

Version 1.0

# Supplier evaluation checklist

Soy from Brazil



COUNTRY SPECIFIC  
TOOLS



This tool has been developed by NEPCon under the project “Responsible Sourcing of Soy, Palm Oil and Cattle” with support from DANIDA, Ministry of Foreign Affairs of Denmark.



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DANIDA, Ministry of Foreign Affairs of Denmark has supported the development of this material, however DANIDA is not responsible for any views or claims presented in this material.

**Supplier Name:**

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**Address:**

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**Material Type:**

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**Material Certification:**

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**Date of evaluation:**

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**Description of evaluation**

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### Document Guidance

Please fill out this form by indicating 'Y' for Yes or 'N' for No or 'N/A' for not applicable for each numbered indicator if the supplier is compliant with the indicator. If 'Y' is indicated, please also tick the 'DOC' column if a copy of the require document has been submitted with this form. For all 'N/A' answers please provide an explanation for why the indicator is not applicable.

The red dot ● next the indicator highlights where there has been an elevated risk detected at the national level for soy in Brazil and thus it is obligatory to fill out and provide more information on the red dotted indicators.

**1. The supplier is compliant with all the relevant laws which applicable to the business, and has records of this.**

- 1.1. The supplier has a valid, non-contested and appropriate land tenure right, that is registered.

**Document required:**

- CCIR (Certificate of Registration of Rural Real Estate - Certificado de Cadastro do Imóvel Rural) (I) <http://www.incra.gov.br/estrutura-fundiaria/regularizacao-fundiaria/cadastro-rural>
- Proof of Registration of the Territorial Institute - Comprovante de Cadastro do Instituto Territorial - ITR (I)
- Certificate of Deed of Entire Content of the Rural Real Estate - Certidão de Matrícula de Inteiro Teor do Imóvel Rural (II) <http://www.registradores.org.br/>
- CNDIR (Negative Certificate for Debots of the Rural Real Estate - Certidão Negativa de Débitos do Imóvel Rural) (III) <http://www.receita.fazenda.gov.br/aplicacoes/atspo/certidao/certinter/niitr.asp>
- CNPJ Card (III) [http://www.receita.fazenda.gov.br/pessoajuridica/cnpj/cnpjreva/cnpjreva\\_solicitacao.asp](http://www.receita.fazenda.gov.br/pessoajuridica/cnpj/cnpjreva/cnpjreva_solicitacao.asp)
- Registered or Notarized Lease, Partnership or Lending Agreement - Contrato de Arrendamento, Parceria ou Comodato Rural Registrado ou com firma reconhecida em cartório (I)
- Rural Environment Registry receipt / record - Protocolo / recibo do Cadastro Ambiental Rural - CAR (IV) - <http://www.car.gov.br/#/>

- 1.2. The supplier has all relevant farm registration and management rights.

**Document required:**

- Transitory authorization of rural activity operation – (Autorização Provisória de Funcionamento de Atividade Rural) - APF <https://monitoramento.sema.mt.gov.br/apfrural/Index.aspx>; AND
- Environmental Commitment Term - Termo de Compromisso Ambiental (TCA); AND/OR
- Restoration of degraded areas projects - PRAD (if available and required per the Brazil Forest Code requirements); AND/OR
- Grant of Right to Use Water Resources – (Outorga de Direito de Uso de Recursos Hídricos) – if required.

**2. The supplier fulfils all obligatory taxes, fees and business information disclosure required for conducting the defined business activities.**

2.1. The supplier met all legal obligations regarding the payment of royalties and required fees.

**Document required:**

- Proof of payment of the rates regarding the analysis of the management plan by the responsible environmental body (IV/V)
- Joint Certificate of Debits Related to Federal Taxes and to the Current Debt Before the Union (IV/ XVII) – <http://www.receita.fazenda.gov.br>

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2.2. The supplier met all legal obligations regarding the payment of taxes, including value added taxes, other sales taxes, income taxes and profit taxes.

**Document required:**

- Joint Certificate of Debits Related to Federal Taxes and to the Current Debt Before the Union - Certidão Conjunta de Débitos Relativos a Tributos Federais e à Dívida Ativa da União - <http://idg.receita.fazenda.gov.br/interface/cidadao> (VII)
- Fiscal bill of sale - Nota fiscal de venda do Produto (VIII)

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**3. The supplier adheres to applicable transport, trade, import or export regulations, procedures and restrictions.**

3.1. Products are correctly classified (species, quantities, qualities etc.) on sales documents, custom declarations and other legally required documents.

3.2. Customs regulations

**Documents required:**

Importers. If the supplier is an importer, they comply with regulations on customs procedures, and have the following documents:

- Declaration for imported soy products;
- Sales contract;
- Trading invoice;
- Bill of lading (or other shipping document of equivalent value in accordance with legal regulations); and
- Packing list of imported soy products.


	Y/N	DOC
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Exporters. If the supplier is an exporter, they comply with regulations on legal export dossier, and possess the following documents:

- Customs clearance declaration for export products made by exporter (original);
- Sale contract (if export products are imposed export tax);
- Export invoice (if export products are imposed export tax); and
- Packing list of products for export.

