

## **Call for support for the development of tests for rare diseases applied to neonatal screening**

**Instituto Jô Clemente (IJC)** - formerly APAE of São Paulo - has been a reference in the country for the cause of Intellectual Disability (ID) for over 61 years. With the certainty of the potential of people with intellectual disabilities and the positive impact of their social inclusion, throughout these six decades, the institution has been developing services and practices recognized nationally and internationally, having as pillars the prevention and promotion of health, social inclusion, the defense and guarantee of rights, science, and innovation.

Through this call, IJC intends to fund the development of tests for rare diseases of genetic origin. Today diagnosed at a late stage, such disorders could be detected earlier, by means of dried blood spot (DBS). Proposals that seek to create and/or adapt tests that can be adopted in the newborn screening service will be considered. IJC encourages the resumption of promising previous results, provided they fit other eligibility criteria.

Rare diseases of genetic origin, confirmable or not by genetic panel (and other methods), of known or unknown incidence in the Brazilian population of live births, which present or not any clinical signs at birth, shall be considered as congenital anomalies, intellectual disability, inborn errors of metabolism and neuromuscular diseases. There is no need for a clinical protocol and therapeutic guidelines

(PCDT) for the disease. Proposals for basic screening diseases (phenylketonuria, congenital hypothyroidism, congenital adrenal hyperplasia, galactosemia, biotinidase deficiency, glucose-6-phosphate dehydrogenase-G6PD deficiency, and congenital toxoplasmosis) shall not be considered.

IJC will foster a selected set of projects with a total budget of up to 900 thousand reais, with allocations of up to 300 thousand reais per proposal, with a maximum execution time of 24 months. The selection, in two stages, shall be carried out by international reviewers working at the frontier of knowledge in the area of the call.

The scope of this initiative is to finance applied research that can generate patents, utility models, and/or know-how. The research results and their respective intellectual property (IP) are subject to the IJC's intellectual property policy (*Annex I*).

Cases not provided for in the IP policy shall be handled between the parties, IJC, and the researcher.

The resources invested in this call come from IJC, whose facilities will be provided to carry out the research, if necessary. **Instituto Serrapilheira (IS)** is a partner in the call, having participated in the design of the call and providing operational support for the execution of the selection.

## **1. Schedule**

### **November 1, 2022**

Launch of the call for proposals and start of pre-proposal submission (phase 1)

### **December 2, 2022 / 3:00 PM (Brasília time)**

Deadline for the pre-proposals submission (phase 1)

### **February 06, 2023**

Announcement of selected names for phase 2 and call for submission of full proposals

### **April 10, 2023 / 3:00 PM (Brasília time)**

Deadline for submission of full proposals (phase 2)

### **June 05, 2023**

Announcement of the selected names

### **July 10, 2023**

Start date of the support

## **2. Support and budget**

IJC shall support the development of tests for rare diseases, and grantees may receive funding of up to three hundred thousand reais (300,000). The projects must be carried out within 24 months (2 years), after approval by the Research Ethics Committee (REC), when applicable.

### **Resource allocation**

The applicants must justify the budget and the schedule for the use of the resources. The requested resources must be scaled to achieve the goals listed in the project.

### **About the Program**

In addition to providing the financial resources, the Center of Education, Research, and Innovation (CEPI) of IJC shall promote a semiannual meeting between the researchers in a workshop for discussion and integration among the selected candidates, as well as follow-up meetings between the researchers and the IJC staff.

### **Start of the support**

The official start date for the support will be July 10, 2023.

### **Use of resources**

IJC offers flexibility in the use of resources throughout the implementation of the supported proposal. The applicants can use the resources allocated as they see fit for the development of the research, as long as they are associated with the project's objectives.

The calculation for the remuneration of scholarships and salaries for the teams of the selected scientists shall be based on the Institute's reference values (*Annex II*).

### **Financing conditions and financial management**

The financing conditions are established by IJC. The allocations are intended directly for research and are to be managed by a foundation indicated by IJC, not by the host institution of which the scientists are employed.

We encourage the host institutions to offer the scientists adequate conditions for the development of their projects. The agreement shall be signed between the foundation, the scientist, the host institution, and IJC.

