

NCP Annual Reporting Questionnaire 2021

A. Contact information

Please indicate your country:

| | |
|----------------------------------|----------------|
| <input type="radio"/> | Argentina |
| <input type="radio"/> | Australia |
| <input type="radio"/> | Austria |
| <input type="radio"/> | Belgium |
| <input checked="" type="radio"/> | Brazil |
| <input type="radio"/> | Canada |
| <input type="radio"/> | Chile |
| <input type="radio"/> | Colombia |
| <input type="radio"/> | Costa Rica |
| <input type="radio"/> | Croatia |
| <input type="radio"/> | Czech Republic |
| <input type="radio"/> | Denmark |
| <input type="radio"/> | Egypt |
| <input type="radio"/> | Estonia |
| <input type="radio"/> | Finland |
| <input type="radio"/> | France |
| <input type="radio"/> | Germany |
| <input type="radio"/> | Greece |
| <input type="radio"/> | Hungary |
| <input type="radio"/> | Iceland |
| <input type="radio"/> | Ireland |
| <input type="radio"/> | Israel |
| <input type="radio"/> | Italy |
| <input type="radio"/> | Japan |
| <input type="radio"/> | Jordan |
| <input type="radio"/> | Kazakhstan |
| <input type="radio"/> | Korea |
| <input type="radio"/> | Latvia |
| <input type="radio"/> | Lithuania |
| <input type="radio"/> | Luxembourg |
| <input type="radio"/> | Mexico |
| <input type="radio"/> | Morocco |
| <input type="radio"/> | Netherlands |
| <input type="radio"/> | New Zealand |
| <input type="radio"/> | Norway |
| <input type="radio"/> | Peru |
| <input type="radio"/> | Poland |
| <input type="radio"/> | Portugal |
| <input type="radio"/> | Romania |

| | |
|-----------------------|-----------------|
| <input type="radio"/> | Slovak Republic |
| <input type="radio"/> | Slovenia |
| <input type="radio"/> | Spain |
| <input type="radio"/> | Sweden |
| <input type="radio"/> | Switzerland |
| <input type="radio"/> | Tunisia |
| <input type="radio"/> | Turkey |
| <input type="radio"/> | Ukraine |
| <input type="radio"/> | United Kingdom |
| <input type="radio"/> | United States |
| <input type="radio"/> | Uruguay |

Please provide the contact information of the person filling in the questionnaire:

First name:

Márcio

Last name

Lima

Job title:

NCP Coordinator

Email:

NCP Coordinator

Telephone number (with country code):

e.g.: +44 9876 123 456

+ 55 (61) 2027- 7764 / + 55 (61) 2027- 7593

B. Institutional arrangements - (a) Structure, location and composition of the NCP

1. What is the **structure** of the NCP?

| | |
|----------------------------------|---------------|
| <input type="radio"/> | Single agency |
| <input checked="" type="radio"/> | Inter agency |
| <input type="radio"/> | Expert based |
| <input type="radio"/> | Multipartite |

2. Who are the **members** of the NCP?

Please describe the functions of the members of the NCP and the ministry/agency or stakeholder organisation they represent. No names are required.

The Brazilian NCP is a working group composed of several public agencies - Ministry of Economy (Special Secretariat of Foreign Trade and International Affairs; Special Secretary for Productivity, Employment and Competitiveness; Ministry of Labour and Social Security; Ministry of Foreign Affairs; Ministry of Environment; Ministry of Justice and Public Security; Ministry of Women, Family and Human Rights; Ministry of Mines and Energy; Central Bank of Brazil; and Office of the Comptroller General of Brazil. The Coordinator of the NCP is a senior official, who is the Undersecretary of Foreign Investment at the Ministry of Economy.

3. If the NCP is not a single-agency NCP, does it have a **secretariat**?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

3. (Continued) If the NCP is not a single-agency and has a Secretariat, in which **ministry or agency** is located the Secretariat?

Ministry of Economy

3. (Continued) If the NCP is not a single-agency and has a Secretariat, in which **department** of the ministry or agency is located the Secretariat?

Special Secretariat of Foreign Trade and International Affairs, Executive Secretariat of the Foreign Trade Board, Undersecretariat of Foreign Investment.

4. Has the NCP been established through a **legislative, regulatory or administrative instrument** (e.g. a statute, a decree, a ministerial resolution)?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

4. (Continued) If yes, please provide the **name and date of this instrument**, and a **link** if available

Decree no. 9.874, of 27 June 2019 <http://www.in.gov.br/web/dou/-/decreto-n-9.874-de-27-de-junho-de-2019-179414815>.

Additional comments on the section **Structure, location and composition of the NCP**:

B. Institutional arrangements - (b) Advisory body

5. Does the NCP have one or several **advisory bodies**?

| | |
|----------------------------------|------------------------------|
| <input type="radio"/> | Yes, one advisory body |
| <input type="radio"/> | Yes, several advisory bodies |
| <input checked="" type="radio"/> | No |

5. (Continued) If the NCP has several advisory bodies, please **specify**.

5. (Continued) If yes, please describe the advisory body(ies)' **functions** (e.g. advising on promotion, on specific instance handling in general, on individual cases, providing oversight, etc.)

5. (Continued) If yes, please list the **names of organisations** that are represented on the advisory body(ies) and the type of organisation.

(e.g. government, business, business organisation, NGO, trade union, academia, consumer organisation, etc.)

