill of sale.

As mentioned, the States of Pará and Mato Grosso issues different transportation documents to transport wood and wood products. According to Art. 40 (Law 233/05), the Forest Guide (GF) is established as a mandatory control instrument to be used by person or companies in the delivery, shipping, transportation, receipt and storage of raw materials, products and by products, timber and non-timber, starting from the place of extraction or processing until its final destination.

Figure 19 presents the flow of required documents on the transportation of wood and wood products.

Figure 19 – Required documents for transportation of wood and wood products through the supply chain



Source: IBAMA, compiled by STCP (2018)

5.2.2. Risks Associated to Transportation of Wood and Wood Products

The bill of sale (Nota Fiscal) is electronically issued and inspections are made along the roads. Documents such as DOF, GF1 and GF3, contain a considerable amount of information, and are inspected during the transportation. In spite of the fact that some flaws might still exists in the system(delay in registering information, slow system, among others), illegality involving wood and wood products transportation, is not a major problem, especially for timber traded in the main domestic market in Brazil, or in the international trade.

5.3. Wood Processing

5.3.1. Legal Procedures on Wood Processing

In Brazil, the timber processing industries must hold to operate a regulatory pre-installation and operation license. Art 31 of Law nº 592/17 sets out the required operation licenses (see Fig. 28 in Annex):

- Prior License

  Granted in the preliminary phase of planning, approving location and design, certifying the environmental requirements and conditions to be met in the next phases of the implementation;

- Installation License

  Authorizes the installation in accordance with the specifications contained in the approved plans, programs and projects, including environmental control measures and other constraints, which are a determining factor; and

- Operation License

  Authorizes the operation after verification of the effective compliance of the prior licenses, with the environmental control measures and conditions determined to the operation.

Furthermore, all companies, despite of its type of operation must hold an Alvara License, and must be registered at the SEMA. All sawmills should be enrolled in the DOF system (or in the case of the States of Pará and Mato Grosso, they must be enrolled in SISFLORA). Alvara is a license granted by the City Hall, allowing the location and operation of commercial, industrial, agricultural, service providers, as well as companies, institutions, and associations of any nature, linked to individuals or legal entities.

5.3.2. Risks Associated to Wood Processing Facilities

In case of companies that operate without permit, can be fined by the State Environmental Agency (SEMA). Companies should report timber species and volume daily into the DOF system or SISFLORA regarding the inbound delivery of logs and timber products at the yard mill.

In case of inspection by SEMA, if the physical stock does not correspond to the volumes registered into DOF/SISFLORA, the mill shall be subject to fines. In addition, the system only allow mills to sell wood and wood products if the sold volume is equal or lower than the volume registered in the DOF system of SISFLORA, meaning the mill can´t sell a higher volume than the one registered in the DOF system or SISFLORA.

A study coordinated by SFB in 2014 indicates that the timber industry in the Legal Amazon is sometimes poorly inspected and the criteria used are not strict regarding the timber origin, renewal of licenses and proof of operation with periodic inspections. The current licensing system of wood processing mills, with different rules in different states and little transparency, does not favor the fight against illegality[37].

37 http://www.florestal.gov.br/ultimas-noticias/680-artigo-madeira-da-amazonia-um-novo-foco-no-combate-a-ilegalidade

5.4. Supervision and Control Measures to Verify Legality of Transporting and Processing Wood

The "selling of credits[38]" of DOF has been reported, in some cases, in Brazil. When the DOF is requested by inspectors of SEMA, apparently the authorized volume for transportation corresponds to the volume authorized for harvesting. However, it is common that the planned timber volume to be harvested is not done; as result part of the authorized volume in the DOF is traded in the black market. That means, that trucks could be transporting timber covered by an official document (DOF), however the wood does not originated from authorized areas.

Despite those issues, there are sufficient measures to control and verify wood and wood products transportation activity. It is important for the buyer to always require official documents (bill of sale accompanied by the DOF) and seek for trusted suppliers, verifying with forest certifiers (FSC and CERFLOR), Government Agencies (IBAMA) and regional timber associations, such as CIPEM.

6. LEGISLATIONS ON TRADING WOODS AND WOOD PRODUCTS

6.1. Laws and Regulation on Trading Woods and Wood Products

6.1.1. Custom Legislation

In Brazil, international trade of products is controlled by a system called the Integrated Foreign Trade System (SISCOMEX), established by Decree nº 660/92. SISCOMEX is computerized system that integrates the activities of registration, monitoring and control of foreign trade, carried out by the Secretariat of Foreign Trade (SECEX) of the Ministry of Development, Industry and Foreign Trade (MDIC), the Brazilian Federal Revenue Service (RFB) and the Central Bank of Brazil (BACEN). These Government Agencies are the managers of system.

For the access to SISCOMEX, it is necessary to register in the Registration and Tracking of the Performance (RADAR) of RFB, according to Normative Instruction 650/06, which establishes procedures for the authorization of importers and exporters. Therefore, RADAR registration is mandatory to carry out any operation on imports and exports. Moreover, exporters are registered at the Registration of Exporters and Importers (REI) of SECEX[39], the registration is carried out at the time of the first export operation at any point connected with SISCOMEX. Figure 20 presents the legal process to export timber and timber products.

Figure 20 – Legal process for timber export in Brazil

[38] Credits are referred to the authorized timber volume for transportation by SEMA.

[39] SECEX regulates, supervises, guides, plans, controls and evaluates foreign trade activities.

Source: RFB, prepared by STCP (2018)

6.1.2. Product Classification

Exporting companies should classify their products according to the nomenclature: ALADI (NALADI / SH), established on the basis of the International Convention on the Harmonized Commodity Description and Coding System (HS). The HS has six digits, but each country can add up to four digits; and MERCOSUL Common Nomenclature (NCM), created in 1995 and was approved by Decree nº 2.736/97. Table 12 presents the nomenclature applied to commonly exported timber products in Brazil.

HS Code nomenclature for the most relevant timber products exported by Brazil is presented in Table 12.

Table 12 – HS Code nomenclature for commonly exported timber and timber products in Brazil

HS Code	Description
47	Pulp of wood or of other fibrous cellulosic material
48	Paper and paperboard
4403	Wood in the rough, whether or not stripped of bark or sapwood
4407	Wood sawn or chipped lengthwise, sliced or peeled, whether or not planed, sanded or end-jointed
4412	Plywood, veneered panel and similar laminated wood
4418	Builders' joinery and carpentry, of wood, incl. cellular wood panels, assembled flooring panels
440122	Wood in chips or particles
480100	Newsprint

Source: ComexStat, compiled by STCP (2018)

Timber exporting companies, dealing with natural forest, should register in the DOF system as exporter. Native timber species listed as endangered in CITES Appendix should hold a special CITES Certificate issued by IBAMA. Companies operating with timber from forest plantation trees (pine, eucalyptus, teak, etc.) do not need a special permit or license to export.

6.1.3. Custom Inspection Procedures

IBAMA has office and their staff in each port to control export of wood products. According to the interview with ABIMCI[40] and RFB (2016), there is a parameterization (customs checking of the goods through channels) at Brazilian ports, which guide custom office on lowering the risks of illegalities in exporting and importing goods.

There are four verification channels:

- Green Channel: do not require document and physical checking
  A product selected for the green channel is cleared automatically without any verification;
- Yellow Channel: required document checking
  When selected for the yellow channel, the documentation along with the product is verified by the custom office;
- Red Channel: required document and physical checking
  In the case of selection for the red channel there is, in addition to document verification, the physical verification of the goods. According to ABIMCI, hard wood products are under Red channel control; and
- Grey Channel: Document and physical checking due to suspected fraud in declared values
  Goods selected for the grey channel, a document examination is conducted, in addition to the physical verification of the goods and a special customs control procedure is applied, to verify elements indicative of fraud, including the price declared for the merchandise.

The Brazilian parameterization process is considered one of the most advanced in the world due to its computerization and agility, especially in the red and grey channel, when physical verification of the cargo is done through equipment that photographs and scans the goods without opening the container or package, as stated by the Brazilian Ministry of Foreign Affairs (MFA, 2016).

6.2. Legally Required Documents or Records

6.2.1. Legally Required Documents for Trading Wood and Wood Products

In Brazil, the mechanisms for trading are very demanding, and all parties involved must comply with various legal requirements. The main documents required to export timber products are:

- Export registration – SISCOMEX (Registro de exportação);
- Phytosanitary Certificate of Origin (See Figure 29, in Annex);
- Consolidated Phytosanitary Certificate of Origin (CFOC);
- Shipping Export Declaration (DDE);
- DOF/GF1/GF3 for native species timber
- Custom declaration;
- Bill of sale;
- Packing list;
- Commercial Invoice; and
- Bill of landing.