After the agreement is made available for electronic signature, all participants must sign it within a maximum period of four months (four months for signature), after the agreement is made available. If this deadline is not met, the agreement may be cancelled without being considered a contractual breach by IJC, and support for the scientist may not be granted.

### **Administrative fees**

It is important to clarify that any administrative fees related to the management of the financial support will be deducted directly from the amounts allocated to the projects. Scientists will be free to negotiate the technical reserve paid to their host institutions, in a range between 2% and 5% of the amount allocated. This percentage is intended to cover the costs of operation and of the basic

infrastructure provided by the host institutions. The entity responsible for the financial management of the project, to be indicated by IJC, shall receive up to 8% of the allocations of the project. Thus, we estimate that the net amount allocated to research will be between 87% and 90% of the original amount.

### **Additional Call**

IJC may, if appropriate, launch a phase 3, which will allocate additional resources to candidates approved in this call, taking into account that candidates are required to submit results of new innovative technologies, processes, and/or products. The additional resources are aimed at implementing the results in IJC.

The funding amounts to be applied in this phase shall be under IJC's sole and exclusive discretion, submitted at the time of the launching of phase 3 through a new call.

## **3. Conditions for accepting applications**

The criteria for accepting applications are as follows:

### **Regarding the applicant and the employment with the Brazilian host institution**

Candidates must hold a doctoral degree, carry out scientific research, and hold a permanent position - as professor or researcher - at a public or private university, institute, or entity based in Brazil.

Partners of technology-based companies/startups and public servants in technical positions can apply, as long as they effectively carry out research at the host institution.

### **Ineligibility**

Graduate students, post-doctoral students, deputy professors, associate researchers, guest researchers, and volunteer researchers are not eligible.

### **Publication of scientific papers**

Candidates must be lead authors of at least two published impactful scientific papers with an emphasis on the area of the call, i.e. rare diseases or development of diagnostic tests in dried blood. The main author is the one who has made the greatest contribution to the work, not necessarily the head of the laboratory or the leader of the research group.

By "impact" we mean the effect the paper had in questioning, advancing, or deepening knowledge in the field. Thus, the candidate needs to justify why they consider their paper to be impactful based on the content and intellectual contribution of the texts (see section "How to apply").

### **Place where the research shall be carried out**

The projects must be carried out in the country, although it is admissible that part of the activity is carried out abroad, such as fieldwork or collaborative research work. Scientists working exclusively in foreign institutions are not eligible to receive IJC

funding through this call, and there is no portability of our allocations to other countries.

### **Language**

As the selection of proposals will be conducted by scientists working in international institutions, all fields of the registration and application forms must be properly filled out in English, a language that will also be adopted for the writing of the projects. Since the interviews of those selected for phase 2 will be in English, candidates must be proficient in this language. They have to be able to present their ideas and defend their project to a panel of international reviewers.

### **Electronic submission**

Proposals must be submitted electronically through the Serrapilheira portal on Fluxx (<https://serrapilheira.fluxx.io>), within the deadlines established in this call.

### **CV Curriculum vitae**

The applicant's curriculum vitae (PDF) must not exceed two pages and must follow the model available at <http://bit.ly/2kDe1Z2>. Curriculum in other formats will not be considered.

**Applications that do not meet the above conditions will not be processed.**

## **4. Applications**

The submission of proposals will be carried out in two phases: phase 1 (pre-proposals) and phase 2 (full proposals).

## **5. How to apply for phase 1: Pre-proposals**

### **Opening of the submission portal**

Candidates must access the proposal submission portal, which shall be open as of November 1, 2022, at 3:00 PM (Brasília time).

### **Access to the proposal submission portal**

Address: <https://serrapilheira.fluxx.io>

### **Pre-proposal submission deadline**

November 1 to December 2, 2022, at 3:00 PM (Brasília time)

### **Registration**

Data

- name
- e-mail
- phone

### **Eligibility requirements**

Once registration is complete, candidates are directed to the eligibility requirements, confirming that they meet the criteria established for this call.

The eligibility test is validated by the IJC/IS staff within 24 hours.

## **Application form**

After completing the registration and eligibility data, applicants are directed to the application form, composed of the sections "About the applicant" and "About the project", whose fields must be filled out in the system itself.

