

SECRETARIA DE ESTADO DA CIÊNCIA, TECNOLOGIA E ENSINO SUPERIOR – SETI

Governance

Policies and Responsibilities

G1. Does the board/highest governance body or most senior executive of the company:

Linked to: GRI Disclosures 2-12, 2-14, 2-22 (2021)

(Select all that apply)

- ☐ Issue an annual statement about the relevance of sustainable development to the company
- ☐ Issue an annual statement that addresses impacts on both people and the environment
- ☐ Issue an annual statement highlighting a zero tolerance for corruption
- ☐ Sign off on organizational sustainability targets
- ☐ Supervise Environmental, Social, and Governance reporting
- ☐ Regularly review potential risks related to the business model
- ☐ None of the above

Please provide additional explanation:

The Secretariat of Science, Technology and Higher Education - SETI follows the guidelines of the environmental policy of the Government of Paraná, which is a signatory to the goals of the Sustainable Development Goals - SDGs.

According to Law No. 21,352/2023, article 43, the State Secretariat for Science, Technology and Higher Education - SETI is responsible for: "I - the coordination, implementation and execution of state policy relating to the areas of science, technology and higher education : [...]. The basic organizational structure of SETI comprises, at the Decentralized Action Level:

- a) State University of Londrina - UEL;
- b) State University of Maringá - UEM;
- c) State University of Ponta Grossa - UEPG;
- d) State University of Western Paraná - UNIOESTE;
- e) Midwest State University of Paraná - UNICENTRO;
- f) State University of Northern Paraná - UENP;
- g) State University of Paraná - UNESPAR;
- h) Araucária Foundation to Support the Scientific and Technological Development of the State of Paraná.

At the State Universities of Paraná, projects and actions are developed within the scope of the Sustainable Development Goals, according to documents and information available at the links:

UNIOESTE - SUSTAINABILITY REPORT 2023: The UN Sustainable Development Goals at the State University of Western Paraná.
https://www.unioeste.br/portal/arq/files/ari/sustentabilidade/RELATORIO_DE_SUSTENTABILIDADE_UNIOESTE.pdf

UEPG - Report of actions developed by the State University of Ponta Grossa in relation to the Sustainable Development Goals (SDG) 2022:
<https://drive.google.com/file/d/1KkwZAUyCTm8IqxxAOIoTdmEFbF-LLBu5/view?pli=1>

UEL - Our educational project for sustainability:
<https://sites.uel.br/sustentabilidade/>

UNESPAR - The Sustainable Development Goals in UNESPAR 2022:
<https://www.unespar.edu.br/noticias/unepar-marca-presenca-em-evento-estadual-que-renova-compromisso-com-organizacao-para-a-cooperacao-e-desenvolvimento-economico>

UEM - University achieves SDG 2023 Social Seal certification:
https://www.asc.uem.br/index.php?option=com_content&view=article&id=28508:universidade-conquista-certificacao-do-selo-social-ods-de-2023&catid=986:pgina-central&Itemid=211

SETI has representation in all Human Rights, Labor, Environmental and Anti-corruption Councils within the scope of the Government of Paraná, contributing to the elaboration and implementation of public policies in the área.

G2. Does the company have a publicly stated commitment regarding the following sustainability

Linked to: GRI Disclosure 2-23 (2021)

(Matrix - Select one answer option per line)

	No, this is not a current priority	No, but we plan to have a commitment within the next two years	Yes, and the commitment is focused on our own operations	Yes, and the commitment includes our own operations and suppliers	Yes, and the commitment includes our own operations and the value chain (e.g., suppliers, consumers, communities, other business relationships)
Human Rights	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Labour Rights/ Decent Work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Environment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Anti-Corruption	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

Please provide additional explanation:

G3. Does the company have a code of conduct in place regarding each of the following sustainab
 Linked to: [NASDAQ G6.1; GRI Disclosure 2-23 \(2021\)](#)
 (Matrix - Select one answer option per line)

	No, this is not a current priority	No, but we plan to within the next two years	Yes, focused on employee conduct	Yes, focused on employees and suppliers	Yes, focused on own operations and the value chain (e.g., suppliers, consumers, communities, other business relationships)
Human Rights	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Labour Rights / Decent Work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Environment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Anti-Corruption	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

Please provide additional explanation:

G4. Has the company appointed an individual or group responsible for each of the following sus
 Linked to: [GRI Disclosure 2-13 \(2021\)](#)

(Matrix - Select one answer option per line)