[40] Interview with Roberto Puppo, ABIMCI, on September 25th, in Curitiba, Brazil.

Table 13 presents information on each document and the issuing authority to comply with legal requirements to export wood and wood products.

Table 13 – Legally required documents for wood and wood products export

Types of Document	Description	Issuing authority
Invoice	This is a commercial document that formalizes a purchase transaction with a foreign company and contains information about the person / institution taking the service, details of the service (s) provided and amounts paid.	Issued by the Seller
Document of Forest Origin - DOF	A declaration of origin of wood and wood products	Issued by the state environmental agency (SEMA) or IBAMA
GF3	A declaration of origin of wood and wood products for the States of Mato Grosso and Pará.	Issued by SEMA.
Exportation Authorization for CITES species	This authorization is needed when the trader want to export timber species listed in CITES Appendix.	Issued by CITES authority (IBAMA)
Official Enrolment at SISCOMEX (Integrated Foreign Trade System)	This system is used to register foreign merchandise transactions such as imports and exports.	Issued by SISCOMEX
Phytosanitary Certificate of Origin – CFO and the Consolidated Phytosanitary Origin Certificate – CFOC	Phytosanitary Certificate of Origin is issued to indicate that consignments of plants, plant products or other regulated articles meet specified phytosanitary import requirements and are in conformity with the certifying statement of the appropriate model certificate.	Issued by local SEMA Notes: it must be submitted by an authorized Forester.
Exportation Shipping declaration	An export declaration is basically a customs form completed and submitted by an exporter at the port. It is meant to serve two major purposes: To provide information on amount, nature and value of exports to the statistical office for compilation of foreign trade data; To serve as an export control document.	Issued by local customs office. Notes: Shipping Declaration (Must include SISCOMEX number).
Sales Agreement (optional)	-	Issued by the seller
Packing List (Romaneio de carga)	Packing list the shipping document that discriminates against all goods shipped or all components of a cargo in how many parts are fractioned. The purpose of the Packing list is to provide detailed information on how the merchandise is presented, in order to facilitate the identification and location of any product within a lot, as well as facilitate the inspection of the merchandise by the	This form is issued by the exporter

Types of Document	Description	Issuing authority
	inspection, both on board and at the landing.	
Bill of Lading (Bill of Lading/ CRT/ AWB/ TIF)	This document is used for shipment of goods. It describes the type and quantity of goods shipped, where the shipper, the consignee, the ports / airports / embarkation and unloading borders, the name of the carrier and the value of the freight are mentioned. This document receives denominations according to the means of transport used.	Issued by the shipping company, shipping company or its shipping agent.

Source: Compiled by STCP (2018)

On the other hand, for importing wood and wood products, according to the IBAMA Normative Instruction nº 21/2014, the importer must register the "Import Declaration (DI)" in the DOF system, the issuance of the Import Document of Forest Origin (DOF), for the transportation of wood and wood products imported from their country. The Import Declaration in the DOF system is only issued for person or a legal entity registered in Federal Technical Registry system (CTF)[41].

IBAMA does not have other specific standard or procedures for the importation of other wood and wood products that are not subject to control according to IBAMA IN nº 21/2014. Therefore, there is no need for prior consent for import of these other products, except in the case of species listed in CITES Appendix I and II, in which it is necessary to issue a CITES license and IBAMA'S consent in SISCOMEX. For the import of species listed in CITES Appendix III, the "Certificate of Origin" or "Export License Cites" of the exporting country to IBAMA is required.

Moreover, for importing wood and wood products it is also required the standard trade documents, such as:

- Import Registration – SISCOMEX (Registro de importação);
- Phytosanitary Certificate of Origin ;
- Consolidated Phytosanitary Certificate of Origin (CFOC);
- Shipping Export Declaration (DDE);
- Custom Declaration;
- Bill of Sale;
- Packing List;
- Commercial Invoice; and
- Bill of Landing.

[41] The Federal Technical Registry of Potentially Polluting Activities and / or Users of Environmental Resources (CTF / APP) are the mandatory registration of individuals and legal entities that carry out activities that are subject to environmental control.

6.2.2. Risks Associated to Trading

According to interview with WWF Brazil[42] and CIPEM[43], there is low risk of illegality associated with process for timber products exports in Brazil.

7. OTHERS ISSUES

7.1. International framework / trade agreement relevant to combatting illegal harvesting and associated trade

The European Union Forest Law Enforcement, Governance and Trade Action Plan – FLEGT process, which addresses illegal logging and its social, economic and environmental harm it causes. FLEGT, started in 2003, includes tropical countries that export wood and wood products to the European Union, with measures such as bilateral trade agreements. Some FLEGT related projects were implemented by Brazil in the past,[44] but the country has not been actively involved in with the FLEGT process, this is due to a tendency in Latin America to engage more in global initiatives rather than local projects such as FLEGT.

The Lacey Act is another important initiative in addressing issues of illegal logging. This Act establishes a series of constraints regarding the entry of imported wood into the United States. The trading of illegal timber is totally banned in the US under the Lacey Act. In 2008, the Act was amended to include trafficked plants, involving trade ban on illegal timber. The amended act requires buyers to file “Lacey Declarations”, specifying the scientific name, quantity, value and country of origin of imported timber. The Act explicitly bans trade in timber that was acquired in any manner that violated an underlying US, foreign or international law. As an example of its application, the Act prohibits all trade of plants and plants products, such as furniture, paper and wood from illegal sources.

Brazil is a great exporter of wood products to the United States; therefore, companies should comply with the Lacey Act. Since Brazil is often seen as a country with the systemic flaws in the timber regulatory system, so exporters should pay attention to entirely comply with the domestic regulations and export measures. The company interviewed in Brazil mentioned that it assures compliance with the Lacey Act; however, the company stated that it is harder to comply with the Lacey Act than with EU Timber Regulation (EUTR).[45]

Brazil has taken other initiatives to promote legal timber. The country was the host of the 2016 Olympic Games, where all wood and wood products used to build Soccer Stadiums and other facilities was FSC certified.[46]

7.2. Voluntary Schemes on Legality / sustainability of wood and wood products

Brazil counts with different voluntary schemes to promote timber legality. The most well-known are the FSC and CERFLOR.

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[42] Interview with Ricardo Russo, WWF Brazil, on September 27th, 2018, in Brasilia.

[43] Interview with Rafael Mason, CIPEM, on September 28th, 2018, in Cuiaba, Brazil.

[44] One of the projects encouraged by FLEGT in Brazil was the Responsible Timber Exchange by BVRio (http://www.bvrio.org/static/madeira.html?/)

[45] Interview with Douglas Antônio Granemann, Triângulo Pisos e Painéis Ltda., on September 24th, 2918, in Curitiba, Brazil.

[46] Interview with Aline Bernardes and Fernanda Pereira, FSC Brazil, on September 25th, 2018, in São Paulo, Brazil.

FSC has developed standards for Brazil's natural forest and for plantation forests. There is also the so-called SLIMF-standard (Small and low intensity managed forests) under FSC scheme, which should be used in timber & non-timber forest management certification audits, and was developed to meet the certification for forest management in small scale and of low intensity in native forests of the Brazilian Amazon.

Another important voluntary scheme is Forest Certification (CERFLR). The CERFLOR certificate is a Brazilian forest certification initiative, launched in August 2002 that became a national standard by Brazilian Technical Standards Association (ABNT)[47]. All types of forest operations are, regardless of scale, eligible for certification, including: private, governmental or community entities, native and planted forests, individually or in groups of small landowners. The system is endorsed by Program for the Endorsement of Forest Certification - PEFC. For statistical data on FSC and CERFLOR verify item 1.1.

Moreover, Brazil has another voluntary scheme named the Legal Harvest standard, recognized by the Brazilian Government. This standard was developed by a private firm "SCS Global Services", based on expertise in wood product legality verification, forest management and chain of custody. It integrates aspects of wood product legality requirements from around the world into one standard, to assure a company has the documentation and evidence needed to uphold the traceability and legality of timber sourcing. Three companies[48] in Brazil hold a SCS Legal Harvest certificate.