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#### 4. The supplier complies with all requirements associated with legal employment.

- 4.1. Labour contracts exist for all employees and the names of all employees are included on the supplier's payroll.

**Document required:**

- Employee contracts and evidence that employees.
- CAGED Statement - General Register of Employees and Unemployed - Cadastro Geral de Empregados e Desempregados.; AND
- Collective Agreement recorded by Ministry of Labour and Employment (MTE) - Ministério do Trabalho e Emprego;
- CNDT - Negative Certificate of Labor Law Debit - Certidão Negativa de Débitos Trabalhistas;
- Negative Certificate of Labor Lawsuits;
- CRF- FGTS Regularity Certificate (Certificado de Regularidade do FGTS - Fundo de Garantia por Tempo de Serviço)

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- 4.2. The supplier has the required social insurance registrations/books and pays the relevant social security fees for employees whose labour contract duration is from 1 month or more.

**Document required:**

- CND - Negative Certificate of Debts Before the Federal Revenue Service - Certidão Negativa de Débitos Trabalhistas - INSS (National Social Security Institute - Instituto Nacional do Seguro Social);
- CTPS - Work and Social Security Booklet - Trabalho e Previdência Social

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- 4.3. The supplier pays employees at least the minimum wage as set by the relevant state authority.

**Document required:**

- Proof of Salary Receipts or Proof of Deposits in bank accounts.

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	Y/N	DOC
<p>4.4. The supplier's employees do no work more hours than the maximum daily (8 hours/day) /weekly hours (44 hours/week).</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Proof of required employee contracts are in place.</li> </ul>		
<p><b>5. The supplier complies with the International Labour Organisations Fundamental Conventions (which relate to observance of minimum working age and fair pay, forced and child labour, discrimination, freedom of association and collective bargaining)</b></p>		
<p>5.1. The minimum age by law (16 years old and 18 years old for hazardous work) is observed for all personnel involved in farm management activities.</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Employee contracts</li> <li>• CAGED Statement - General Register of Employees and Unemployed - Cadastro Geral de Empregados e Desempregados.</li> </ul>		
<p>5.2. The minimum age by law (16 years old and 18 years old for hazardous work) is observed for all personnel involved in farm management activities.</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Employee contracts</li> <li>• CAGED Statement - General Register of Employees and Unemployed - Cadastro Geral de Empregados e Desempregados.</li> </ul>		
<p>5.3. The supplier ensures workers such as females, minorities, handicapped etc. are not discriminated against during their recruitment and the duration of their employment.</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Proof of policy and procedures in place to ensure discrimination does not occur.</li> </ul>		
<p>5.4. The supplier supports all workers having the right to join or form trade unions/worker associations of their own choosing and to bargain collectively?</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Collective Agreement registered by Ministry of Labour and Employment (MTE) - Ministério do Trabalho e Emprego</li> </ul>		
<p>5.5. The supplier does not engage in forced or compulsory labour.</p>		



**Document required:**

- Confirmation that supplier is not listed on the black list of slave labour which is monitored and published by the NGO called Reporter Brazil (based on Brazil’s Law of Access to Information) <http://reporterbrasil.org.br/http>; **AND/OR** the Transparency List on Slave Labor on the InPACTO website (<http://www.inpacto.org.br>).

**6. The supplier complies with all occupational health and safety requirements.**

- 6.1. The supplier has a designated health and safety (H&S) manager, or someone in senior management is responsible for overseeing health and safety management.

**Document required:**

- Proof of H&S position (company organigram).

- 6.2. The supplier organises regular health and safety training for all permanent and temporary workers.

**Document required:**

- SSO – Occupation Health and Safety - Segurança e Saúde Ocupacional (SSO) Training Proof (for operators of chainsaws, machine operators and application of herbicides, etc.)

- 6.3. The supplier has identified health and safety risks posed to all workers and has taken actions to prevent accidents, injuries or health issues by ensuring:
  - the workplaces, machinery, equipment and processes are safe;
  - any chemical, physical and biological substances/agents are without risk to workers’ health and application levels are in accordance with the law;
  - adequate clothing and protective equipment are provided.

**Document required:**

- Rural Work Safety, Health and Environment Management Program
- (PGSSMATR) - Programa de Gestão de Segurança, Saúde e Meio Ambiente de Trabalho Rural (NR – 31)
- PPRA - Program for the Prevention of Environmental Risks - Programa de Prevenção de Riscos Ambientais (NR – 9)
- PCMSO - Program for the Medical Control of Occupational Health - Programa de Controle Médico e Saúde Ocupacional (NR – 7)



Y/N DOC

- Minutes of the CIPA/CIPATR - Internal Commission for the Prevention of Accidents of Rural Work - Comissão Interna de Prevenção de Acidentes do Trabalho Rural
- PPE (Personal Protection Equipment - Equipamento de proteção pessoal) Delivery Voucher
- ASO - Occupational Health Certificate - Atestado de Saúde Ocupacional

- 6.4. The supplier ensures workers have access to clean toilet facilities and to safe drinking water, and, if applicable, clean and safe accommodations and cooking facilities.

