**BRAZILIAN ASSOCIATION OF RESEARCH AND INDUSTRIAL INNOVATION – EMBRAPII**

**EMBRAPII OPERATIONS MANUAL**

SEPTEMBER/2020

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* Changes into the form of participation of the Company and the Unit in project financing – 7. Financing Model;
* Formalization of Operational Guidelines as supplementary regulatory instruments to the Manual – 1. Objective.
* Formalization of different accreditation modes – 3. Accreditation by EMBRAPII.
* Formalization of special programs resulting from strategic partnerships – 7. Financing Model.
* Incorporation of the rules from Operational Guidelines 02/2017 - 9. Rendering of Accounts, 01/2018 - 8. Financial Execution, 02/2019 - Annex I.
* Incorporation of the TRL scale for Drugs and Biologics and its equivalence with the TRL ISO 16290 scale – Annex I.
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**BACKGROUND**

Since its founding in 2013, and with the accreditation of the first EMBRAPII Units in the following year, the accredited groups’ network has greatly expanded, together with the consolidation of the monitoring systems, procedures and guidelines for Institutions during the accreditation process.

In view of the maturity levels reached by both the accredited network and the operational processes, it is now appropriate to unify the various operations manuals currently in use into a single primary reference document, the **EMBRAPII Operations Manual**, which will provide guidelines to all accredited network participants.

This will not only optimize management and monitoring processes, but also indicates the operational maturity reached by the accredited institutions.

The new revised EMBRAPII Operations Manual, now in its 6.0 version, no longer refers to *Hubs* or *Units*, as in versions 3.0 and 5.0, respectively, and consolidates EMBRAPII guidelines to allow for their application to all accredited institutions.

Therefore, for the purposes of the guidelines provided in this Manual, all institutions are now called EMBRAPII Units, regardless of the specifics of each accreditation as formalized in the respective Terms of Cooperation and supplementary documents.

This publication also formalizes other EMBRAPII normative and guidance documents for accredited operations, such as the Operational Guidelines or the Strategic Partnership Guidelines signed by EMBRAPII with other innovation agents. All accredited institutions should monitor the updates to this Manual and other supplementary instruments, as specified in each accreditation commitment.

With this new version of the Manual, EMBRAPII aimed at consolidating all current guidelines and its vision for all accredited Units and their participants.

## OBJECTIVE

This Manual establishes operating rules for institutions accredited by EMBRAPII through its research groups, hereinafter referred to as EMBRAPII Units, as well as criteria and procedures for the use of funds and rules for monitoring and evaluating the EMBRAPII Units’ physical and financial performance.

The content presented here can be supplemented by additional rules formalized in the Operational Guidelines available at https://embrapii.org.br/institucional/manuais/.

All accredited Units should keep up to date on the content of and any amendments to this Manual, as well as on any additional rule published by EMBRAPII, on a temporary or permanent basis, aimed at establishing specific rules for specific contexts.

## EMBRAPII OPERATING MODEL

The Brazilian Association for Industrial Research and Innovation – EMBRAPII – is a non-profit private institution, recognized as a Social Organization by the Federal Government in September 2013. Its institutional action is guided by the goals specified in the Management Agreement signed in December 2013 with the Ministry of Science, Technology and Innovations – MCTI and with the Ministry of Education – MEC. As of 2018, the Management Agreement was amended to also include the Ministry of Health – MS.

EMBRAPII's operating model was conceived to encourage cooperation between scientific and technological research institutions and industrial companies, exploring the synergy between them and stimulating the transfer of knowledge and the search for technological solutions. EMBRAPII's believes that this cooperation can contribute significantly to increase the technological intensity and innovation capacity of the Brazilian Industry.

EMBRAPII Units are built based on specific competences of scientific and technological research institutions, either public or non-profit private, with proven experience in the development of innovation projects in partnership with industrial companies. Accreditation is granted exclusively to the institution’s division responsible for the area of ​​competence defined in the Action Plan approved and signed with EMBRAPII[[1]](#footnote-1).

EMBRAPII Units are required to have adequate infrastructure for contracting and implementing RD&I projects in the accredited area of ​​competence. Therefore, projects contracted with EMBRAPII basically involve operating expenses, including personnel.

Operational agility is essential for the good progress of partnerships and, especially, for the results of innovation projects. For this reason, EMBRAPII's operating model seeks to ensure flexibility for accredited research institutions to prospect new business and allocate the funds received, while maintaining the commitment to seek results for partner companies.

EMBRAPII Units’ systematic pursuit of operational excellence poses a challenge for the operating model. This pursuit involves internal organization processes aimed at enhancing EMBRAPII Units’ planning and delivery capacity and is based on operations well attuned to the market and on the continuous development of its competences.

One of the operating model’s pillars is therefore the establishment of performance goals for EMBRAPII Units, which are continuously monitored and evaluated by EMBRAPII.

Industrial companies are expected to be attracted by the accredited units’ strong knowledge base and by their ability to generate technological solutions, enhanced by the cost and risk sharing mechanism offered by EMBRAPII.