Finally, wood products companies can apply for the CE Marking certification. The CE mark is a European mark of conformity of a product in accordance with the technical requirements of the European Community. It declares that the manufacturer complies with the requirements of the European standard (EN - European norms) for the products. The Brazilian Association for Mechanically Processed Timber Industry (ABIMCI) supports companies[49] in acquiring this certification by assisting prospective companies to acquire the certification with documentation and communication with the European Certifier. ABIMCI also counts with a technical department only dedicated to activities related to CE certification to associated members.

[47] ABNT is private and non-profit entity, ABNT is a founding member of the International Organization for Standardization and recognized by the Brazilian Federal Government.

[48] SIPASA – Seringa Industrial, Pampa Exportações and Golf Indústria Comércio e Exportação de Madeira. Link: https://www.scsglobalservices.com/certified-clients/responsible-forestry-certificates

[49] http://www.abimci.com.br/empresas/

8. INTERVIEWS/FIELD SURVEY

A field survey was carried in Brazil over the period September 24-28, 2018. The summary of interviews is presented in Table 14 describing date and time, name of interviewees and corresponding positions, organizational name, and the main topics of the interviews.

Table 14 – Result of interviews and field survey

Date and time	Name of interviewees	Organization	Main topics
Sept. 24 / 9:00	Ivan Tomaselli, President Sofia Hirakuri, Senior Consultant	STCP	• Kickstart meeting for interviews in Brazil; • Objective of the project; • Report structure; • Report discussion; • Field visit to Itaperuçu.
Sept. 24 / 13:00	Luciano B. Schaaf, Forest Engineer	AMATA	• Forestry operation of Amata; • Natural forests, management, licensing processes, transport; • Plantation forests, management, transport, required documents; • Land use monitoring system – Cadastro Ambiental Rural (CAR); • AMATA´S Export, FSC certification; • Field visit to Eucalyptus plantation area.
Sept. 25 / 8:30	Douglas Antônio Granemann, Managing Director	Triângulo Pisos e Painéis LTDA	• Forestry operation of “Triangulo Pisos e Painéis”; • Manoa REDD+ Project and Carbon emission trading (Bank of Brazil and Natura); • Forest management, annual production unit, IBAMA´s inspection procedures; • Transport procedures of timber and forest products; • Export of engineered wood flooring; • FSC and CoC certifications; • Lacey Act and EUTR requirements for export; • Institutional challenges in promoting forest management of natural forests. • Visit to wood flooring factory.
Sept. 25 / 10:30	Paulo Roberto Pupo, Executive Superintendent	ABIMCI – Brazilian Association of Mechanically-Processed Timber Industry	• Overview about ABMICI and its membership; • Environmental e legal requirements; • Export of wood products; • Export market include South Africa, New Zealand, China and Japan (JAS); • Wood products e.g. plywood, film faced plywood, doors, mouldings, others; • Forest certification; wood products quality control (PNQM); Europe BM Trada CE+2; Lacey Act, EUTR • Challenges of hardwood business; • Planted forests responsible for 90% of the timber in Brazilian market; • Illegal timber harvesting timber; • Export procedures, use of parameterization; four verification channels: i) green, ii) yellow, iii) red and iv) grey;

Date and time	Name of interviewees	Organization	Main topics
Sept. 25 / 17:30			• Timber used in the Rio Olympics 2016.
	Aline Bernardes – Executive Director; Fernanda Pereira - Analist;	FSC Brazil	• Overview of FSC certification; • Collaborations with WWF, FOE amazon and EALQ to combat illegal logging; • Certification of non-timber products; • Resource management in indigenous and traditional community areas; • FCS in the Rio Olympics 2016; • Responsible Timber Exchange site developed by BVRio Institute; • CERFLOR / INMETRO (PEFC) certification; • Timber and forest products control by IBAMA, SINAFLOR; • Forest certification trends.
Sept. 26 / 10:00	Claudia de Mello – COMEX Coordinator Marcos Bauch, Environmental Analist	IBAMA – Brazilian Institute of Environment and Renewable Natural Resources	• CITES licensing system; • Online permit system; • Online single document for customs control and integration of CITES permit; • SINAFLOR's control of timber supply chain from sustainable forest management, concession, and land use change and plantation of native species; • Other countries interested in SINAFLOR (Surinam, Guatemala and Costa Rica);DOF system, control of timber supply chain; • Import / export procedures; • Custom control, SISCOMEX.
Sept. 27 / 10:00	Ricardo Russo, Forest Program Coordinator	WWF Brazil	• Overview of WWF´s forest program; • WWF work on protocols of timber legality; • Brazilian supply chain study, focusing on legality and value chain; • There legal risk in exporting timber is smaller than selling in domestic market; • Land tenure related issues; • Legality risks in forest concession, forest plantations, forest management in private forest land; • Timber and wood products control procedures, SINAFLOR, DOF, CAR, others; • WWF´s works in collaboration with CIPEM (Mato Grosso state) and UNIFLORESTA (Pará state).
Sept. 28 / 10:00	Rafael Manson. President; Gleisson Tagliari, Vice president; Mauren Lazzaretti, Attorney	CIPEM – Center for Timber Producers and Exporters of Mato Grosso State	• Overview of CIPEM´s work and its membership; • Forest sector in Mato Grosso state; • System of timber and wood products control, transport - SISFLORA; • Sustainable forest management in Mato Grosso, SFMP, POA; • Timber legality process, reporting and verification;

Date and time	Name of interviewees	Organization	Main topics
Sept. 28 /14:00			• Legal requirements : CAR, Environmental Licenses, harvesting authorization, CC-SEMA, industrial license; • Required documents for forest activities: Timber Harvesting Permits (AUTEX), Sawmill operation licenses and timber transport authorization (DOF or GF's); • Forest certification / Lacey Act. • Export of wood products - International market (EU, US and China).
	André Luís Baby, Secretary of SEMA	SEMA/MT – State Secretariat for the Environment of the State of Mato Grosso	• Overview of the forest sector of Mato Grosso state • Mato Grosso State Policy in reducing illegal logging; • Importance of Private-Public Partnership Program; • New forest control system integrating GF1 and GF3 online by the end of 2018; • State government has no jurisdiction in indigenous territory, only federal (FUNAI and IBAMA); • State verification system has 2 layers: Monitoring by satellite system and document checking (SFM POA); • SEMA´s monitoring stages: prior to logging; accompanying SFMP execution; and after logging; • Mato Grosso state transparency portal; • Mato Grosso and Pará have well-established forest control; • The new version of SISFLORA is being developed and established by the state.

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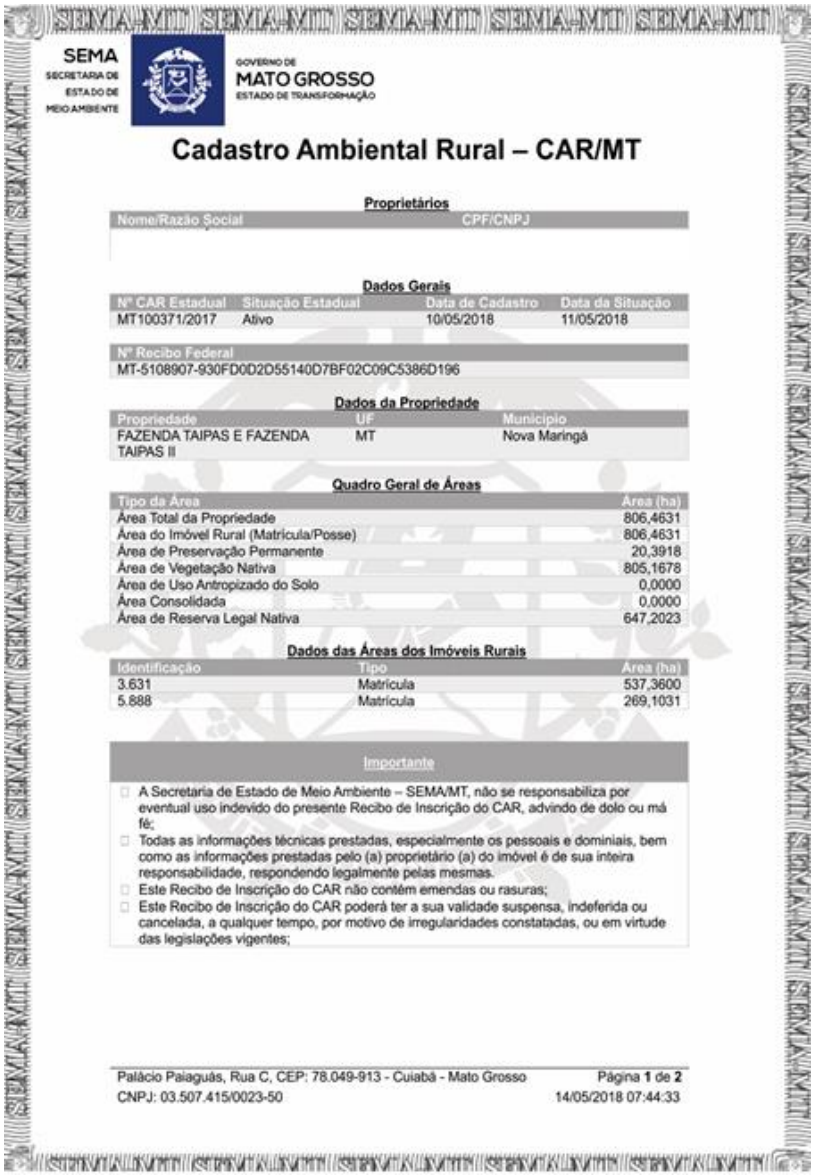
ANNEX