## **About the applicant**

### **Personal data**

- nationality
- date of birth
- city/state/country of birth
- institution
- address/city/state/zip code
- gender
- race/ethnicity
- link to the curriculum vitae Lattes
- link to the Google Scholar profile
- ORCID identification number
- link to the laboratory website (optional)
- social network profile (optional)

### **Academic background**

- academic background: undergraduate degree, master's degree (if applicable), doctoral degree, post-doctoral degree (if applicable)
- year of obtaining the doctoral degree
- year of admission in the institution

- independent research funding, not including grants (if applicable)

### **Publications**

- titles and PDF files of up to five scientific papers already published as main author or collaborating paper, and that demonstrate scientific capability regarding the research proposal and with the objectives of this call.
- description of the applicant's contribution to said papers and justification for the choice of papers, explaining:
  - i. why do you consider yourself the primary author, and;
  - ii. why do you consider them to have an impact on the objectives of the call (2,000 characters with spaces)

**This section will play a critical role in the first evaluation of the proposals. We recommend that candidates dedicate time and consideration to this step.**

### **CV Curriculum vitae**

Curriculum vitae (PDF), maximum of two pages, strictly observing the model available at: <http://bit.ly/2kDe1Z2>

### **About the Project**

#### **Title**

(up to 150 characters with spaces).

## **Keywords**

Indication of three keywords to loosely describe the subject area of the research project. They are fundamental for referring the project to appropriate evaluators.

## **Six sets of questions**

**I.** What is (are) the target disease(s) of the proposed diagnostic test? Is there a known retrospective study on this? What type of treatment is currently performed (e.g., medication, rehabilitation)? (up to 1,000 characters with spaces)

**II.** What methodology will be used to develop the test? (up to 1000 characters with spaces)

**III.** Has your approach been tested in the area of these diseases and/or others? (up to 1000 characters with spaces)

**IV.** What are the main intermediate milestones that attest to the good progress of the project? (up to 1,000 characters with spaces)

**V.** What challenges do you anticipate in developing the test? Propose alternatives and technical solutions, if applicable (up to one thousand characters with spaces)

**VI.** If there was the option of using diagnostic methodologies other than the blood on filter paper (DBS) technique, would you opt for it? Which one and why? (up to 1000 characters with spaces)

This section will play a critical role in the first evaluation of the proposals. We recommend that candidates dedicate time and consideration to this step.

## **6. How to apply for phase 2: Full proposals**

The candidates selected in phase 1 will be called to submit full proposals for phase 2.

### **Full proposals submission deadline**

April 10, 2023, at 3:00 PM (Brasília time)

### **Access to the proposal submission portal**

Candidates should access the proposal submission portal - open as of February 2023 at <https://serrapilheira.fluxx.io> - and submit the documents listed below:

### **Documents**

#### **Research project**

Candidates must submit a thorough description of the research project. It must contain:

- **project title** (up to 150 characters with space)
- **name of the applicant**
- **short abstract** (up to 2,000 characters with space)
- **comprehensive introduction**, which includes the scientific grounds for the proposal. If relevant, **preliminary data and previous results that support the project should be mentioned**. It is essential to mention retrospective studies of the target disease, submit data on age, race and gender prevalence of the disease, and the types of treatment currently

performed (e.g., medication, rehabilitation). (up to 10,000 characters with spaces)

- **target diseases:** Which disease(s) is/are the target disease(s) of the proposed diagnostic test? (up to 2,500 characters with space)
- **methodology:** What methodology will be used to develop the test? (up to 2,500 characters with spaces)
- **approach:** Has your approach been tested in the area of these diseases and/or others? (up to 2,500 characters with spaces)
- **intermediate milestones:** What are the main intermediate milestones that attest to the good progress of the project? (up to 2,500 characters with spaces)
- **technical risk:** What challenges do you anticipate throughout the development of the test? Propose alternatives and technical solutions, if applicable (up to 2,500 characters with spaces)
- **team:** description of the profile of the team involved in the project (up to 2,500 characters with spaces)
- **timeline,** including key intermediate milestones that attest to the good progress of the project.
- **simplified budget** (except for the total approved amount, expenses may be adjusted throughout the development of the project).
- **bibliographical references**

**CV Curriculum vitae** (if there has been a major change after submission of phase 1)

Curriculum vitae (PDF), maximum of two pages, strictly observing the model available at: <http://bit.ly/2kDe1Z2>.