5. (Continued) If yes, please indicate **how often** the advisory body(ies) meets

| | |
|-----------------------|-----------------------------|
| <input type="radio"/> | Once a year |
| <input type="radio"/> | Twice a year |
| <input type="radio"/> | Three times a year |
| <input type="radio"/> | Four times a year |
| <input type="radio"/> | More than four times a year |

6. If an advisory body provides oversight, please describe the **oversight procedure**:

Additional comments on the section **Advisory body(ies)**:

B. Institutional arrangements - (c) Human and financial resources

7. Does the NCP have dedicated **full-time staff members**?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

7. (Continued) Please indicate the **number** of **full-time** staff members:

4

8. Does the NCP have dedicated **part-time staff members**?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

8. (Continued) Please indicate the **number** of **part-time** staff members:

1

8. (Continued) Please indicate the **percentage of time spent** on NCP matters for **each part-time** staff member:

The NCP Coordinator

9.1 Have any **full-time** staff members **joined** the NCP during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

9.1 (Continued) Please indicate **how many full-time** staff members **joined** the NCP during the year:

2

9.2 Have any **part-time** staff members **joined** the NCP during the year?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

9.2 (Continued) Please indicate **how many part-time** staff members **joined** the NCP during the year:

0

10.1 Have any **full-time** staff members **left** the NCP during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

10.1 (Continued) Please indicate **how many full-time** staff members **left** the NCP during the year:

2

10.2 Have any **part-time** staff members **left** the NCP during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

10.2 (Continued) Please indicate **how many part-time** staff members **left** the NCP during the year:

1

11. Did the NCP have a **dedicated budget** this year?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

11. (Continued) If no, were **financial resources for promotional activities** allocated on an ad hoc basis when requested by the NCP?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

11. (Continued) If no, were **financial resources for specific instances** allocated on an ad hoc basis when requested by the NCP?

Please select N/A (Not Applicable) if the NCP did not handle specific instances this year.

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

12. During the year, did the **human and financial resources** available to the NCP **allow it to:**

Please select "N/A" if the NCP was not invited/chose not to attend such events

| | Yes | No | N/A |
|---|----------------------------------|----------------------------------|----------------------------------|
| Handle specific instances in an efficient and timely manner | <input type="radio"/> | <input checked="" type="radio"/> | <input type="radio"/> |
| Organise promotional events | <input type="radio"/> | <input checked="" type="radio"/> | <input type="radio"/> |
| Attend NCP meetings at the OECD | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Attend events organised by other NCPs | <input type="radio"/> | <input type="radio"/> | <input checked="" type="radio"/> |
| Attend events organised by stakeholders | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Cover professional mediator fees or in-house mediator fees | <input type="radio"/> | <input checked="" type="radio"/> | <input type="radio"/> |
| Conduct fact-finding research into specific instances | <input type="radio"/> | <input type="radio"/> | <input checked="" type="radio"/> |

12. (Continued) If you have answered "no" to any of the above, please **specify:**

In 2021, the NCP team was focused on handling specific instances, participating in events organized by stakeholders, dealing with OECD and policy coherence activities.

Additional comments on the section **Human and financial resources:**

B. Institutional arrangements - (d) Reporting

13. Does the NCP **report to the executive** on its activities?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

13. (Continued) If yes, **how often**?

| | |
|----------------------------------|------------------------------|
| <input type="radio"/> | On an ongoing basis |
| <input type="radio"/> | Less than once a year |
| <input type="radio"/> | Once a year |
| <input checked="" type="radio"/> | Twice a year |
| <input type="radio"/> | Three times a year |
| <input type="radio"/> | More than three times a year |

14. Does the NCP **report to the legislative body** on its activities?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

14. (Continued) If yes, **how often**?

| | |
|-----------------------|------------------------------|
| <input type="radio"/> | On an ongoing basis |
| <input type="radio"/> | Less than once a year |
| <input type="radio"/> | Once a year |
| <input type="radio"/> | Twice a year |
| <input type="radio"/> | Three times a year |
| <input type="radio"/> | More than three times a year |

15. Please indicate **any other relevant transparency requirement(s)** (e.g. access to information or disclosure laws) applicable to the NCP in your country:

Federal law governing access to information: http://www.planalto.gov.br/ccivil_03/_ato2011-2014/2011/lei/l12527.htm

Additional comments on the section **Reporting**:

The NCP work is overseen by the National Investment Committee - Coninv. The NCP presents a report to Coninv twice a year and informs about any other relevant developments anytime.

C. Information and promotion - (a) Website

16. Does the NCP have a **website**?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

16. (Continued) If yes, please provide the **link**:

gov.br/pcn

17.1 Are the following **items available** on the NCP website?

Information about the Guidelines and the role of the NCP:

| | Yes | No | N/A |
|--|----------------------------------|-----------------------|----------------------------------|
| The text of the Guidelines | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| A description of the Guidelines | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| The OECD Due Diligence Guidance Documents | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Explanatory text about due diligence | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Information on the NCP and its mandate | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| The NCP Annual Report submitted to the OECD | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| The NCP's Report to the executive and/or legislative (if applicable) | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| The NCP's peer review report (if applicable) | <input type="radio"/> | <input type="radio"/> | <input checked="" type="radio"/> |

17.2 Are the following **items available** on the NCP website?

Information about specific instances

| | Yes | No |
|--|----------------------------------|-----------------------|
| Information on how to submit a specific instance | <input checked="" type="radio"/> | <input type="radio"/> |
| An online form to submit a specific instance | <input checked="" type="radio"/> | <input type="radio"/> |
| The NCP's rules of procedure | <input checked="" type="radio"/> | <input type="radio"/> |
| All final statements since 2011 | <input checked="" type="radio"/> | <input type="radio"/> |

17.3 Are the following **items available** on the NCP website?

Information on promotional activities:

| | Yes | No |
|---|----------------------------------|-----------------------|
| The NCP's promotional plan | <input checked="" type="radio"/> | <input type="radio"/> |
| Information on upcoming events promoting the Guidelines | <input checked="" type="radio"/> | <input type="radio"/> |
| Information on past events promoting the Guidelines | <input checked="" type="radio"/> | <input type="radio"/> |

17.4 Are the following **items available** on the NCP website?

Contact information:

| | Yes | No |
|--|----------------------------------|-----------------------|
| Information on how to make an enquiry to the NCP | <input checked="" type="radio"/> | <input type="radio"/> |
| A phone number to reach the NCP directly | <input checked="" type="radio"/> | <input type="radio"/> |
| An email address to reach the NCP directly | <input checked="" type="radio"/> | <input type="radio"/> |

Additional comments on the section **NCP website:**

C. Information and promotion - (b) Promotional activities*

18. Does the NCP have a **promotional plan** for the coming year(s)?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

19. Did the NCP **organise or co-organise events** to promote the Guidelines and/or the NCP during the year?

If yes, please also provide details in the NCP Reporting Questionnaire Annex document that will be uploaded at the end of the questionnaire.