Collected Documents (samples)

- Environmental Rural Registry (CAR)

The Environmental Rural Registry (CAR) is a national electronic public registry system, mandatory for all rural properties in the country. The document shows information on land owner, number of registry and type of properties, and land title. This document is issued online by the Brazilian Forest Service.

Figure 21 – Environmental Rural Registry (CAR) sample document



SEMA
SECRETARIA DE ESTADO DE MEIO AMBIENTE

GOVERNO DE MATO GROSSO
ESTADO DE TRANSFORMAÇÃO

Cadastro Ambiental Rural – CAR/MT

Proprietários

Nome/Razão Social	CPF/CNPJ

Dados Gerais

Nº CAR Estadual	Situação Estadual	Data de Cadastro	Data da Situação
MT100371/2017	Ativo	10/05/2018	11/05/2018

Nº Recibo Federal
MT-5108907-930FD0D2D55140D7BF02C09C5386D196

Dados da Propriedade

Propriedade	UF	Município
FAZENDA TAIPAS E FAZENDA TAIPAS II	MT	Nova Maringá

Quadro Geral de Áreas

Tipo da Área	Área (ha)
Área Total da Propriedade	806,4631
Área do Imóvel Rural (Matrícula/Posse)	806,4631
Área de Preservação Permanente	20,3918
Área de Vegetação Nativa	805,1678
Área de Uso Antropizado do Solo	0,0000
Área Consolidada	0,0000
Área de Reserva Legal Nativa	647,2023

Dados das Áreas dos Imóveis Rurais

Identificação	Tipo	Área (ha)
3.631	Matrícula	537,3600
5.888	Matrícula	269,1031

Importante

- A Secretaria de Estado de Meio Ambiente – SEMA/MT, não se responsabiliza por eventual uso indevido do presente Recibo de Inscrição do CAR, advindo de dolo ou má fé;
- Todas as informações técnicas prestadas, especialmente os pessoais e dominiais, bem como as informações prestadas pelo (a) proprietário (a) do imóvel é de sua inteira responsabilidade, respondendo legalmente pelas mesmas.
- Este Recibo de Inscrição do CAR não contém emendas ou rasuras;
- Este Recibo de Inscrição do CAR poderá ter a sua validade suspensa, indeferida ou cancelada, a qualquer tempo, por motivo de irregularidades constatadas, ou em virtude das legislações vigentes;

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CNPJ: 03.507.415/0023-50 — 14/05/2018 07:44:33

- Forest Harvesting Authorization (AUTEF)

The Forest Harvesting Authorization (AUTEF) is the document issued by the State Secretariat of Environment and Sustainability of Pará (SEMAS/PA), which authorizes the beginning of the operation of the Annual Production Unit - UPA, of the year to which it refers, and specifies the maximum volume per species and total volume allowed for logging, with the harvest authorization validity. AUTEF is used in the Pará state, and the remaining states use the document called Harvesting Authorization (AUTEX).

Figure 22 – Forest Harvesting Authorization – AUTEF sample document

GOVERNO DO ESTADO DO PARÁ
SECRETARIA DE ESTADO DE MEIO AMBIENTE - SEMA/PA

Autorização para Exploração Florestal

AUTEF Nº: 6978/2014	VALIDADE ATÉ: 21/10/2015
Protocolo Nº: 2014/0000017564 *Data do protocolo: 16/06/2014*	*Cadastro Ambiental Rural Nº: Sem Informação* *Licença Atividade Rural Nº: 2155/2012*

RESPONSÁVEL TÉCNICO:

Engenheiro florestal: [illegible] *CREA:* [illegible]

DADOS DO PROPRIETÁRIO E DO IMÓVEL:

PROPRIETÁRIO: Governo do Estado do Pará e outros
CPF/CNPJ: [illegible]

DETENTOR: [illegible]
CPF/CNPJ: [illegible]

IMÓVEL: AMAZONIA FLORESTAL
MUNICÍPIO: Aveiro
COORDENADAS GEOGRÁFICAS: DATUM: SAD69 - W: 56:06:02,37 - S: 03:38:46,69
PORTE: E - II

Área Total da propriedade:	85.417,9100 ha	*Área de Reserva Legal:*	85.417,9100 ha
Área Total do MFS:	81.147,0145 ha	*Área Antropizada:*	132,5053 ha
APP da UPA:	66,0213 ha	*Área Autorizada:*	1.850,7294 ha *(UPA/2014)*

TIPOLOGIA LICENCIADA:

2611-1 - Unidade de Produção Anual

ÁREA LÍQUIDA AUTORIZADA:

1.652[illegible] ha *(UPA/2014)*

QUANTIFICAÇÃO AUTORIZADA (Lista detalhada por essência no Anexo I)

PRODUTO	Indivíduos	Qtd. por ha	Qtd. total	UNIDADE
Toras de Madeira Nativa	5435	25,4251	42.008,1896	m3

LOCAL E DATA: Belém - PA, 21 de outubro de 2014

[illegible] Chaves
Diretoria de Gestão Florestal - DGFLOR

Coordenadoria de Gestão Florestal - COGEF

APENAS VISUALIZAÇÃO

IMPORTANTE

- A presente Autorização [illegible] estrito limite de execução da atividade constante do Projeto, não produzindo direitos reais imobiliários, possessórios ou dominiais sobre o imóvel objeto da mesma, e nem com efeitos sobre terceiros;
- O uso irregular desta autorização implicará na sua cassação, bem como nas sanções previstas na Legislação vigente;
- Esta autorização não contém emendas ou rasuras;
- Cópia autenticada desta autorização deve ser mantida no local da exploração para efeito de fiscalização;
- Os dados técnicos de exploração no plano são de inteira responsabilidade do Engenheiro responsável pela elaboração do PMFS;
- A utilização, consumo e transporte da matéria-prima desta autorização estarão desobrigados da reposição florestal, nos moldes da Legislação vigente;
- Dar cumprimento as condicionantes constantes no verso deste documento (Anexo II).