**Projects that are incomplete or in disagreement with the guidelines described in this call shall be disqualified and will not go forward for review.**

The research project (of ten to fifteen pages, not counting bibliographical references) must observe the following formatting:

- **page format: A4**
  - **font: Times New Roman**
  - **font size: 12 pt**
  - **space between lines: 1.5**
- margins: 2 cm (right and left); 2 cm (top); 1.5 cm (bottom)**

## **7. Selection process**

The evaluation of the proposals will be conducted mostly by scientists working in international institutions of excellence, with a diverse gender and race profile, whenever possible.

## **8. Step 1: Pre-proposal selection**

### **Framework analysis**

The executive team will evaluate whether all materials submitted by the candidate meet the criteria for proposal acceptance. Only those that meet all the criteria shall be included in the selection process. When necessary, specialists can assist the executive team in this analysis.

### **Merit analysis and criteria**

Pre-proposals shall be grouped in blocks according to rare disease groups (congenital or late manifestation anomalies; intellectual disability; inborn errors of metabolism). Each pre-proposal shall be independently evaluated by at least two experts in each field.

Based on the criteria of scientific capability, experience in the field, originality, structuring of the proposal, feasibility, and risk, the following are analyzed:

- the academic background of the applicant (curriculum vitae)
- the scientific production indicated by the candidate
- answers to the six questions listed above

Each evaluator will send the executive team a ranking list of the candidates. The executive team will compare the listings and, in cases of discrepancy, discuss with the evaluators and, if necessary, ad hoc evaluators, which candidates should be called upon to submit full proposals. At this point, the candidate's ability to make a presentation and answer, in English, briefly about his/her project and career will be evaluated in a short phone conversation.

**The IJC will not send opinion to applicants not selected for phase 2.**

## 9. Step 2: Selection of full proposals

### Framework analysis

The executive team will evaluate whether all materials submitted by the candidate meet the criteria for proposal acceptance. Only those that meet all the criteria shall be included in the selection process.

### Merit analysis

Each full proposal, consisting of a research project and curriculum vitae, shall be independently evaluated by at least two evaluators of the area, according to the criteria detailed below. The evaluators will be the same as in phase 1; if necessary, new ad hoc evaluators can be called.

### Criteria

Evaluators should score all eligible proposals using a scale from 1 to 7 (1=bad; 2=poor; 3=reasonable; 4=good; 5=very good; 6=excellent; 7=exceptional) for each of the criteria listed Below.

### Quality of the applicant

- **Scientific ability\***: whether the candidate demonstrates an ability to conduct rigorous research. \*The thoroughness of the research developed so far is evaluated, regardless of the number of papers published.
- **Experience in the field**: whether the applicant demonstrates experience in areas relevant to the subject of the call (development of diagnostic tests, genetics of rare diseases, etc.)

### **Quality of the proposal**

- **Originality:** does the project propose an approach that wasn't been tried before? If it has already been tried, is there a good justification for following through with this approach?
- **Structure and presentation:** how well structured is the proposal?

### **Feasibility**

- Is the research methodology in line with the project's objectives?
- Does the composition of the team meet the demands proposed for the project's development?
- Are the requested financial resources and deadlines adequate?

### **Risk**

- Is it likely that the work will not be successfully completed within the deadline provided?

### **Interview**

Next, organized in panels for each area, the same evaluators who carried out the merit analysis will interview the candidates remotely. Each candidate will give a ten-minute presentation, in English, and answer questions for another twenty minutes.

**The candidate must be proficient in English and able to clearly present his project, and answer questions objectively.**

For the ten minutes of the presentation, the candidate should observe the following structure:

- presentation of the proposal and the reasons for his/her choice of approach
- evaluation of the project risk and the technical difficulty of the work to be carried out
- presentation of schedule, budget, and team involved in the project

After the oral presentation, each evaluator should score the candidate from 1 to 7 (1=bad; 2=poor; 3=reasonable; 4=good; 5=very good; 6=excellent; 7=exceptional), observing the criteria provided for this call, including their ability to defend and contextualize their approach, as well as show that they comprehensively understand their field. Executive team members do not evaluate the presentations.