		Yes, with limited influence on outcomes	Yes, with moderate influence on outcomes	Yes, with direct influence of some outcomes	Yes, with direct influence at the highest levels of the organization
No one is specifically responsible for this topic		(e.g., limited access to internal information, limited decision-making authority)	(e.g., has access to relevant information, reports to senior manager)	(e.g., has access to relevant information, includes one or more senior manager with decision making rights)	(e.g., has access to relevant information, includes most senior members of organization)
Human Rights	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Labour Rights / Decent Work	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Environment	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Anti-Corruption	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please provide additional explanation: _____

G5. Does the company have a formal structure(s) (such as a cross-functional committee) to address
 Linked to: GRI Disclosures 2-9, 2-13 (2021)
 (Matrix - Select one answer option per line)

	Yes, and with limited influence on outcomes	Yes, with moderate influence on outcomes	Yes, with direct influence on some outcomes
No formal structure	(e.g., limited access to internal information necessary to understand risks, poor representation from relevant departments or functions)	(e.g., it includes representatives of some functions, departments, or business units most relevant for addressing the risks concerned, has access to relevant information, reports to senior manager)	(e.g., it includes representatives of functions, departments, or business units most relevant for addressing the risks concerned, has access to relevant information, it involves one or more members of senior management)
			Yes, and with direct influence at the highest level of the organization (e.g., full access to relevant information, it involves members at highest level of organization)

Human Rights	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Labour Rights / Decent Work	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Environment	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Anti-Corruption	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please provide additional explanation: _____

Prevention

G6. Does the company have a process or processes to assess risk?

Linked to: GRI Disclosure 205-1 (2016)

(Matrix - Select one answer option per line)

	No, this is not a current priority	No, but we are planning to develop one within the next two years	Yes, related to our own operations	Yes, related to our own operations and suppliers	Yes, related to our own operations and the value chain (including suppliers, consumers, communities, other business relationships)
				[Prompts G6.1]	[Prompts G6.1]
Risk category:					
Human rights risks	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Labour rights risks	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Environmental risks	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Corruption risks	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please provide additional explanation: _____

SETI follows the guidelines of the Risk management policy of the Government of Paraná, having approved its Integrity and Compliance Plan, which includes the Risk and Responsibility Matrix.

Decree No. 2902/2019 - Regulates Law No. 19857/2019, which established the State Public Administration Integrity and Compliance Program.

SETI has the support of the organizational structure of the State Comptroller General - CGE through the Integrity and Compliance Centers - NICS, in which the Integrity and Compliance, Internal Control, Ombudsman and Transparency Agents work. The basic organizational structure of the CGE is presented in art. 3rd of Decree No. 2,741/2019, which approves the Regulations of the State Comptroller General, amended by Decree No. 6,929/2021. Structurally, the CGE is segregated into the Internal Control Coordination - CCI, Integrity and Compliance - CIC, Ombudsman - OUV, Transparency and Social Control - CTCS and Professional Development - CDP and Internal Affairs - CCOR, as well as the Observatory of Public Expenditure - ODP. The Internal Control Coordination has the audit area, constituted by CGE Resolution No. 63/2020.

The NICS/SETI acts in the 2nd line of defense, linked and subordinated administratively to the SETI General Directorate and technically to the CGE Management and Innovation Directorate, according to Decree n° 2741 of 09/19/2019, CGE Resolution n° 55 of 10/11 /2021 and attached SETI organizational chart.

G6.1. During the assessment of risk, has your company reviewed those suppliers and/or other business partners?
(Matrix – Select one answer option per line)

	No	Yes
Risk category:		
Human rights risks	<input type="radio"/>	<input type="radio"/>
Labour rights risks	<input type="radio"/>	<input type="radio"/>
Environmental risks	<input type="radio"/>	<input type="radio"/>
Corruption risks	<input type="radio"/>	<input type="radio"/>

Please provide additional explanation: _____

G7. Does the company have a due diligence process through which it identifies, prevents, mitigates and manages risks related to human rights, labour rights, environmental and corruption risks?
Linked to: GRI Disclosures 2-12, 2-23-a-ii, 3-1, 3-3-d (2021)
(Matrix – Select one answer option per line)

	No, this is not a current priority	No, but we are planning to develop one within the next two years	Yes, related to our own operations	Yes, related to our own operations and suppliers	Yes, related to our own operations and the value chain (including suppliers, consumers, communities, other business relationships)
				[Prompts G7.1]	[Prompts G7.1]
Risk category:					
Human rights risks	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Labour rights risks	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Environmental risks	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Corruption
risks