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

20. Did the NCP make a **presentation** to promote the Guidelines and/or the NCP in **events organised by others**?

If yes, please also provide details in the NCP Reporting Questionnaire Annex document that will be uploaded at the end of the questionnaire.

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

21. Did the NCP make use of **social media** to communicate on NCP promotional activities during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

21. (Continued) If yes, please provide **additional details:**

<https://twitter.com/secinteconomia/status/1458862896562192385?s=24> https://www.linkedin.com/posts/secinteconomia_sustentabilidade-activity-6864197197999706113-jNlj extra: https://www.gov.br/economia/pt-br/canais_atendimento/imprensa/notas-a-imprensa/2021/novembro/se-camex-implementa-agenda-em-torno-das-politicas-de-conduta-empresarial-responsavel-cer

22. Did the NCP hold a **stakeholder meeting** during the year?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

23. Did the NCP **promote** the Guidelines among the **business community** during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

24. Did the NCP carry out any **training** on the Guidelines aimed at **businesses** during the year?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

25. Did the NCP **promote** the Guidelines among **NGOs** during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

26. Did the NCP **promote** the Guidelines among **trade unions** during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

27. Did the NCP **promote** the Guidelines among **government agencies** during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

28. Did the NCP **promote** the Guidelines among **embassies** abroad during the year?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

29. Did the NCP **promote** the Guidelines to **investment promotion agencies** during the year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

30. Did the NCP focus on any of the following during **promotional activities** during the year:

| | Yes | No |
|---|----------------------------------|----------------------------------|
| OECD Due Diligence Guidance for Responsible Business Conduct | <input checked="" type="radio"/> | <input type="radio"/> |
| OECD Due Diligence Guidance for Responsible Supply Chains in the Garment and Footwear Sector | <input checked="" type="radio"/> | <input type="radio"/> |
| Due Diligence for Responsible Corporate Lending and Securities Underwriting and/or Responsible Business Conduct for Institutional Investors | <input type="radio"/> | <input checked="" type="radio"/> |
| OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas | <input type="radio"/> | <input checked="" type="radio"/> |
| OECD Due Diligence Guidance for Meaningful Stakeholder Engagement in the Extractive Sector | <input type="radio"/> | <input checked="" type="radio"/> |
| OECD-FAO Guidance for Responsible Agricultural Supply Chains | <input type="radio"/> | <input checked="" type="radio"/> |

Additional comments on the section **Promotional activities**:

About promotional activities, please see table 2.

D. Specific Instances - (a) NCP rules of procedure for handling specific instances

31. Does the NCP have **rules of procedure** describing the handling of specific instances?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

32. Are the rules of procedure available **online**?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

32. (Continued) If yes, please provide a **link**:

<https://www.gov.br/produtividade-e-comercio-exterior/pt-br/assuntos/camex/pcn/produtos/formularios/pcn-manual-de-procedimentos-para-instancias.pdf> (PT), <https://www.gov.br/produtividade-e-comercio-exterior/pt-br/assuntos/camex/pcn/produtos/outros/procedure-manual-ncp-brazil.pdf> (ENG).

33. Were the NCP's rules of procedure **modified** this year?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |
| <input type="radio"/> | N/A |

Additional comments on the section **Rules of procedure**:

D. Specific Instances - (b) Specific instance practicalities

34. Does the NCP **confirm receipt** of a specific instance submission?

Please select N/A if the NCP has never received a specific instance

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

35. Does the NCP **request feedback from the parties** on the procedure following the conclusion of a specific instance?

Please select N/A if the NCP has never received a specific instance

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

36. Has the NCP staff undergone **training in dispute resolution or problem solving** (e.g. mediation)?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

37. Did the NCP **engage professional mediators** during the year?

Please select N/A if the NCP did not receive a specific instance during the year

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

38. Did the NCP staff or members conduct **mediation** this year?

Please select N/A if the NCP has never received a specific instance

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |
| <input type="radio"/> | N/A |

Additional comments on the section **Specific instance practicalities:**

The NCP Brazil started five good offices' procedures in 2021 – 4 conducted by NCP members and 1 by a professional mediator. However, we are still finalizing the terms of reference for mediations, none was conducted so far.

D. Specific Instances - (c) Reporting specific instances

39. Did the NCP receive **new specific instance** submissions during the year?

If yes, please also provide details in the **NCP Reporting Questionnaire Annex** document that will be uploaded at the end of the questionnaire.

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

40. Did the NCP **close specific instances** during the year?

If yes, please also provide details in the **NCP Reporting Questionnaire Annex** document that will be uploaded at the end of the questionnaire.

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

41. Of the specific instances that were already **in progress at the start of the year**, are there any that are still **ongoing at the end of the year**?

If yes, please also provide details in the **NCP Reporting Questionnaire Annex** document that will be uploaded at the end of the questionnaire.

Select N/A if no specific instances were in progress at the start of the year.

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

42. Did the NCP **follow up** on a case during the year?

If yes, please also provide details in the **NCP Reporting Questionnaire Annex** document that will be uploaded at the end of the questionnaire.

Select N/A if no specific instances were concluded before the start of the year.

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

43. Is the OECD database of specific instances (<https://mneguidelines.oecd.org/database/>) **accurate and up to date** with regard to cases handled by the NCP?