Each evaluator should send the executive team his/her score and a commentary of the review, before discussing it with the other panel members. Next, the executive team consolidates the scores and sends them by email to the panel members.

The executive team should submit the consents and indicate the candidates that received different scores. Understanding the arguments for and against non-consensual candidates is the job of the executive team, with the advice of independent ad hoc evaluators, if applicable.

At the end of the process, the judging panel from each area will confirm by email to the executive team a ranking list of up to three proposals. Ties are allowed. If it is necessary to discuss nominations

in non-consensual cases, the executive team will organize another meeting with the panel members.

Candidates who reach the final stage of the detailed analysis will receive the relevant opinions.

### **Final validation**

Based on the recommendations from evaluators, the executive team consolidates and approves the final list taking into account the ranking and the availability of funds. Approval of the final list of proposals to be supported will be submitted to the Center of Education, Research, and Innovation of IJC (CEPI-IJC).

## **10. Final remarks on the selection**

### **About the number of evaluators**

The number of eligible proposals shall determine the number of evaluators, with each preproposal and full proposal being reviewed by at least two evaluators.

### **About sending opinions**

The proposals that reach the final stage of the selection phase will receive a written opinion from the area evaluators.

### **Notification to evaluators about unconscious bias**

In our methodology, we remind evaluators of the existence of unconscious biases, which must be considered when selecting proposals.

### **IJC/IS Commitments**

- Exclude from the evaluation team people who have any conflict of interest with candidates participating in this call
- Ensure that all proposals are evaluated by qualified evaluators

## **11. Relevant remarks**

### **Demographics**

Why report demographics? By spontaneously reporting the demographics data to IJC/IS, candidates are invited and expressly agree to contribute to the improvement of the IJC/IS's actions to encourage diversity in science. Access to this data is limited to those professionals who participate in IJC/IS policy formulation and observe the codes of conduct and integrity and ethics policy of IJC and IS. The possible treatment and disclosure of demographics collected in the call is restricted to a statistical purpose, linked to the transparency of information by the IJC/IS, without mentioning or identifying projects or candidates, and always observing the criteria of sensitivity, secrecy and confidentiality provided by the current legal legislation. Evaluators do not have access to the data at any stage of the selection process, and the option not to provide the demographics does not imply nor is it a criterion for eliminating candidates from the selection process. For registration of this option, there is in the item in question the option "do not inform". The Code of Conduct and

Integrity and Ethics Policy of IJC can be found [here](#). The IS one can be found [here](#).

### **Good practices in diversity in science**

IJC/IS believes that great results come from a science practiced from uncertainty and risk, and that this is a science possible when there is freedom of ideas and plurality of points of view. For this, a more diverse group of young researchers who think about science from different perspectives is essential. And that is why we encourage ethnic-racial and gender diversity in science in Brazil.

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### **Intellectual Property**

If the research supported through this call results in patent processes, they will be subject to the IJC's intellectual property policy. IS shall not claim any intellectual property rights.

### **Code of conduct**

The proposed research activities must comply with the ethical principles and legal standards in force in Brazil. Compliance with the legal guidelines and standards in force is the responsibility of the

scientists supported by IJC. We require from scientists to respect the environment, human and animal health, and the rights to privacy, physical integrity, data protection, and non-discrimination. Failure to observe any of these rights may result in the cancellation of the allocation.

### **Research Integrity**

IJC/IS strongly supports research integrity. In the event of proven cases of scientific misconduct, such as plagiarism, fabrication, or forgery of results during the course of an IJC-funded project, financial support shall be cancelled.

### **From a legal point of view**

The Jô Clemente Institute and Serrapilheira Institute reserves the right to cancel, suspend, modify, revise, or postpone, at any time and at its sole discretion, the selection process referred to in this call, by means of a simple notice published in the same means of disclosure of this call.