☐

☐

☒

☐

☐

Please provide additional explanation: _____

SETI has the support of the organizational structure of the State Comptroller General - CGE through the Integrity and Compliance Centers - NICS, in which the Integrity and Compliance, Internal Control, Ombudsman and Transparency Agents work. The basic organizational structure of the CGE is presented in art. 3rd of Decree No. 2,741/2019, which approves the Regulations of the State Comptroller General, amended by Decree No. 6,929/2021. Structurally, the CGE is segregated into the Internal Control Coordination - CCI, Integrity and Compliance - CIC, Ombudsman - OUV, Transparency and Social Control - CTCS and Professional Development - CDP and Internal Affairs - CCOR, as well as the Observatory of Public Expenditure - ODP. The Internal Control Coordination has the audit area, constituted by CGE Resolution No. 63/2020.

The NICS/SETI acts in the 2nd line of defense, linked and subordinated administratively to the SETI General Directorate and technically to the CGE Management and Innovation Directorate, according to Decree n° 2741 of 09/19/2019, CGE Resolution n° 55 of 11/10/2021 and attached SETI organizational chart.

Decree No. 2902/2019 - Regulates Law No. 19857/2019, which established the State Public Administration Integrity and Compliance Program.

The SETI Integrity Plan is in the execution phase to monitor the proposed mitigation measures, including the Risk and Responsibility Matrix.

Decree No. 38/2015 - Established the Code of Ethics for Senior State Administration.

The Code of Ethics for Public Servants of the State of Paraná is under review. However, there is the Compliance Agent Code of Ethics, which presents the responsibilities of Agents towards society, the body or entity in which they work and the profession, which must be used as a guide for their actions. In the Compliance Agent Code of Ethics, chapters I, II and III deal with principles, duties and conduct. Furthermore, the Statute of Servants of the State Executive Branch, State Law No. 6,174/1970, defines the duties (art. 279), prohibitions (art. 285) and penalties (chapter VI).

In addition, the Integrity and Compliance Program has as one of its phases the preparation of the Code of Ethics and Conduct, in accordance with State Law No. 19,857/2019, Decree No. 2,902/2019 and CGE Normative Instruction No. 04/2023.

G7.1. During the due diligence process, has your company reviewed those suppliers and/or other

Linked to: GRI Disclosures 2-23-e, 3-1 (2021)

(Matrix - Select one answer option per line)

No

Yes

Risk

category:

Human rights risks	<input type="radio"/>	<input type="radio"/>
Labour rights risks	<input type="radio"/>	<input type="radio"/>
Environmental risks	<input type="radio"/>	<input type="radio"/>
Corruption risks	<input type="radio"/>	<input type="radio"/>

Please provide additional explanation: _____

Concerns and Grievance Mechanisms

G8. Are there any processes through which members of the company's workforce can raise concern

Linked to: Reporting Guidance on the 10th Principle Against Anti-corruption - B3; GRI Disclosure (Radial - Select One)

- ☐ No, this is not a current priority
- ☐ No, but we plan to within two years
- ☐ Yes, we have an informal process (e.g., through supervisors, others) *[Prompts G8.1]*
- ☒ Yes, we have a formal process *[Prompts G8.1]*

Please provide additional explanation: _____

SETI follows the guidelines of the Risk management policy of the Government of Paraná, having approved its Integrity and Compliance Plan, which includes the Risk and Responsibility Matrix.

Decree No. 2902/2019 - Regulates Law No. 19857/2019, which established the State Public Administration Integrity and Compliance Program.

SETI has the support of the organizational structure of the State Comptroller General - CGE through the Integrity and Compliance Centers - NICS, in which the Integrity and Compliance, Internal Control, Ombudsman and Transparency Agents work.

If respondent answers either of the 'yes' options in G8, the below question will be displayed.