Select N/A if the NCP has never received a specific instance.

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |
| <input type="radio"/> | N/A |

43. (Continued) Please provide **details** (missing cases, out of date entries, broken links, etc.) in the box below:

Links to the specific instances that should be updated, information was already sent by e-mail: <http://mneguidelines.oecd.org/database/instances/br0028.htm>
<http://mneguidelines.oecd.org/database/instances/br0039.htm> <http://mneguidelines.oecd.org/database/instances/br0032.htm>
<http://mneguidelines.oecd.org/database/instances/br0031.htm> <http://mneguidelines.oecd.org/database/instances/br0030.htm>
<http://mneguidelines.oecd.org/database/instances/br0023.htm>

Additional comments on the section **Reporting specific instances**:

E. Peer learning and peer reviews

44. Did the NCP take part in the following **activities with other NCPs** during the year:

| | Yes | No |
|--|----------------------------------|----------------------------------|
| Host a peer learning activity | <input type="radio"/> | <input checked="" type="radio"/> |
| Participate in peer learning activities hosted by other NCPs | <input checked="" type="radio"/> | <input type="radio"/> |
| Co-operate with other NCPs in handling specific instances | <input checked="" type="radio"/> | <input type="radio"/> |
| Provide mentoring/capacity building to another NCP | <input type="radio"/> | <input checked="" type="radio"/> |

45. Is the NCP interested in hosting an **NCP learning/experience-sharing event** in 2022?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

46. Which **topic** would the NCP consider to be a priority to cover in a **peer learning event**?

Rules of Procedure.

47. Is the NCP interested in **participating** in developing **tools for use** by NCPs?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

48. Is the NCP interested in acting as a **peer reviewer** in the future?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

If yes, please specify the **semester** and the **year**:

First semester of 2022

Additional comments on the section **Peer-learning and peer reviews**:

The NCP Brazil had peer learning meetings with the NCPs Argentina and Chile. The NCP Brazil is currently a peer reviewer for the NCP Sweden.

F. Policy coherence*

49. Have the Guidelines been referred to in relevant **national legislation/regulations/policies** adopted during the year?

(e.g. on responsible business conduct; non-financial reporting, export credits regulation, public procurement)

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

49. (Continued) Please provide a **short summary** and a **link** to the legislation.

If a link is not available, please upload a copy of the legislation at the end of the questionnaire, on the "Additional materials" page.

The CMN Resolutions 4,943 and 4,945 and BCB Resolution BCB 139, of September 15, 2021, have provisions in line with the content of the Guidelines. The new regulatory framework improves rules related to the management of social risk, environmental risk, and climate-related risk by institutions of the National Financial System of Brazil, as well as requirements to be observed by such institutions in the establishment of their Social, Environmental and Climate Responsibility Policy (PRSAC, in Portuguese). Also it is the case of BCB Resolution 140, of September 15, 2021, which provides for the creation of Section 9 (Social, Environmental and Climate Impediments) in Chapter 2 (Basic Conditions) of the Rural Credit Manual (MCR).

https://www.bcb.gov.br/content/about/legislation_norms_docs/BCB_Risk%20management%20and%20social%20environmental%20and%20climate%20responsibility

https://www.bcb.gov.br/content/about/legislation_norms_docs/BCB_Disclosure-GRSAC-Report.pdf Resolução N° 4.652 -

https://www.bcb.gov.br/content/about/legislation_norms_docs/Res_BCB_140_Impediments-English.pdf

50. Did your country adopt a **National Action Plan** (NAP) this year?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

50. (Continued) Please indicate which **type of National Action Plan**:

| | |
|--------------------------|--|
| <input type="checkbox"/> | NAP on Business and Human Rights |
| <input type="checkbox"/> | NAP on Corporate Social Responsibility |
| <input type="checkbox"/> | NAP on Responsible Business Conduct |

50. (Continued) Please provide a **link to the NAP on Business and Human Rights**:

If a link is not available, please upload a copy of the legislation at the end of the questionnaire, on the "Additional materials" page.

50. (Continued) Did the **NAP on Business and Human Rights** make **reference** to:

| | Yes | No |
|-----------------|-----------------------|-----------------------|
| The Guidelines? | <input type="radio"/> | <input type="radio"/> |
| The NCP? | <input type="radio"/> | <input type="radio"/> |

50. (Continued) Please provide a **link to the NAP on Corporate Social Responsibility**:

If a link is not available, please upload a copy of the legislation at the end of the questionnaire, on the "Additional materials" page.

50. (Continued) Did the **NAP on Corporate Social Responsibility** make **reference** to:

| | Yes | No |
|-----------------|-----------------------|-----------------------|
| The Guidelines? | <input type="radio"/> | <input type="radio"/> |
| The NCP? | <input type="radio"/> | <input type="radio"/> |

50. (Continued) Please provide a **link to the NAP on Responsible Business Conduct**:

If a link is not available, please upload a copy of the legislation at the end of the questionnaire, on the "Additional materials" page.

50. (Continued) Did the **NAP on Responsible Business Conduct** make **reference** to:

| | Yes | No |
|-----------------|-----------------------|-----------------------|
| The Guidelines? | <input type="radio"/> | <input type="radio"/> |
| The NCP? | <input type="radio"/> | <input type="radio"/> |

51. Was a NAP **in development** this year?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

51. (Continued) If yes, please indicate **which NAP**:

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | NAP on Business and Human Rights |
| <input type="checkbox"/> | NAP on Corporate Social Responsibility |
| <input checked="" type="checkbox"/> | NAP on Responsible Business Conduct |

51. (Continued) If yes, did the NCP **participate in the development** of the NAP?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

52. Did the NCP inform **officials responsible for trade missions** of its relevant statements and reports?

Please select N/A if the NCP did not publish any statement this year

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

53. Did the NCP inform **officials responsible for foreign trade and investment incentives** of its relevant statements and reports?