No amount or reimbursement will be due, by any means, to any person, including but not limited to, potential candidates and candidates who have already submitted projects, or to institutions to which such candidates or potential candidates are linked, due of their participation and their respective projects in the selection process for this call because of their cancellation, suspension, modification or postponement.

The preparation of the projects and their respective submission to the selection process, which is the object of this call, are the full

responsibility of the candidates, who must fully bear their costs. By adhering to this call, the candidates recognize that it is exclusively up to the Jô Clemente Institute and Serrapilheira Institute to arbitrate the selection process by observing the procedures described herein.

The process of the selection of candidates by the Jô Clemente Institute and Serrapilheira Institute will not be subject to any type of appeal, request for review or reimbursement of costs, expenses or compensation in the case of nonselection of submitted projects, in any phase or stage of the processes described in this call.

The Jô Clemente Institute and Serrapilheira Institute may, at any time and regardless of the prior consent of the candidate or educational institution to which he or she is linked, develop and conduct, directly or indirectly, studies and research related to the works and proposals submitted through this call, including disclosing their results, respecting the commitment to confidentiality, as long as they are no longer public or of general knowledge at the time of the studies or research, as well as the ownership of their author(s).

To preserve the criteria of exemption and isonomy that guide the analysis and choice of competing practices and as a way to prevent potential conflicts of interest and/or violation of the rules set out in the Code of Ethics and Conduct of the institute, people with relationships of marriage, stable union or kinship by consanguinity or affinity, whether in a straight line, collateral or transverse, up to the second degree, with employees, directors, members of the board of trustees and scientific councils, or with evaluators or other service providers contracted for the selection of calls, will not be qualify, directly or indirectly, for the calls by the Serrapilheira Institute.

The deliberate nonobservance of this rule of impediment by any person who qualifies for calls by Jô Clemente Institute and Serrapilheira Institute will give the institutes, at its sole discretion of convenience and time, the right of exclusion of the beneficiary of the call, with the consequent termination of the contract and cancellation of the obligations arising therefrom, including pecuniary obligations, without this characterizing unjustified termination of contract.

Exceptions to the rules provided herein must be decided by the Jô Clemente Institute and Serrapilheira Institute board of trustees.

By accepting these terms and conditions, the candidate consents to Jô Clemente Institute and Serrapilheira Institute adding their name and e-mail to its mailing list. This inclusion may be revised at any time per user request.

### **Contact us**

[chamada\\_ijc@serrapilheira.org](mailto:chamada_ijc@serrapilheira.org)

This was the full content of the document that I faithfully translated, verified and attest. This translation is not a judgment on the form, authenticity and/or content of the document.  
Lucas Livingstone Felizola Soares de Andrade. São Paulo, 10/21/2022.

## **ANNEX I**

### **INTELLECTUAL PROPERTY POLICY**

INSTITUTO JÔ CLEMENTE

#### **1. PURPOSE**

1.1. The purpose of this Policy is to define the protection, management, and optimization of the generation, and economic use of the intellectual property of Instituto Jô Clemente aligned to its institutional objectives.

#### **2. DEFINITIONS**

2.1. The following definitions should be considered when interpreting the terms used throughout the Policy:

a) Intellectual Property Asset(s) or Asset(s): any Intellectual Works and/or creations, right, information, or good (corporeal or intangible) owned or licensed by the IJC, such as invention, patent of invention, model of utility, industrial design; an indication of origin; designation of origin, brand; documented methods, procedures, new synthesis/manufacturing processes of raw materials and/or products; new methodologies, Know-how; trade secret, new product, equipment, accessories and apparatus, copyright, computer program, data/database, sui generis forms of protection (cultivate and traditional knowledge); and everything that is protected by law against unfair competition.

b) Non-Financial Consideration (s): those not considered as Royalties, but economically measurable, such as transfer of material or know-how and cross-licenses to obtain access to technology from other entities.

c) Confidential Information (s): any written or oral information disclosed, whether or not containing the confidential expression, written, verbal, or in any other way presented, tangible or intangible,

that is owned or licensed by the IJC and that is not public knowledge, such as but not limited to, business secrets (know-how, trade secret), commercial, a financial or technical strategy that represents a competitive advantage.

d) Institute or IJC: Instituto Jô Clemente.

e) Intellectual Product (s): creations of the spirit, expressed by any means or fixed on any support, tangible or intangible, known or invented in the future, such as texts, photographs, illustrations, and projects, among others;

f) Royalty (s): financial benefits, income, remuneration, or income of any kind arising from the disposal, use, enjoyment, or exploitation of Intellectual Property Assets.