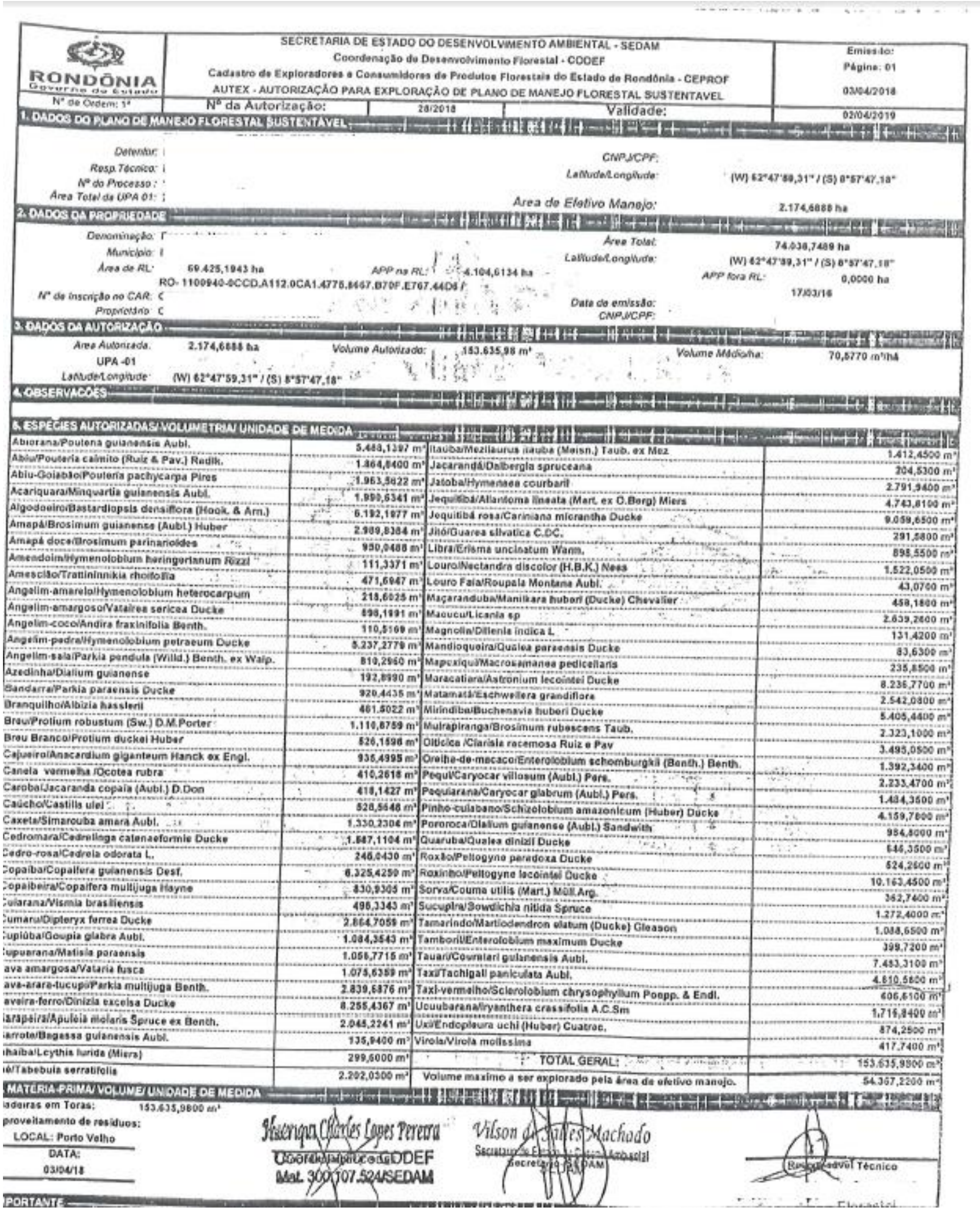
Quadro de Nomenclatura - Áreas da Legenda na Carta-Imagem:

DENOMINAÇÃO	NOMENCLATURA	DENOMINAÇÃO	NOMENCLATURA
Área da Propriedade Rural Total	APRT	Área de Reserva Legal	ARL
Área de Reserva Legal Compensada	ARLC	Área de Reserva Legal Degradada	ARLD
Área Desmatada – conversão de solo	ADS	Área a ser Explorada pelo Projeto de Exploração Florestal - PEF	AEP
Área com Exploração Florestal – Corte Seletivo	AEF	Área do Plano de Manejo Florestal Sustentável - PMFS	AMF
Área de Preservação Permanente	APP	Área de Preservação Permanente em Área com Exploração Florestal	APPEF
Área de Preservação Permanente Degradada	APPD	Área de Preservação Permanente em Reserva Legal	APPRL
Área de Preservação Permanente em Área a ser Manejada – do PMFS	APPMF	Área Comunitária em Assentamentos Rurais	ACAR

- Forest Harvesting Authorization (AUTEX)

The Harvesting Authorization (AUTEX) is a document issued by the competent authority (SEMA) that authorizes the logging foreseen in the POA, discriminating the species and their respective volumes to be logged. It also shows harvest authorization validity. AUTEX is valid for all states, except Pará state that uses AUTEF, as mentioned above.

Figure 23 – Forest Harvesting Authorization (AUTEX) sample document



RONDÔNIA
Governo do Estado

SECRETARIA DE ESTADO DO DESENVOLVIMENTO AMBIENTAL - SEDAM
Coordenação de Desenvolvimento Florestal - CODEF
Cadastro de Exploradores e Consumidores de Produtos Florestais do Estado de Rondônia - CEPROF
AUTEX - AUTORIZAÇÃO PARA EXPLORAÇÃO DE PLANO DE MANEJO FLORESTAL SUSTENTAVEL

Emissão: 03/04/2018
Página: 01

Nº de Ordem: 1º
Nº da Autorização: 28/2018
Validade: 02/04/2019

1. DADOS DO PLANO DE MANEJO FLORESTAL SUSTENTÁVEL

Detentor:
Resp. Técnico:
Nº do Processo:
Área Total da UPA 01:
CNPJ/CPF:
Latitude/Longitude: (W) 62°47'59,31" / (S) 8°57'47,18"
Área de Efetivo Manejo: 2.174,6888 ha

2. DADOS DA PROPRIEDADE

Denominação:
Município:
Área de RL: 69.425,1943 ha
APP na RL: 4.104,6134 ha
Área Total: 74.038,7489 ha
Latitude/Longitude: (W) 62°47'59,31" / (S) 8°57'47,18"
APP fora RL: 0,0000 ha
Nº de inscrição no CAR: RO- 1100940-0CCD.A112.0CA1.4775.8467.B70F.E767.44D6
Data de emissão: 17/03/16
Proprietário:
CNPJ/CPF:

3. DADOS DA AUTORIZAÇÃO

Área Autorizada: 2.174,6888 ha
UPA -01
Latitude/Longitude: (W) 62°47'59,31" / (S) 8°57'47,18"
Volume Autorizado: 153.635,98 m^3
Volume Médio/ha: 70,6770 m^3/ha