Please select N/A if the NCP did not publish any statement this year

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| <input type="radio"/> | N/A |

54. Did the NCP inform **officials responsible for public procurement** of its relevant statements and reports?

Please select N/A if the NCP did not publish any statement this year

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |
| <input type="radio"/> | N/A |

55. Does your national legislation or policy on public procurement **refer** to the **Guidelines** and/or **OECD due diligence instruments** and/or to the **NCP process**?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

55. (Continued) Please provide a **link** to the legislation.

If a link is not available, please upload a copy of the legislation at the end of the questionnaire, on the "Additional materials" page.

56. Have **public procurement officials/practitioners** consulted the NCP on the Guidelines and OECD due diligence instruments or involved the NCP in specific public procurement opportunities?

| | |
|----------------------------------|-----|
| <input type="radio"/> | Yes |
| <input checked="" type="radio"/> | No |

57. Were **public procurement officials** involved in any of your **training/outreach** activities?

| | |
|----------------------------------|-----|
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |

58. What **tools or activities** does the NCP develop to support **public procurement practitioners** on RBC and OECD due diligence?

In 2021, the NCP has engaged in a dialogue in the context of the RBC policy review of Brazil and the OECD draft Recommendation on the Role of Government in Promoting Responsible Business Conduct.

59. Please identify any specific **initiatives/good practices** involving **public procurement and RBC** in your country:

In 2020 2 articles are publicized by CGU with good practices of Integrity in public procurement and in the execution of government contracts in the context of the Covid-19 Pandemic: https://basedeconhecimento.cgu.gov.br/bitstream/1/8544/1/cartilha_integridade_covid.pdf and https://basedeconhecimento.cgu.gov.br/bitstream/1/9113/1/Cartilha_Integridade_Covid_2.pdf. New edition of Pró-Ética 2020-2021 (<https://www.gov.br/cgu/pt-br/assuntos/etica-e-integridade/empresa-pro-etica>), and report about Pró-Ética 2018-2019 with an overview of tenth year of the initiative, released at October 2020: https://basedeconhecimento.cgu.gov.br/bitstream/1/9976/1/Relatorio_Pro_Etica_18_19.pdf. Pró-Ética is an initiative that promotes the adoption of integrity policies by companies. It encourages, through a positive recognition bias, the voluntary adoption of integrity mechanisms and procedures focusing on the prevention, detection and remediation of acts of fraud and corruption, including in public procurement and government contracts.

60. Please include any **other examples of policy coherence activities**:

The Brazilian NCP works towards policy coherence through: - the action plans on RBC and business and human rights; - its own inter-agency working group, which includes relevant public bodies related to the OECD Guidelines' themes and key sectors; - the supervision by the National Investment Committee of the Board of Foreign Trade and Investment of the Ministry of Economy; - partnership with other strategic public bodies/agencies in Brazil, as the Executive Office of the President, the Securities and Exchange Commission and the Ministry of Agriculture, Livestock and Supply.

Additional comments on the section **Policy Coherence**:

There are two action plans being developed: 1 – on RBC, by the Ministry of Economy; 2 – on Business and Human Rights, by the Ministry of Women, Family and Human Rights. The NCP is providing support to both of them.

G. Challenges

61. Has the NCP faced any particular **challenge(s)** it would like to highlight this year?

Promoting the OECD Guidelines in Brazil was the main challenge for the NCP in 2021, considering the pandemic situation, the restructuring in the NCP staff, the OECD activities and the many specific instances to be handled.

Additional comments on the section **Challenges**:

Annex - NCP Promotional activities and Specific instances

Additional materials (e.g. rules of procedure, legislations, flyers, other promotional materials) may be uploaded on the next page.

Last page before submission

You have reached the **last page of the questionnaire before submitting your responses** to the OECD Secretariat.

Before submitting the questionnaire by clicking on "**Submit**", you may view your responses by clicking on the "**Print**" icon and save your responses by clicking on the "**Save progress and resume later**" icon at the bottom of the page.

Please click on "**Submit**" to submit the questionnaire.

NATIONAL CONTACT POINT REPORTING QUESTIONNAIRE 2021

Annex

This document is to provide detailed information on **NCP promotional activities (Part 1 below)** and on **specific instances (Part 2 below)**.

INSTRUCTIONS

This document should be completed and saved locally on a computer and uploaded from the same computer at the end of the online questionnaire in the section “**Annex: NCP Promotional activities & Specific Instances**” (after question 61).

Please note that only **Word files** (.doc or .docx) can be uploaded.

Guidance and instructions on how to complete the questionnaire ([here](#)) and the annex ([here](#)) are accessible on the NCP O.N.E Community Space.

HELP & ASSISTANCE

Please contact jean-francois.leruste@oecd.org and emily.halstead@oecd.org for any help or assistance to complete the questionnaire.

STRUCTURE

Part 1: NCP PROMOTIONAL ACTIVITIES

Part 2: SPECIFIC INSTANCES

Please enter country name of NCP: BRAZIL

PART 1: NCP PROMOTIONAL ACTIVITIES

Please provide information on the events organised or co-organised by the NCP (Table 1), and events in which the NCP has participated to promote the Guidelines (Table 2). Please select the event type, size and type of audience as well as the theme from the dropdown menus for each event. Please add additional lines if needed.