Another pillar of EMBRAPII’s operating model is that partner companies are required to provide counterpart funds, thus attesting their interest in developing the project and their confidence in the research institution's ability to implement it. This double commitment, of the company to the project and of the research institution to the achievement of results, is considered fundamental to EMBRAPII’s institutional goals.

EMBRAPII Units are selected and subsequently accredited, as discussed below.

## ACCREDITATION BY EMPRAPII

Accreditation enables the selected scientific and technological research institution to receive EMBRAPII funds, related to the Management Agreement or to other funding sources, to implement RD&I projects *in the accredited area of ​​competence*, always in partnership with companies in the industrial sector.

The process of selection and accreditation of research institutions is carried out through public calls, invitation letters or direct orders, at the discretion of EMBRAPII’s Board of Directors. The Board establishes specific guidelines and conditions defining priority areas, duration, the financial model to be adopted or other conditions specific to each process, which must be observed by the accredited Units during the accreditation period.

The contractual instrument for accreditation specifies the amount of funds to be transferred by EMBRAPII for implementing the EMBRAPII Unit (EU) Action Plan, as well as the performance goals to be met and other commitments.

The typical accreditation period is of three or six years, depending on accreditation conditions, which may be renewed according to the Unit's performance in the assessments discussed in item 13 of this Manual.

Depending on conditions, an HR Training Program for RD&I can also be agreed upon in the accreditation, whose rules of development and implementation are not discussed in this Manual.

In specific cases, accreditation may also involve a commitment to improve management by the accredited Unit, which is implemented according to the EMBRAPII Operational Excellence System[[2]](#footnote-2), based on the assessment of the operational maturity level and on the development of a structuring plan.

## PREREQUISITES FOR EMBRAPII UNITS OPERATION

The following are prerequisites for the operation of EMBRAPII Units:

1. autonomy to sign and implement RD&I projects in partnership with industrial companies, *provided the projects is in the area of competence contracted* with EMBRAPII;
2. focus on industrial demand for R&D aimed at innovation;
3. commitment to the delivery of results to partner companies;
4. adoption of good practices in conducting RD&I activities, which includes prospecting, negotiation, project and intellectual property management, communication, and administrative and financial management processes, always seeking operational excellence;
5. own capacity to execute projects, including in human resources and infrastructure.

The Unit's governance is a non-transferable responsibility of the accredited group, as are the implementation of processes and the results achieved.

### EMBRAPII UNIT PROCESSES

To achieve the best results in partnerships with companies, the EMBRAPII Unit should implement internal processes aimed at:

1. **Business development**, which involves the systematic pursuit of partnership opportunities, based on the strategy defined in the Action Plan.
2. **Project negotiation**, which concerns the process of discussing the partnership content. By convention, project negotiation starts with the presentation of a technical proposal to the partner company and ends when the partnership is formalized, with the signing of the contract and the approval of a work plan.
* The technical proposal must contain at the least the definition of the project’s scope and objective.
* The work plan must contain: partnership’s object, activities to be performed, project value and respective contributions and counterpart contributions, responsibilities of the parties, physical-financial schedule and macro-deliveries.
1. **Project management**, which involves a set of practices and procedures for planning and monitoring the project implementation, focused on achieving the goals defined jointly with the partner companies in the project, observing planned deadlines and costs.
2. **Intellectual Property Management**, which concerns the valuation, negotiation and management of rights over the technologies generated during project implementation.
3. **Communication**, which concerns the effort to disseminate information about the Unit's performance and the results achieved.
4. **Administrative and financial management**, which involves monitoring of the use of financial resources and the coordination of processes to support project implementation, including purchasing, personnel allocation, payment and accountability processes.

In addition, depending on conditions, the Unit must implement other processes to meet other accreditation commitments.

## PARTNERSHIP BETWEEN THE EMBRAPII UNIT AND COMPANIES

The EMBRAPII Unit has the autonomy to identify partnership opportunities and to contract projects aimed at generating technological solutions and launching new products and processes into the market, provided that:

1. the project meets EMBRAPII requirements, pursuant to item 6 of this Manual;
2. the project is co-financed by a company, pursuant to item 7.2 of this Manual;
3. at least one company among each project’s contractors has production in the country and belongs to the industrial sector (according to CNAE[[3]](#footnote-3)) or is covered by the Information Technology Law;
4. if the contracting companies do not meet the requirements established in item (iii) but commits to do so during the project implementation, always seeking production in the country of the EMBRAPII project results, the contracting will be allowed as long as this commitment is formalized in the project contractual instrument, which must also define penalties in case of non-compliance;
5. the institution to which the Unit is linked does not hold a majority interest in the project contracting company;
6. the project objective agreed between the Unit and the partner companies is aimed at producing the innovation in the country;
7. the partner company commits to participate in the assessment(s) conducted by EMBRAPII or its agent(s) at the end of each project, and this obligation is contractually formalized by the Unit and the project contracting companies.