### **3. PRINCIPLES, OBJECTIVES, AND GUIDELINES**

3.1. The Policy will be governed by the following principles, objectives, and guidelines:

a) Ensure adequate legal protection of Intellectual Property Assets generated with the use of human, financial, and technical resources, means, data, materials, facilities, or equipment of the IJC and/or shared, assigned, or donated by third parties;

b) Define guidelines for internal and external relations to the IJC concerning Confidential Information, ownership of Intellectual Property Assets, and benefit-sharing conditions;

c) Ordain the access, licensing, or use of Intellectual Property Assets by third parties to the prior and express authorization of the IJC and/or the execution of appropriate legal instruments, except in cases in which the IJC decides to make the Asset available in the public domain to facilitate and to stimulate the accomplishment of studies, scientific and technological researches;

- d) Optimize and leverage the use of internal capabilities and opportunities for cooperation with other organizations to generate Intellectual Property Assets;
- e) Optimize and leverage the use of Intellectual Property Assets, including through economic use with third parties, and the Royalties and Non-Financial Counterparts obtained must be fully reversed for the benefit of the IJC itself, in compliance with its Bylaws;
- f) To disseminate the culture of the legal protection of Intellectual Property Assets internally at the IJC, per the management of intellectual property defined in this Policy;
- g) Respect the rights of identification of authors of Intellectual Property Assets under the terms of this Policy and applicable legislation.

#### **4. IJC GOVERNANCE AND INTELLECTUAL PROPERTY**

4.1. The Scientific and Innovation Committee ("CCI") is responsible for:

- a) Ensure compliance with and awareness of this Policy internally to the IJC;
- b) Define the guidelines for the governance and management of Intellectual Property assets;
- c) Provide guidelines for proper compliance with this Policy, including the issuance of execution standards;
- d) Recommend to the Board of Directors on the advisability of protecting IJC's Intellectual Property Assets, submitting to the Board of Directors the cases in which it is intended to sell them to third parties or make them available in the public domain;
- e) Recommend to the Board of Directors on the convenience of the economic use of Intellectual Property Assets, justifying the adequacy of the Bylaws and applicable legislation;

f) Appreciate and recommend the technical study on potential Intellectual Property Assets prepared by the Center for Teaching, Research, and Innovation.

4.2. It is incumbent upon the Center for Teaching, Research and Innovation ("CEPI"):

a) Perform the governance and management of Intellectual Property Assets;

b) Carry out technical studies to define the best way to protect research and projects in which there is potential for the generation of Intellectual Property Assets, submitting them for analysis and recommendation by the Scientific and Innovation Committee;

c) Carry out technical studies to define the best form of economic use and division of ownership of Intellectual Property Assets, submitting them to the analysis and recommendation of the Scientific and Innovation Committee;

d) Adopt the necessary measures for the adequate protection of IJC's Intellectual Property Assets, in addition to proceeding and keeping up-to-date the Asset records with the competent administrative bodies (National Institute of Industrial Property; National Library; Registro. BR, among others) in Brazil and/or abroad;

e) Monitor the use of Intellectual Property Assets sold to third parties or made available in the public domain;

f) Monitor and inspect the compliance and respect by third parties of the IJC's rights over Intellectual Property Assets, paying attention to the agreements signed with the parties involved in their conception and forwarding to the Legal Department cases of potentially illegal or improper use so that it adopts the appropriate measures.

**4.3.** It is incumbent upon the Legal Department of the IJC:

a) To defend the interests of the IJC in the face of litigation, judicial or extrajudicial, related to Intellectual Property Assets.

b) Pay attention, in the analysis of the legal instruments that are submitted for review or preparation from the perspective of Intellectual Property Assets, to the best interest of the IJC as an autonomous institution and to the negotiations that are carried out with third parties directly or indirectly involved in the design and elaboration of the Asset; and,

c) Issuing legal opinions on clauses, contracts, or legal instruments that involve Intellectual Property Assets in negotiation with other parties.

d) Evaluate aspects related to the application of the Intellectual Property Law and the General Law for the Protection of Personal Data, considering the difference inherent to the exercise of the rights to privacy and the protection of personal data.