TABLE 1

NCP-organised and co-organised events to promote the Guidelines and/or the NCP

| Title | Date (dd/mm/yyyy) | Location | Type of event | Size of audience | Organised or co-organised? | Targeted audience <i>e.g. Business representatives, NGOs, Trade unions, Academia, General public, Government representatives, etc.</i> | Theme <i>e.g. the OECD Guidelines, the NCP activities on sector due diligence guidance documents, etc.</i> |
|--|----------------------|----------|---------------|------------------|----------------------------|---|---|
| MERCOSUR-OECD Investment Seminar | 18/11/2021 | Online | Webinar | > 100 | Co-organised | Multistakeholder | The OECD Guidelines, RBC policy coherence |
| EUROCONSUMERS FORUM 2021 in OECD SESSION: RESPONSIBLE BUSINESS CONDUCT AND THE OECD GUIDELINES: TRENDS AND OPPORTUNITIES | 02/12/2021 | Online | Webinar | > 100 | Co-organised | Multistakeholder | The OECD Guidelines, NCPs, consumers' rights |

Additional comments:

Total number of events: 2

TABLE 2

Presentations by the NCP to promote the Guidelines and/or the NCP in events organised by others

| Title | Date (dd/mm/yyyy) | Location | Type of event | Size of audience | Targeted audience <i>e.g. Business representatives, NGOs, Trade unions, Academia, General public, Government representatives, etc.</i> | Organiser(s) | Theme of the intervention |
|---|----------------------|----------|---------------|------------------|---|--|--|
| Presentation on meeting of the Comissão Nacional de Erradicação do Trabalho Escravo (CONATRAE) | 06/12/2021 | Online | Meeting | not available | Government representatives | Conatrae | the OECD Guidelines and the NCP mechanism (SPEAKER) |
| Webinar: Lançamento da Edição Especial do Boletim de Economia e Política Internacional sobre Conduta Empresarial Responsável e Acordos de Investimento | 04/08/2021 | Online | meeting | > 10 and < 50 | Government representatives | Ipea | the OECD Guidelines and the NCP mechanism (SPEAKER) |
| Presentation on NCP and National Plan on RBC (Pacer) at the Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 25/02/2021 | Online | Meeting | > 10 and < 50 | Multistakeholder | Lab | Policy coherence on RBC (SPEAKER) |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 22/07/2021 | Online | Meeting | > 10 and < 50 | Multistakeholder | Lab | Policy coherence on RBC (SPEAKER) |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 05/08/2021 | Online | meeting | not available | Multistakeholder | Lab | Policy coherence on RBC (SPEAKER) |
| NCP side session 'Conversations with the National Contact Points for RBC', Global Forum on RBC | 16/06/2021 | Online | Meeting | not available | General public | OECD | the OECD Guidelines and the NCP mechanism (SPEAKER) |
| Forum on due diligence in the garment and footwear sector - ROUNDTABLE FOR POLICY MAKERS | 02/02/2021 | Online | Event | > 10 and < 50 | General public | OECD | The NCP activities on sector due diligence (SPEAKER) |
| First workshop for LAC NCPs on promotional plans | 03/05/2021 | Online | Training | > 10 and < 50 | NCPs | OECD | the OECD Guidelines and the NCP mechanism (SPEAKER) |
| RBA Latin America Conference: Latin American Government efforts on Responsible Business Conduct panel | 02/09/2021 | Online | meeting | not available | Government representatives | RBA | the OECD Guidelines and the NCP mechanism (SPEAKER) |
| 2º Fórum Nacional Responsabilize-se: Reconhecendo os papéis, os arranjos institucionais e os marcos de governança sobre Empresas e Direitos Humanos no Brasil | 19/04/2021 | Online | Lecture | not available | General public | Ministry of Women, Family and Human Rights - MMFDH | the OECD Guidelines and the NCP mechanism (SPEAKER) |
| Meeting with Secretaria Nacional do Consumidor (Senacon) on the RBC Action Plan (Pacer) | 14/01/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with Sucex - export credits | 30/03/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with Ministério da Infraestrutura (Minfra) on infrastructure and RBC | 30/03/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with Secretaria de Gestão do Ministério do Planejamento (SEGES) on public procurement and RBC | 30/03/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with Secretaria de Políticas Econômicas (SPE) on economic policies and RBC | 24/05/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |
| Interview for Master's thesis | 02/06/2021 | Online | Meeting | <10 | Academia | Individual | the OECD Guidelines and the NCP mechanism |
| Meeting with Casa Civil - accession process and NCP | 24/08/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with Apex-Brasil on RBC policy review | 26/08/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with Apex-Brasil on RBC survey under RBCLAC | 08/01/2021 | Online | Meeting | > 10 and < 50 | Multistakeholder | NCP Brazil | Policy coherence on RBC |
| Meeting with Secretaria de Comércio Exterior do Ministério da Economia - Secex | 29/03/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |

| | | | | | | | |
|--|------------|--------|----------|----------------|----------------------------|-----------------------------------|--|
| BRAZIL – U.S. CEO FORUM: JOINT PREPARATION MEETING | 07/10/2021 | Online | Meeting | > 50 and < 100 | Multistakeholder | USA | The NCP activities on sector due diligence |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 28/01/2021 | Online | Meeting | > 50 and < 100 | Multistakeholder | Lab | sustainable development |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 25/02/2021 | Online | Meeting | > 50 and < 100 | Multistakeholder | Lab | sustainable development |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 15/04/2021 | Online | Meeting | > 50 and < 100 | Multistakeholder | Lab | sustainable development |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 20/05/2021 | Online | Meeting | > 100 | Multistakeholder | Lab | sustainable development |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 25/05/2021 | Online | Meeting | > 100 | Multistakeholder | Lab | sustainable development |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 24/06/2021 | Online | Meeting | not available | Multistakeholder | Lab | sustainable development |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 13/10/2021 | Online | Meeting | > 10 and < 50 | Multistakeholder | Lab | sustainable development |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 29/11/2021 | Online | meeting | not available | Multistakeholder | Lab | sustainable development |
| Meeting of the Laboratory of Financial Innovation (Lab), Integrated Risk Management Subgroup | 01/12/2021 | Online | Meeting | > 10 and < 50 | Multistakeholder | Lab | sustainable development |
| EACDH. Empresas e direitos humanos. 7ª sessão do OEIGWG. Terceira minuta de LBI. Negociações. Reunião de coordenação. | 22/10/2022 | Online | meeting | not available | Government representatives | MMFDH | Policy coherence on RBC |
| RBC & Public Procurement: Virtual training on Essentials of OECD Due Diligence | 22/03/2021 | Online | Training | not available | General public | OECD | the OECD Guidelines and the NCP mechanism |
| Regulatory Developments concerning Due Diligence for Responsible Business Conduct - GFRBC: Policy Makers' Roundtable (PMRT) | 14/05/2021 | Online | Meeting | not available | General public | OECD | the OECD Guidelines and the NCP mechanism |
| G20 Infrastructure Investors Dialogue, under the Italian G20 Presidency in collaboration with the OECD and D20 Long-Term Investor Club | 03/06/2021 | Online | Meeting | not available | Multistakeholder | G20, OECD | the OECD Guidelines and the NCP mechanism |
| Regulatory Developments concerning Due Diligence for Responsible Business Conduct - GFRBC: Policy Makers' Roundtable (PMRT) | 14/06/2021 | Online | Meeting | not available | General public | OECD | the OECD Guidelines and the NCP mechanism |
| Global Forum on Responsible Business Conduct | 15/06/2021 | Online | Meeting | not available | General public | OECD | the OECD Guidelines and the NCP mechanism |
| Webinar on Stock-taking report on the Guidelines for Multinational Enterprises and Draft Recommendation on the Role of Government | 24/06/2021 | Online | Meeting | not available | General public | OECD | the OECD Guidelines and the NCP mechanism |
| Seminar "Labour issues in RBC: the guidance provided by International Labour Standards and the ILO", RBCLAC Projct | 01/02/2021 | Online | Training | not available | Multistakeholder | OECD, ILO | the OECD Guidelines and the NCP mechanism |
| Meeting with Confederação Nacional da Indústria (CNI) on the OECD Guidelines | 23/04/2021 | Online | Meeting | > 10 and < 50 | Business representatives | NCP Brazil | the OECD Guidelines and the NCP mechanism |
| Meeting of the UN Global Compact, Human Rights Platform | 11/02/2021 | Online | Meeting | > 100 | General public | UN Global Compact, Network Brazil | the OECD Guidelines and the NCP mechanism |
| Meeting with NCP Argentina, peer learning | 09/02/2021 | Online | Meeting | not available | NCPs | NCP Brazil | the OECD Guidelines and the NCP mechanism |
| Meeting with NCP Chile, peer learning | 12/05/2021 | Online | Meeting | <10 | NCPs | NCP Chile | the OECD Guidelines and the NCP mechanism |
| Meeting with Proteste - partnership | 30/06/2021 | Online | Meeting | <10 | NGO | NCP Brazil | the OECD Guidelines and the NCP mechanism |
| Meeting with CNI on Pacer | 13/07/2021 | Online | Meeting | <10 | Business representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with CNA on Pacer | 27/07/2021 | Online | Meeting | not available | Government representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with Conselho Nacional de Direitos Humanos (CNDH) on specific instances | 30/07/2021 | Online | Meeting | not available | Government representatives | NCP Brazil | the OECD Guidelines and the NCP mechanism |
| Meeting with SEBRAE on Pacer | 01/09/2021 | Online | Meeting | not available | Government representatives | NCP Brazil | Policy coherence on RBC |

| | | | | | | | |
|---|------------|--------|----------|---------------|----------------------------|-----------------------------------|---|
| Meeting with MMA on RBC policy review | 27/09/2021 | Online | Meeting | <10 | Government representatives | NCP Brazil | Policy coherence on RBC |
| Meeting with ABDE on Pacer and NCP | 28/09/2021 | Online | Meeting | <10 | Multistakeholder | NCP Brazil | Policy coherence on RBC |
| Second workshop for LAC NCPs on rules of procedure | 06/07/2021 | Online | Meeting | not available | Government representatives | OECD | the OECD Guidelines and the NCP mechanism |
| Meeting with MMFDH | 12/11/2021 | Online | Meeting | not available | Government representatives | NCP Brazil | Policy coherence on RBC |
| III Encuentro Comunidad de Práctica Intergubernamental sobre Empresas y DDHH | 13/04/2021 | Online | Meeting | not available | General public | United Nations | Policy coherence on RBC |
| Workshop sobre interações entre Direitos Humanos e Compliance e Devida Diligência da Rede Brasil do Pacto Global e o Global Business Initiative on Human Rights (GBI) | 30/04/2021 | Online | Workshop | > 100 | General public | UN Global Compact, Network Brazil | Policy coherence on RBC |
| IV Encuentro Comunidad de Práctica Intergubernamental sobre Empresas y DDHH | 12/05/2021 | Online | Meeting | not available | NCPs | United Nations | Policy coherence on RBC |
| UK-Brazil Trade Steering Group - Third Meeting | 07/06/2021 | Online | Meeting | > 10 and < 50 | General public | UK, BR | the OECD Guidelines and the NCP mechanism |
| V Encuentro Comunidad de Práctica Intergubernamental sobre Empresas y DDHH | 09/06/2021 | Online | Meeting | not available | General public | United Nations | Policy coherence on RBC |

Additional comments:

Please follow the NCP Brazil's promotional activities on: <https://www.gov.br/produtividade-e-comercio-exterior/pt-br/assuntos/camex/pcn/produtos/promocao/promocao-diretrizes-ocde>.

Total number of events:

56

PART 2: SPECIFIC INSTANCES

Please provide details of the following in the table below:

1. Specific instances **in progress** during the year (specific instances received and pending initial assessment, or found to merit further examination after the initial assessment and under consideration by the NCP).
2. Specific instances **concluded** during the year (specific instances that the NCP found to merit further examination after the initial assessment and that have subsequently been closed).
3. Specific instances **not accepted** during the year (specific instances that the NCP found not to merit further examination after initial assessment).
4. Specific instances for which **follow up** was performed during the year (the NCP monitored whether the agreement reached by the parties or its recommendations to the parties have been implemented)

Please add additional lines if needed.