4. OBSERVAÇÕES

5. ESPÉCIES AUTORIZADAS/ VOLUMETRIA/ UNIDADE DE MEDIDA

Abiorana/Poutena guianensis Aubl.	5.488,1397 m^3	Itaúba/Mezilaurus itauba (Meisn.) Taub. ex Mez	1.412,4500 m^3
Abiu/Pouteria caimito (Ruiz & Pav.) Radlk.	1.864,8400 m^3	Jacarandá/Dalbergia spruceana	204,5300 m^3
Abiu-Goiabão/Pouteria pachycarpa Pires	1.963,5622 m^3	Jatoba/Hymenaea courbaril	2.791,9400 m^3
Acariquara/Minquartia guianensis Aubl.	1.990,6341 m^3	Jequitibá/Allantoma lineata (Mart. ex O.Berg) Miers	4.743,8100 m^3
Algodoeiro/Bastardiopsis densiflora (Hook. & Arn.)	6.192,1977 m^3	Jequitibá rosa/Cariniana micrantha Ducke	9.059,6500 m^3
Amapá/Brosimum guianense (Aubl.) Huber	2.989,8384 m^3	Jitó/Guarea silvatica C.DC.	291,5800 m^3
Amapá doce/Brosimum parinarioides	950,0488 m^3	Libra/Erisma uncinatum Warm.	898,5500 m^3
Amendoim/Hymenolobium heringerianum Rizzi	111,3371 m^3	Louro/Nectandra discolor (H.B.K.) Nees	1.522,0500 m^3
Amescião/Trattininnikia rhoifolia	471,6947 m^3	Louro Faia/Roupala Montana Aubl.	43,0700 m^3
Angelim-amarelo/Hymenolobium heterocarpum	218,6025 m^3	Maçaranduba/Manilkara huberi (Ducke) Chevalier	458,1800 m^3
Angelim-amargoso/Vatairea sericea Ducke	898,1991 m^3	Macucu/Licania sp	2.639,2800 m^3
Angelim-coco/Andira fraxinifolia Benth.	110,5169 m^3	Magnolia/Dillenia indica L.	131,4200 m^3
Angelim-pedra/Hymenolobium petraeum Ducke	5.237,2779 m^3	Mandioqueira/Qualea paraensis Ducke	83,6300 m^3
Angelim-saia/Parkia pendula (Willd.) Benth. ex Walp.	810,2960 m^3	Mapexiqui/Macrosamanea pedicellaris	235,8500 m^3
Azedinha/Dialium guianense	192,8990 m^3	Maracatiara/Astronium lecointei Ducke	8.236,7700 m^3
Bandarra/Parkia paraensis Ducke	920,4435 m^3	Matamatá/Eschweilera grandiflora	2.542,0800 m^3
Branquilho/Albizia hasslerii	461,5022 m^3	Mirindiba/Buchenavia huberi Ducke	5.405,4400 m^3
Breu/Protium robustum (Sw.) D.M.Porter	1.110,8759 m^3	Muirapiranga/Brosimum rubescens Taub.	2.323,1000 m^3
Breu Branco/Protium duckei Huber	526,1596 m^3	Oiticica /Clarisia racemosa Ruiz e Pav	3.495,0500 m^3
Cajueiro/Anacardium giganteum Hanck ex Engl.	935,4995 m^3	Orelha-de-macaco/Enterolobium schomburgkii (Benth.) Benth.	1.392,3400 m^3
Canela vermelha /Ocotea rubra	410,2618 m^3	Pequi/Caryocar villosum (Aubl.) Pers.	2.233,4700 m^3
Caroba/Jacaranda copaia (Aubl.) D.Don	418,1427 m^3	Pequiarana/Caryocar glabrum (Aubl.) Pers.	1.484,3500 m^3
Caúcho/Castilla ulei	528,5646 m^3	Pinho-cuiabano/Schizolobium amazonicum (Huber) Ducke	4.159,7800 m^3
Caxeta/Simarouba amara Aubl.	1.330,2304 m^3	Pororoca/Dialium guianense (Aubl.) Sandwith	954,8000 m^3
Cedromara/Cedrelinga catenaeformis Ducke	1.887,1104 m^3	Quaruba/Qualea dinizii Ducke	646,3500 m^3
Cedro-rosa/Cedrela odorata L.	246,0430 m^3	Roxão/Peltogyne paradoxa Ducke	524,2600 m^3
Copaiba/Copaifera guianensis Desf.	6.325,4250 m^3	Roxinho/Peltogyne lecointei Ducke	10.163,4500 m^3
Copaibeira/Copaifera multijuga Hayne	830,9305 m^3	Sorva/Couma utilis (Mart.) Müll.Arg.	362,7400 m^3
uiarana/Vismia brasiliensis	496,3343 m^3	Sucupira/Sowdichia nitida Spruce	1.272,4000 m^3
umaru/Dipteryx ferrea Ducke	2.864,7059 m^3	Tamarindo/Martiodendron elatum (Ducke) Gleason	1.088,6500 m^3
upiúba/Goupia glabra Aubl.	1.084,3543 m^3	Tamboril/Enterolobium maximum Ducke	399,7200 m^3
upuarana/Matisia paraensis	1.056,7715 m^3	Tauari/Couratari guianensis Aubl.	7.483,3100 m^3
ava amargosa/Vataria fusca	1.075,6359 m^3	Taxi/Tachigali paniculata Aubl.	4.810,5800 m^3
ava-arara-tucupi/Parkia multijuga Benth.	2.839,6876 m^3	Taxi-vermelho/Sclerolobium chrysophyllum Poepp. & Endl.	606,6100 m^3
aveira-ferro/Dinizia excelsa Ducke	8.255,4367 m^3	Ucuubarana/Iryanthera crassifolia A.C.Sm	1.716,8400 m^3
arapeira/Apuleia molaris Spruce ex Benth.	2.045,2241 m^3	Uxi/Endopleura uchi (Huber) Cuatrec.	874,2500 m^3
arrote/Bagassa guianensis Aubl.	135,9400 m^3	Virola/Virola mollissima	417,7400 m^3
haiba/Lecythis lurida (Miers)	299,6000 m^3	TOTAL GERAL:	153.635,9800 m^3
é/Tabebuia serratifolia	2.202,0300 m^3	Volume maximo a ser explorado pela área de efetivo manejo.	54.367,2200 m^3

MATÉRIA-PRIMA/ VOLUME/ UNIDADE DE MEDIDA

adeiras em Toras: 153.635,9800 m^3
proveitamento de resíduos:
LOCAL: Porto Velho
DATA: 03/04/18

Coordenação CODEF
Mat. 300107.524/SEDAM

Vilson de Salles Machado
Secretário SEDAM

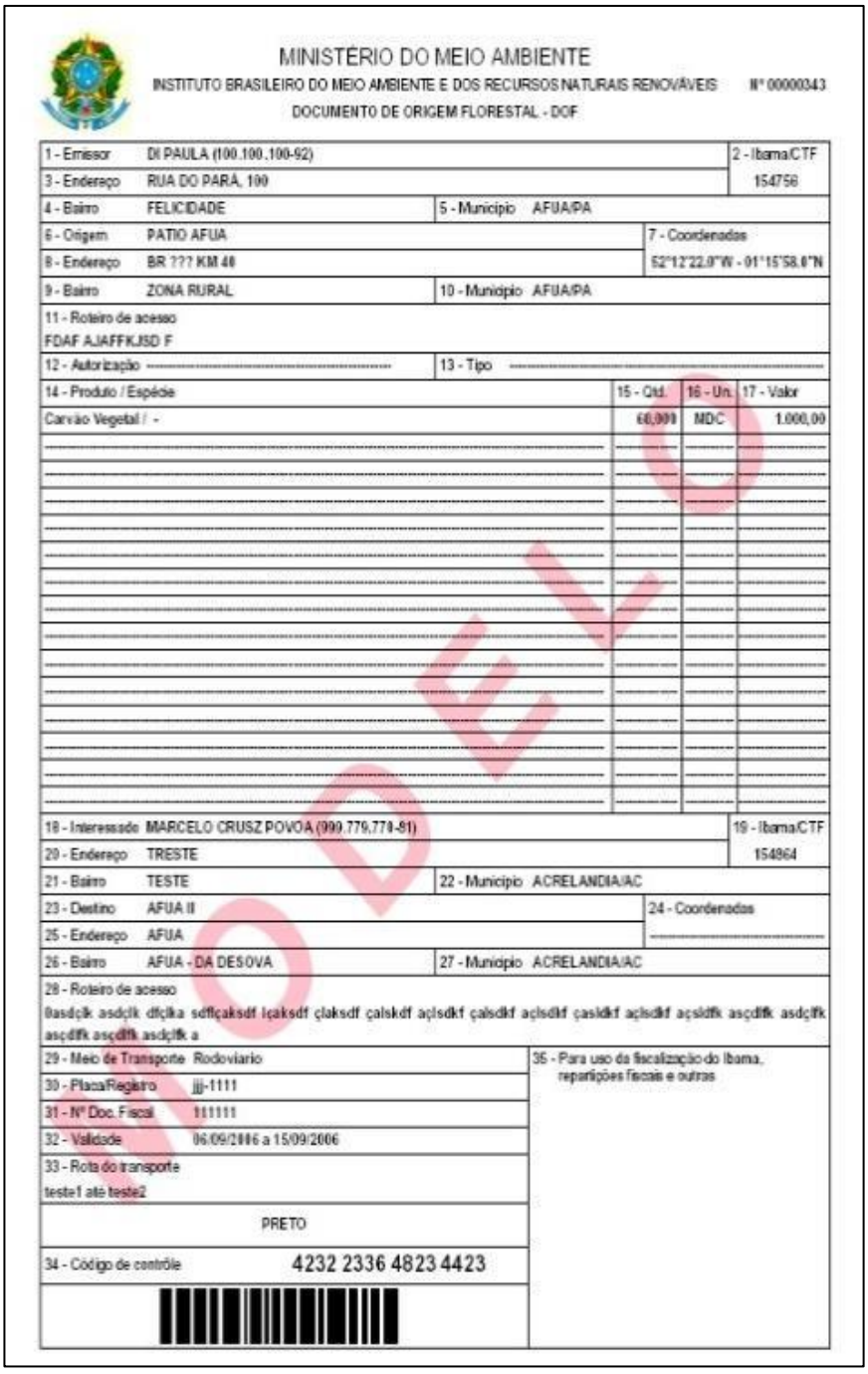
Responsável Técnico

PORTANTE

- Forest Origin Document (DOF)

The Forest Origin Document (DOF) is used for transportation of wood and wood products, in all states, except in the states of Pará and Mato Grosso that uses another document called Forest Guide (Guia Florestal - GF). DOF contains information, such as name of the company, address, route, authorization number, products and volume.