4.4. It is incumbent upon all IJC employees to identify cases with a potential generation of Intellectual Property Assets and submit subsidies to CEPI for carrying out studies on the protection of Intellectual Property Assets and to obtain adequate legal protection.

4.5. It is up to the author(s):

a) Provide data and information necessary for carrying out studies on the protection of Intellectual Property Assets;

b) Provide data and information necessary to obtain adequate legal protection from the competent bodies, including for the appointment of the author(s); and

c) Enter into legal instruments necessary for the recognition of ownership of Intellectual Property Assets in favor of the IJC.

## **5. GUIDELINES REGARDING CONFIDENTIALITY**

5.1. Any access or disclose of the Institute's Confidential Information or personal data, controlled by IJC, is conditioned to the prior celebration of a confidentiality agreement or provision of a clause in

the contractual instrument that ensures the protection of Confidential Information, respecting legal provisions and/or determination of administrative or judicial bodies.

5.2. Employment contracts, service contracts, partnership contracts, or other legal instruments that involve Intellectual Property Assets or the processing of personal data must have a secrecy clause with the respective application of fines and punishments in case of violation.

## **6. OWNERSHIP OF INTELLECTUAL PROPERTY GENERATED IN IJC**

6.1. Contracts signed by the IJC that originate or have the potential to generate Intellectual Property Assets must include a property clause on the results that assures the IJC's ownership of the generated Intellectual Property Assets.

6.2. Ownership of Intellectual Property Assets may be shared with other institutions, bodies and public or private entities, or individuals who have participated in the development and/or financing of Intellectual Property Assets, only after the situation has been analyzed on a case-by-case basis by the Center for Teaching, Research and Innovation, endorsed by the Scientific and Innovation Committee.

6.2.1 The limits and proportions of ownership and intellectual property on economic results earned, including the provision of licensing conditions for third parties and/or economic consideration and division of expenses incurred to protect the Assets will be defined in a specific legal instrument.

6.2.2 If the negotiations with the third party advance towards the Asset being made available in the public domain or on a Creative Commons basis, the Teaching, Research, and Innovation Center and the Scientific and Innovation Committee must be consulted before the signature of the respective contractual instrument.

## **7. THE ECONOMIC USE OF INTELLECTUAL PROPERTY ASSETS**

7.1 The economic use of Intellectual Property Assets may be carried out through direct marketing, sale, execution

of assignment or licensing agreements for commercialization and exploitation with reputable companies or entities, creation of joint ventures, and other business opportunities.

7.2 Royalties and Non-Financial Considerations obtained must be fully reverted to the benefit of the IJC, in compliance with its Bylaws.

7.3 Royalties are not incorporated, in any way, into the salary of IJC employees. However, the IJC may, at its discretion, establish rules for recognition and economic reward or not for authors of Intellectual Property Assets.

## ANNEX II

**Table of IJC / IS scholarships**

<b>Modality</b>	<b>Value</b>
Scientific Initiation	between 400 and 1245 reais
Teaching or research assistant	between 1500 and 3300 reais
Master's	between 1500 and 3253 reais
PhD	between 2200 and 5589 reais
Postdoc	between 4100 and 11060 reais
Young talent	between 8000 and 18000 reais
Visiting professor/Researcher	between 4700 and 24000 reais

IJC / IS adopts ranges of scholarship values instead of fixed values, recognizing that:

- the cost of living varies significantly among Brazilian cities;
- the diverse socioeconomic conditions of the members of the research teams require a careful assessment; values associated with transportation, housing, and food can be added to the final amount of scholarship; and
- scholarships with higher values can help attract scientists from abroad.

Additionally, the value ranges allow for progression based on performance.

Serrapilheira also includes flexibility in the criteria for accepting scholarship recipients to consider the periods of career transition. For example, a student may benefit from a transitory scholarship pending the officialization of scholarships from state or federal agencies.