G8.1. Please provide additional detail regarding the process(es) the company has through which

Linked to: GRI Disclosure 2-26 (2021)

(Matrix - Select one answer option per line)

	No	Yes
Is the process communicated to all employees/workers in local languages?	<input type="radio"/>	<input type="radio"/>
Is the process available to non-employees (e.g., suppliers, consumers, communities, and other business relationships)?	<input type="radio"/>	<input type="radio"/>

Is the process confidential (e.g., whistleblowing process)?	<input type="radio"/>	<input type="radio"/>
Are there processes in place to avoid retaliation?	<input type="radio"/>	<input type="radio"/>
Can concerns be raised about suppliers or other business relationships (e.g., clients, partners, etc.)	<input type="radio"/>	<input type="radio"/>
Other	<input type="radio"/>	<input type="radio"/>

Please provide additional explanation: _____

Lessons

G9. How does the company capture lessons regarding each of the following sustainability topics

Linked to: GRI Disclosure 3-3-e (2021)

(Matrix - Select one answer option per line)

Please select highest level of engagement. Options progress from left to right.

	No lessons are regularly captured	Conducts root cause analyses/investigation of incidents	Conducts root cause analyses/investigation and changes organizational policies, processes, and practices accordingly	Systematically conducts root cause analyses/investigation and leverages learnings to influence both internal and external affairs
Human Rights	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Labour Rights / Decent Work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Environment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Anti-Corruption	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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Please provide additional explanation: _____

Executive Pay

G10. Is executive pay linked to performance on one or more of the following sustainability top
 Linked to: CDP W6.4 2022, CDP F4.3a 2022, CDP C1.3a (2022); Nasdaq G3 2335; GRI Disclosure 2-1
 (Matrix - Select one answer option per line)

	No, and we have no intention to change for this is not a current priority	No, but we plan to within two years	Yes
Human Rights	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Labour Rights / Decent Work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Environment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Anti-Corruption	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please provide additional explanation: _____

Do not apply to SETI.

Board Composition

G11. Percentage of individuals within the company's board/highest governance body by:
 Linked to: ISAR D.1.2., ISAR D.1.3.; GRI Disclosures 2-9 (2021), 405-1 (2016)
 (Matrix - Percentage & Commentary for each line)

	Number (Please input answer as a whole number (e.g., 95% = 95))	Not applicable
Total number of board members (#)	<input type="text"/>	<input type="radio"/>
Male (%) Note: Please input answer as whole number (e.g., 95% = 95)	<input type="text"/>	<input type="radio"/>

Female (%)

Note:

Please

input

answer as

whole

number

(e.g., 95%

= 95)

○

Non-binary

(%) Note:

Please

input

answer as

whole

number

(e.g., 95%

= 95)

○

**Under 30
years old**

(%) Note:

Please

input

answer as

whole

number

(e.g., 95%

= 95)

○

**30-50 years
old (%)**

Note:

Please

input

answer as

whole

number

(e.g., 95%

= 95)

○

**Above 50
years old**

(%) Note:

Please

input

answer as

whole

number

(e.g., 95%

= 95)

○

**From
minority or
vulnerable
groups (%)**

Note:

Please

input

answer as

whole

number

(e.g., 95%

= 95)

○

Executive

(%) Note:

Please

input

answer as _____

☐

whole

number

(e.g., 95%

= 95)

Independent

(%) Note:

Please

input

answer as _____

☐

whole

number

(e.g., 95%

= 95)

Please provide additional explanation: _____

G12. Do you produce sustainability reporting according to:

Linked to: Nasdaq G9.1

(Select all that apply)

- ☐ National/local regulation on sustainability
- ☐ Security exchange regulations
- ☐ Non-Financial Reporting Directive of the European Union (NRFD)
- ☐ Global Reporting Initiative (GRI)
- ☐ Sustainability Accounting Standards Board (SASB, now consolidated into the IFRS Foundation)
- ☐ International Integrated Reporting Council (IIRC, now consolidated into the IFRS Foundation)
- ☐ Climate Disclosure Standards Board (CDSB, now consolidated into the IFRS Foundation)
- ☐ Task Force on Climate-related Financial Disclosures (TCFD)
- ☐ Other voluntary frameworks (please specify in text box) *[Makes text box mandatory]*
- ☐ No sustainability reporting according to any frameworks nor regulations outside of this

Please provide additional explanation: _____

Data Assurance**G13. Is the information disclosed in this questionnaire assured by a third-party?**

Linked to: CDP C10.1 2022; GRI Disclosure 2-5 (2021)

(Select all that apply)

- ☐ Limited assurance for minority of metrics (e.g., GHG emissions only)
- ☐ Limited assurance for majority of metrics
- ☐ Reasonable assurance from minority of metrics
- ☐ Reasonable assurance for majority of metrics
- ☐ Other (Please provide additional explanation) *[Makes text box mandatory]*
- ☐ No assurance for any metrics

Please provide additional explanation: _____