We encourage all NCPs to inform the OECD Secretariat on received specific instances and to provide a final statement as soon as it becomes available, in order to keep the OECD database updated at all times. For all specific instances that have not yet been reported to the OECD Secretariat, please complete and send this [form](mailto:ncp-specific-instances@oecd.org) to ncp-specific-instances@oecd.org¹.

¹ According to paragraph 42 of the Commentary on the Implementation Procedures of the OECD Guidelines for Multinational Enterprises, “[...] NCPs will report to the Investment Committee in order to include in the Annual Report on the OECD Guidelines information on all specific instances that have been initiated by parties, including those that are in the process of an initial assessment, those for which offers of good offices have been extended and discussions are in progress, and those in which the NCP has decided not to extend an offer of good offices after an initial assessment”.

For all specific instances that are currently IN PROGRESS:

| Names of parties | Date received <i>(dd/mm/yyyy)</i> | Is the initial assessment publicly available? | Link to OECD database if available | Did the NCP co-operate with other NCPs during the handling of this specific instance? If yes, please describe. |
|---|---|--|---|---|
| Dunkin' Donuts/ ADERE | 21-Aug-2018 | No | http://mneguidelines.oecd.org/databases/instances/br0034.htm | United States |
| Jacobs Douwe Egberts/ ADERE | 21-Aug-2018 | No | http://mneguidelines.oecd.org/databases/instances/br0033.htm | United States |
| Mc Donald's/ ADERE | 21-Aug-2018 | No | http://mneguidelines.oecd.org/databases/instances/br0035.htm | United States |
| Nestlé/ ADERE | 21-Aug-2018 | No | http://mneguidelines.oecd.org/databases/instances/br0036.htm | Switzerland |
| Eni SpA/ DOUGLAS | 16-Jul-2020 | No | http://mneguidelines.oecd.org/databases/instances/br0039.htm | Italy |
| Bracell Bahia Forestry Ltda/ IZABEL LOPES | 31-Aug-2020 | No | http://mneguidelines.oecd.org/databases/instances/br0028.htm | No |

Additional comments:

Total number of specific instances:

6

For all specific instances that were CONCLUDED during the year:

| Title | Date received <i>(dd/mm/yyyy)</i> | Date concluded <i>(dd/mm/yyyy)</i> | Link to OECD database if available | Outcomes achieved | Does the final statement plan for a follow up? | Did the NCP co-operate with other NCPs during the handling of this specific instance? If yes, please describe. |
|--------------------------|---|--|---|--------------------------|---|---|
| Vale S.A./ VILA SOLARIS | 14-Feb-2020 | 26/04/2021 | http://mneguidelines.oecd.org/data-base/instances/br0031.htm | No | No | No |
| Petrobras S.A./ DOUGLAS. | 16-Jul-2020 | 05/03/2021 | https://mneguidelines.oecd.org/data-base/instances/br0032.htm | No | No | No |
| Vale S.A./ CARLOS CLEBER | 23-Jan-2020 | 13/09/2021 | http://mneguidelines.oecd.org/data-base/instances/br0030.htm | yes | Yes | 26/04/2022 |
| Vale S.A./ ANA LANA | 14-Feb-2020 | 13/09/2021 | http://mneguidelines.oecd.org/data-base/instances/br0029.htm | yes | Yes | 28/04/2022 |

Additional comments:

The Specific Instances *Vale S.A./ CARLOS CLEBER* and *Vale S.A./ ANA LANA* were concluded in 2021, and are in follow-up (first cycle to be concluded on April 2022).

Total number of specific instances:

4

For all specific instances that were NOT ACCEPTED during the year:

| Title | Date received <i>(dd/mm/yyyy)</i> | Link to OECD database if available | Reasons for not accepting the specific instance: | Did the NCP co-operate with other NCPs during the handling of this specific instance? If yes, please describe. |
|---|---|---|---|---|
| Empresa com sede no Brasil/ Grecia Julia Leite | 21-May-2021 | 24/08/2021 | The issue is not material and substantiated | No |
| Empresa com sede no Brasil/ Douglas Flinto | 27-May-2021 | 27/09/2021 | The issue is not material and substantiated | No |
| Empresa com sede na Alemanha/ Society for threatened people | 30-Dec-2021 | 02/09/2021 | Specific instance was transferred to another NCP | Germany |

Additional comments:

The specific instance *Empresa com sede na Alemanha/ Society* for threatened people has been transferred to NCP Germany. NCP Brazil is acting as support

Total number of specific instances:

3

For all specific instances for which FOLLOW UP was performed during the year:

| Title | Date concluded <i>(dd/mm/yyyy)</i> | Date of follow up <i>(dd/mm/yyyy)</i> | Was a public follow up statement issued? | Link to the follow up statement, if applicable |
|-----------------------|--|---|---|---|
| Van Oord/ FORUM SUAPE | 27-Dec-2021 | 27-Dec-2021 | Yes | https://www.gov.br/produktividade-e-comercio-exterior/pt-br/assuntos/camex/pcn/produutos/alegacoes-de-inobservancia/banco-de-dados-de-alegacoes-de-inobservancia/van-oord-forum-suape-e-outras-osc |
| Illy/ ADERE | 21-Aug-2018 | Click or tap to enter a date. | No | Click here to enter text. |
| Starbucks/ ADERE | 21-Aug-2018 | Click or tap to enter a date. | No | Click here to enter text. |

Additional comments:

Follow-up reports of the Specific Instances Illy/ ADERE and Starbucks/ ADERE will be publish soon on <https://www.gov.br/produktividade-e-comercio-exterior/pt-br/assuntos/camex/pcn/produutos/alegacoes-de-inobservancia/instancias-especificas-alegacoes-de-inobservancia-das-diretrizes-da-ocde>.

Total number of specific instances:

3