Figure 24 – Forest Origin Document (DOF) sample document



MINISTÉRIO DO MEIO AMBIENTE

INSTITUTO BRASILEIRO DO MEIO AMBIENTE E DOS RECURSOS NATURAIS RENOVÁVEIS Nº 00000343

DOCUMENTO DE ORIGEM FLORESTAL - DOF

1 - Emissor	DI PAULA (100.100.100-92)		2 - Ibama/CTF 154756
3 - Endereço	RUA DO PARÁ, 100		
4 - Bairro	FELICIDADE	5 - Município AFUA/PA	
6 - Origem	PATIO AFUA	7 - Coordenadas	
8 - Endereço	BR ??? KM 40	52°12'22.0"W - 01°15'58.6"N	
9 - Bairro	ZONA RURAL	10 - Município AFUA/PA	
11 - Roteiro de acesso FDAF AJAFFKJSD F			
12 - Autorização ----------		13 - Tipo ----------	

14 - Produto / Espécie	15 - Qtd.	16 - Un.	17 - Valor
Carvão Vegetal / -	60,000	MDC	1.000,00

18 - Interessado	MARCELO CRUSZ POVOA (999.779.771-81)		19 - Ibama/CTF 154864
20 - Endereço	TRESTE		
21 - Bairro	TESTE	22 - Município ACRELANDIA/AC	
23 - Destino	AFUA II	24 - Coordenadas	
25 - Endereço	AFUA	----------	
26 - Bairro	AFUA - DA DESOVA	27 - Município ACRELANDIA/AC	
28 - Roteiro de acesso 0asdçlk asdçlk dfçlka sdflçaksdf lçaksdf çlaksdf çalskdf açlsdkf çalsdkf açlsdlf çasldkf açlsdlf açsldfk asçdflk asdçlfk asçdflk asçdflk asdçlfk a			
29 - Meio de Transporte Rodoviario		35 - Para uso da fiscalização do Ibama, repartições fiscais e outras	
30 - Placa/Registro jjj-1111			
31 - Nº Doc. Fiscal 111111			
32 - Validade 06/09/2006 a 15/09/2006			
33 - Rota do transporte teste1 até teste2			
PRETO			
34 - Código de controle 4232 2336 4823 4423			

- CITES Permit

CITES Permit contains information of the exporter and importer, purpose of transaction, authorized permit types (import, export, re-export, or other), transportation data, location of timber species, purpose of transaction, scientific and common name of timber species, volume, products (quantity), country of origin, country data on re-export, validity date. The permit or certificate is only valid for one shipment and is issued by IBAMA.

Figure 25 – CITES Permit sample document

REPÚBLICA FEDERATIVA DO BRASIL
MINISTÉRIO DO MEIO AMBIENTE - MMA
INSTITUTO BRASILEIRO DO MEIO AMBIENTE
E DOS RECURSOS NATURAIS
RENOVÁVEIS - IBAMA

CONVENÇÃO SOBRE O COMÉRCIO INTERNACIONAL DE ESPÉCIES DA FLORA E FAUNA SELVAGEM EM PERIGO DE EXTINÇÃO

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

1) Pag. Nº 1/4
2) Data Emissão/Issuing Date:
3) Válido Até/Valid Until:

4) Licença nº/Permit nº:
6) Selo nº/Stamp nº:
8) Controle/Check *:
7) Selo/Stamp
9) Autoridade Adm. Emitente/Issuing Management Authority
5) Licença de/Permit for
Exportação
Assinatura/Signature

10) Importador/Importer
Joerg Frehsonke
Bergscheinweg 6
Neukirchen-Vluyn - 47506
fone: -
Alemanha - DE

11) Exportador(Re-exportador)/Exporter(Re-exporter)
Floralis Orquidarios Reunidos Ltda.
Estrada da Floralis, 592
NITEROI - 24140216
fone: 02126277733 - florbra@alglobal.net
Brasil - BR

12) País Importador/Country of Import
Alemanha - DE

13) País Exportador(Re-exportador)/Country of Export(Re-export)
Brasil - BR

14) Objetivo da Operação/Purpose of the transaction
T - Commercial/Trade/Fins comerciais...

15) Condições Especiais/Special Conditions
For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport and preparation for shipment of live wild animals and plants or, in the case of air transport, to the IATA Live Animals Regulations

16) Dados do Transporte/Transportation Data
Local/Place: DRF/Niterói
Data Provável/Probable Date: 01/09/2022

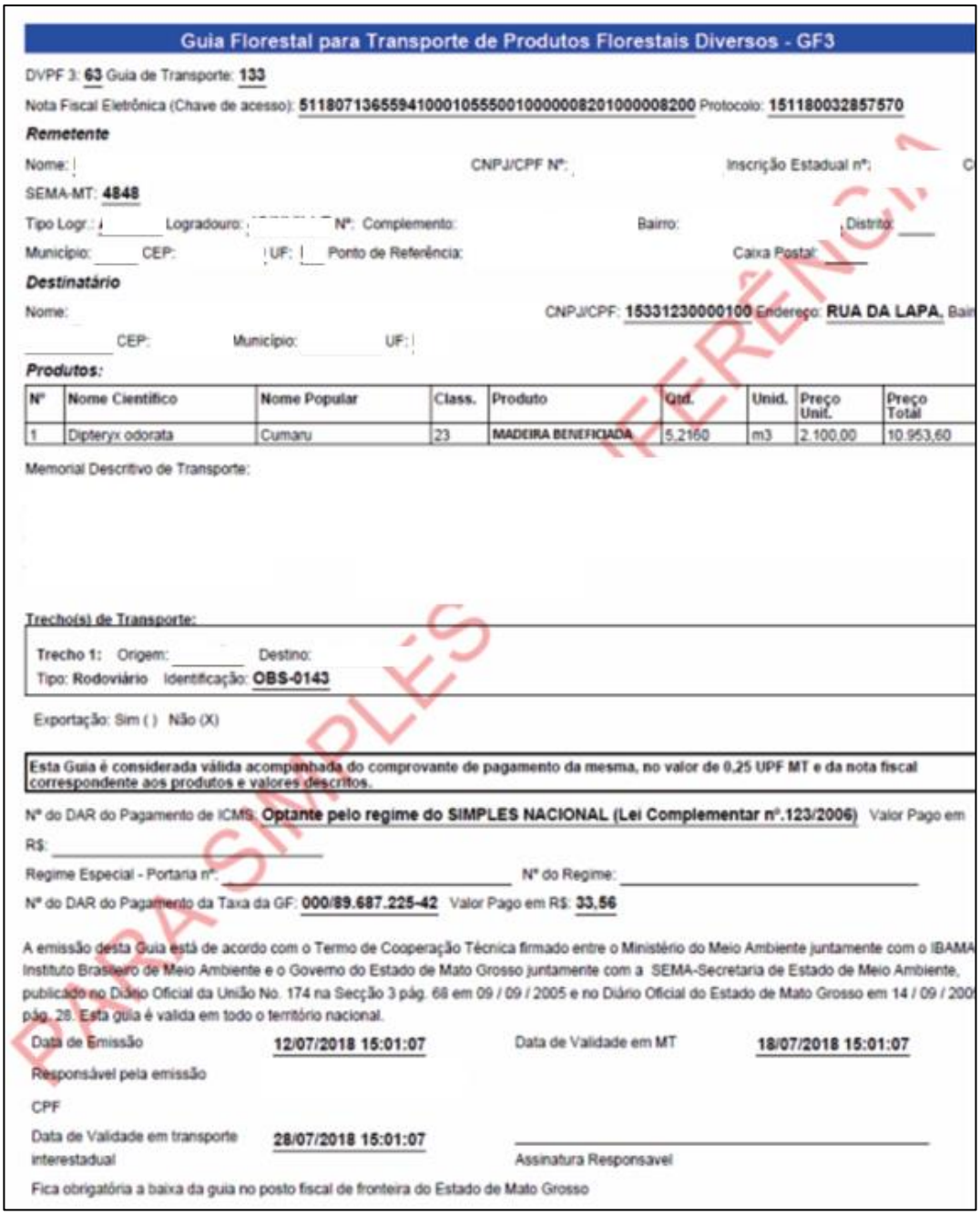
ESTA LICENÇA É VÁLIDA SOMENTE PARA UMA OPERAÇÃO/
THIS PERMIT OR CERTIFICATE IS ONLY VALID FOR ONE SHIPMENT.