**Document required:**

- Proof of policy, procedures and monitoring that ensures access to clean and safe water and accommodations.

- 6.5. The organisation conducts regular health & safety inspections and keep management systems documents up to date.

**Document required:**

- Labor Ministry Inspection Book - Livro de Inspeção do Trabalho

**7. The supplier respects and upholds the rights of indigenous and traditional peoples.**

- 7.1. The supplier respects and upholds the rights of indigenous and traditional peoples and the business is not involved in any outstanding disputes of substantial magnitude with indigenous or traditional communities.

**Document required:**

- Rural Environment Registry receipt / record – (Protocolo / recibo do Cadastro Ambiental Rural - CAR )
- In cases of cattle ranches near Indian Reserves, Environmental License issued by IBAMA and endorsed by the legally competent agencies (FUNAI, FCP, IPHAN) (I/X)
- Confirmation that the supplier is not involved in any active land disputes with traditional communities and are not listed on the following websites/reports:
  - Documented conflicts by Brazilian states:  
<http://www.cptnacional.org.br/index.php/component/jdownloads/send/41-conflitos-no-campo-brasil-publicacao/14019-conflitos-no-campo-brasil-2015>
  - A recent report (2015) of well-known conflicts by Brazilian states:  
<http://www.cptnacional.org.br/index.php/component/jdownloads/send/41->

	Y/N	DOC
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<p><a href="http://www.cptnacional.org.br/index.php/downloads/finish/43-conflitos-no-campo-brasil-publicacao/14019-conflitos-no-campo-brasil-2015">conflitos-no-campo-brasil-publicacao/14019-conflitos-no-campo-brasil-2015</a>)</p> <ul style="list-style-type: none"> <li>o Catholic Commission Rural Life annual conflict reports: <a href="http://www.cptnacional.org.br/index.php/downloads/finish/43-conflitos-no-campo-brasil-publicacao/2392-conflitos-no-campo-brasil-2014">http://www.cptnacional.org.br/index.php/downloads/finish/43-conflitos-no-campo-brasil-publicacao/2392-conflitos-no-campo-brasil-2014</a></li> </ul>		
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**8. The supplier is compliant with all the relevant environmental and protected areas/species laws and does not threaten High Conservation Values.**

<p>8.1. The supplier complies with the main environmental protection regulation under the Forest Code Act 12.651/12.</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Rural Environment Registry - Cadastro Ambiental Rural – CAR; AND</li> <li>• Restoration of degraded areas projects - PRAD (if available)</li> </ul>		
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<p>8.2. The suppliers farm has not been established within the boundaries of formally protected areas <b>and/or</b> the supplier has the required permits to allow operation within the protected area(s).</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Rural Environment Registry - Cadastro Ambiental Rural – CAR; AND</li> <li>• Restoration of degraded areas projects - PRAD (if available)</li> </ul>		
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<p>8.3. The supplier ensures any species that have official protected status and/or are considered High Conservation Value (HCVs) species/ecosystems in Brazil are protected within the boundary of the farm and are not threatened by any farm activities.</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Proof that legally protected areas, species and HCVs are included in the management plan or related documentation.</li> </ul>		
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**9. The supplier has not been responsible for converting natural forest or natural ecosystems to soy plantations since 2008.**

<p>9.1. The supplier has not been not apprehended for illegal conversion of natural forests/ecosystems is black listed by the federal government.</p> <p><b>Document required:</b></p> <ul style="list-style-type: none"> <li>• Confirmation that supplier is on the list of farms apprehended for illegal conversion of natural forests/ecosystems by the federal government.</li> </ul>		
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Y/N    DOC

<https://servicos.ibama.gov.br/index.php/carta-de-servicos-ao-cidadao/351-lista-de-embargos>

9.2. The supplier has not been responsible for converting natural forest or natural ecosystems into soy plantations after 2008.

**Document required for suppliers operating in the Cerrado region:**

- Map with farm boundaries cross referenced against one of the following land cover satellite time series images:
- [www.globalforestwatch.org](http://www.globalforestwatch.org); OR
- <http://www.obt.inpe.br/prodes/index.php> - PRODES/INPE; OR
- <http://www.obt.inpe.br/deter/index.html> - DETER/INPE

**10. The supplier does not produce or use genetically modified (GM) soy.**

10.1 The supplier has not used or farmed genetically modified soy.

**Document required:**

- Laboratories GMO-free certificate
- Organic soy certificate



## About

# Responsible Sourcing of Soy, Cattle and Palm Oil

Responsible Sourcing of Soy, Cattle and Palm Oil is a project aimed at creating awareness and capacity among Danish companies to minimise risks of social and environmental problems connected to sourcing palm oil, soy and cattle from developing countries. The project is run by NEPCon and SEGES and funded by DANIDA, Ministry of Foreign Affairs of Denmark.



NEPCon (Nature Economy and People Connected) is an international, non-profit organisation that builds commitment and capacity for mainstreaming sustainability. Together with our partners, we foster solutions for safeguarding our natural resources and protecting our climate.

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