17) Item		18) Produto/Produot	19) Quantidade-Unidade Medida/Quantity Unit
20) Espécie: nome científico / nome vulgar / Species: scientific name / common name	21) Anexo/Origem / Appendix/Source	22) Descrição: Parte / Quantidade-Unidade-Marcação / Description: Part / Quantity-Unit-Mark	23) Cód. País de Origem-Comprovante-Data / Country of Origin-Permit-Date 24) Cód. País de reexportador-Certificado-Data / Country reexportation-Certificate-Date
17) I		18) PLANTA VIVA/ALIVE PLANT	19) - - 807.00 UN - -
20) 1. Cattleya warneri Orquídea Orchid	21) II | A	22) planta viva/alive plant 20.00 UN -	23) - - 24) - -
20) 2. Cattleya harrisoniae Orquídea Orchid	21) II | A	22) planta viva/alive plant 5.00 UN -	23) - - 24) - -
20) 3. Cattleya percivaliana Orquídea Orchid	21) II | A	22) planta viva/alive plant 10.00 UN -	23) - - 24) - -
20) 4. Cattleya warneri(2)	21)	22) planta viva/alive plant	23) - -

- Forest Guide 3 (GF3)

The document Forest Guide 3 (GF3) is issued by SEMA in the States of Pará and Mato Grosso. It contains information such as basic information of the seller and buyer, scientific and common name of timber species, product, volume, price, and transport route. GF3 is issued to control processed wood products transportation.

Figure 26 – Forest Guide 3 (GF3) sample document



Guia Florestal para Transporte de Produtos Florestais Diversos - GF3

DVPF 3: 63 Guia de Transporte: 133

Nota Fiscal Eletrônica (Chave de acesso): 51180713655941000105550010000008201000008200 Protocolo: 151180032857570

Remetente

Nome: CNPJ/CPF Nº: Inscrição Estadual nº:

SEMA-MT: 4848

Tipo Logr.: Logradouro: Nº: Complemento: Bairro: Distrito:

Município: CEP: UF: Ponto de Referência: Caixa Postal:

Destinatário

Nome: CNPJ/CPF: 15331230000100 Endereço: RUA DA LAPA, Bair

CEP: Município: UF:

Produtos:

Nº	Nome Científico	Nome Popular	Class.	Produto	Qtd.	Unid.	Preço Unit.	Preço Total
1	Dipteryx odorata	Cumaru	23	MADEIRA BENEFICIADA	5,2160	m3	2.100,00	10.953,60

Memorial Descritivo de Transporte:

Trecho(s) de Transporte:

Trecho 1: Origem: Destino:

Tipo: Rodoviário Identificação: OBS-0143

Exportação: Sim ( ) Não (X)

Esta Guia é considerada válida acompanhada do comprovante de pagamento da mesma, no valor de 0,25 UPF MT e da nota fiscal correspondente aos produtos e valores descritos.

Nº do DAR do Pagamento de ICMS: Optante pelo regime do SIMPLES NACIONAL (Lei Complementar nº.123/2006) Valor Pago em R$:

Regime Especial - Portaria nº: Nº do Regime:

Nº do DAR do Pagamento da Taxa da GF: 000/89.687.225-42 Valor Pago em R$: 33,56

A emissão desta Guia está de acordo com o Termo de Cooperação Técnica firmado entre o Ministério do Meio Ambiente juntamente com o IBAMA Instituto Brasileiro de Meio Ambiente e o Governo do Estado de Mato Grosso juntamente com a SEMA-Secretaria de Estado de Meio Ambiente, publicado no Diário Oficial da União No. 174 na Secção 3 pág. 68 em 09 / 09 / 2005 e no Diário Oficial do Estado de Mato Grosso em 14 / 09 / 200 pág. 28. Esta guia é valida em todo o território nacional.

Data de Emissão 12/07/2018 15:01:07 Data de Validade em MT 18/07/2018 15:01:07

Responsável pela emissão

CPF

Data de Validade em transporte interestadual 28/07/2018 15:01:07

Assinatura Responsavel

Fica obrigatória a baixa da guia no posto fiscal de fronteira do Estado de Mato Grosso

- Forest Guide 1 (GF1)

This document is the Forest Guide 1 (GF1) issued by SEMA in the States of Pará and Mato Grosso. Forest Guide (GF1) carries information such as basic information of the seller and buyer, scientific and common name of timber species, origin (SFMP number), product, volume, price and transport route. This document is issued for log transportation.

Figure 27 – Forest Guide 1 (GF1) sample document


Guia Florestal para Transporte de Madeira em Toras - GF 1

Remetente

Destinatário

CEPROF-PA

OUTEIRO

Espécie e seus correspondentes volumes:

Nº	Nome Científico	Nome Popular	Class.	Produto	Quantidade	Unid.	Preço Unitário	Preço Total

Assinatura Responsável

PARA SIMPLES CONFERÊNCIA

- Operation License

The Operation License is required for timber industry. It presents information such as number of the process, location, company name and address, activity licensed for, main activity, validity date. This document is issued by SEMA in each State.

Figure 28 – Operation License sample document

SEMA / MT SEMA / MT SEMA / MT

Governo do Estado de Mato Grosso
Secretaria de Estado do Meio Ambiente - SEMA/MT

Superintendência de Infraestrutura, Mineração, Indústria e Serviços - SUIMIS

Licença de Operação

LO Nº: | **VÁLIDA ATÉ:** 07/07/2020

PROCESSO Nº: | **DATA DE PROTOCOLO:** 16/12/2011

A **SECRETARIA DE ESTADO DO MEIO AMBIENTE-SEMA**, no uso de suas atribuições que lhe são conferidas pela Lei Complementar nº 38 de 21 de Novembro de 1.995 e alterada pela Lei Complementar nº 232 de 21 de Dezembro de 2005, que dispõe sobre o Código Ambiental de Mato Grosso, concede a presente licença.

DENOMINAÇÃO DA PROPRIEDADE OU EMPREENDIMENTO

ATIVIDADE LICENCIADA:
Serrarias com desdobramento, beneficiamento e Fabricação de madeira laminada e de chapas de madeira compensada, prensada ou aglomerada - RENOVAÇÃO

LOCALIZAÇÃO: | **MUNICÍPIO:** | **CEP:** 78.320-000

NOME / RAZÃO SOCIAL DO INTERESSADO

CNPJ/CPF: 12.475.052/0001-01 **INSC. ESTADUAL:** 013.399.323-0

ATIVIDADE PRINCIPAL:
Serrarias com desdobramento de madeira

RESTRIÇÕES:
"As contidas neste processo de licenciamento ou na legislação em vigor. É obrigatória a manutenção do parecer técnico no local da atividade licenciada juntamente com a licença emitida, bem como a comprovação do cumprimento das condicionantes e solicitações existentes, caso haja. Salientamos que a Licença Ambiental não dispensa e nem substitui Alvará ou Certidão de qualquer natureza exigida pela Legislação Federal, Estadual e Municipal."

DOCUMENTOS ANEXOS E CONDIÇOES GERAIS DE VALIDADE DESTA LICENÇA:
- Conforme Parecer Técnico nº: 109104 / SUIRAT / 2017

LOCAL E DATA	Coordenador de Indústria	Superintendência de Infraestrutura, Mineração, Indústria e Serviços
Cuiabá - MT 23/06/2017		

Obs: Esta Licença Ambiental deve ser afixada em local de fácil acesso e visualização

Rua C, esq. com Rua F - Centro Político Administrativo - Cuiabá / MT
CEP: 78050-970 - Fones: (65) 3613-7200
www.sema.mt.gov.br

SIMLAM

- Phytosanitary Certificate of Origin

The Phytosanitary Certificate presents information such as product origin, company information, production data, phytosanitary treatment and credentials of the technician responsible for issuing the certificate. This document is issued by SEMA in all States of Brazil.

Figure 29 – Phytosanitary Certificate of Origin sample document

ORGÃO ESTADUAL DE DEFESA SANITÁRIA VEGETAL							
CERTIFICADO FITOSSANITÁRIO DE ORIGEM - CFO Nº (Numeração alfa-numérica, seqüencial c/ sigla da UF, ano c/ 2 dígitos)							
Origem do produto							
Razão social/ Nome do produtor	Endereço	Município	UF	CNPJ/CPF	Livro de acompanhamento nº	Registro numérico do estabelecimento rural	
Categoria do estabelecimento produtor							
Viveirista ☐	Produtor ☐		Unidade agroextrativista ☐		Campo de material de multiplicação ou propagaçã ☐		
Dados da cultura							
UR	Variedade	Cultura	Quilogramas	Unidades	Estoque estimado	Data da colheita	Destino
Tratamento fitossanitário							
UR	Pragas	Nome científico	Agrotóxico	Ingrediente ativo	Dosagem	Período de carência	Laudo laboratorial
Declaração adicional							
Este certificado é válido por ___ dias e será nulo se rasurado. A responsabilidade do emitente é limitada ao período estabelecido e à produção da área acima identificada.							
Dados do responsável técnico							
Nome do RT			Nº da credencial			nº do CREA	
Data							
Assinatura							