The accredited institution assumes *sole responsibility* before EMBRAPII for the project(s) implementation, the use of financial resources, the rendering of accounts (item 9) and for the custody of the results obtained.

In research and development projects, the primary result of the project is defined as any innovation generated and transferred to partner companies at the end of the project term, and the secondary result is defined as any other result, tangible or intangible, that has the purpose of demonstrating technical feasibility, application, assessment or validation of the primary result of the project, including techniques, methods, processes, proofs of concept, prototypes, software code, designs, diagrams, models, etc.

Any secondary result of the project is the property and responsibility of the EMBRAPII Unit, which may transfer it on a provisional and temporary basis to the project contracting companies, through a technology transfer agreement, loan agreement – when there is an impact on equity – or another similar instrument. Any such instrument should formalize the term and conditions of the transfer and assign the responsibility for its use exclusively for the Unit and the project contracting companies.

Since EMBRAPII project results must necessarily be classified between 3 and 6 on the TRL scale, they are considered not to have a sufficient level of technological maturity to be directly implemented, marketed or used outside the scope of their projects.

In all cases, EMBRAPII Units must include in their contracts a clause stating that "*EMBRAPII accepts no liability for the use of any project results outside its scope of development*."

### CONFIDENTIALITY AND INTELLECTUAL PROPERTY

The agreement terms related to all Intellectual Property (IP) generated as part of the project implemented by the Unit and the partner companies, as well as the conditions of sale, licensing and confidentiality obligations, should be negotiated exclusively by the parties involved, without the participation of EMBRAPII, observing the following requirements:

1. The contractual instrument signed between the partner companies and the Unit must grant EMBRAPII access to project information for the purpose of evaluating project results.
2. Requests for intellectual property protection must necessarily be filed with the National Institute of Industrial Property – INPI, and registered with the EMBRAPII monitoring system (item 10). EMBRAPII Units should also encourage the filing of requests for protection with competent international organizations and/or bodies, provided that their costs are not incurred by the project.
3. The contractual instrument signed between the Unit and the companies must regulate the ownership, the ownership share, the license to third parties, the assignment of intellectual property rights, as well as commercial exploitation rights. The Unit may assign to the company the entirety of the intellectual property rights against the receipt of financial or non-financial compensation, provided the latter is economically measurable. In particular, the Unit must include in the contractual instrument a provision stating that if the companies do not commercially exploit or do not license the object of the protection request within a period contractually stipulated, without justification, the intellectual property and commercial exploitation rights must be transferred to the EMBRAPII Unit, which will be responsible for promoting its production in the country.
4. The contractual instrument signed between the partner companies and the Unit must ensure equality between the parties with respect to confidentiality, so that any dissemination material linked to the project must inform that the project was implemented with support/resources provided by EMBRAPII.
5. The contractual instrument signed between the partner companies and the Unit must include a provision authorizing the companies to publicize themselves, as well as the project title and public description, as registered in the EMBRAPII Monitoring System, without the need for prior authorization by EMBRAPII in each case of use.

### PARTICIPATION OF ANOTHER EMBRAPII UNIT IN THE PROJECT

An EMBRAPII Unit may involve another accredited Unit as co-implementer[[4]](#footnote-4) of an EMBRAPII project, observed the areas of competence specified in their respective accreditations (item 6). EMBRAPII recognizes the co-implementation of a project through the existence of a single contractual document for the project, to which the various Units involved are signatories.

In the co-implementation of a project, duly formalized in a legal instrument, one of the accredited institutions must necessarily assume technical responsibility for the project regarding the contracting companies. Macro deliveries, intellectual property (IP) and budget provisions (including contracting companies, EMBRAPII and counterpart contributions) must be properly distributed among the participating accredited institutions to compose the respective project portfolios in the EMBRAPII monitoring system.

Each Unit participating in the co-implemented project must enter the information relevant to its contribution in the EMBRAPII Monitoring System, observing all EMBRAPII project characteristics and the mandatory percentages specified in this Manual (items 7.2 and 8). Participating Units must also indicate the Coordinating Unit and the other co-implemented projects in the remarks field.

Each participating Unit must render accounts individually, according to their respective participation in the co-implemented project. However, the technical assessment is carried out considering the project as a whole.

## CHARACTERISTICS OF EMPRAPII PROJECTS

The RD&I project supported by EMBRAPII must be consistent with the technological identity of the implementing Unit, as defined by its area of ​​competence. The latter characterizes the Unit's thematic specialization and should allow a clear understanding of its operational focus in the implementation of RD&I projects.

Since the Unit must have adequate infrastructure to implement RD&I projects in the accredited area of ​​competence (item 4), its contracted projects fundamentally involve the financing of current expenses, including personnel costs.

The *results* – or *deliverables* – *provided for* in the RD&I projects contracted must be consistent with levels 3 to 6 of technological maturity, as defined in Annex 1 of this Manual. This characterization means that EMBRAPII projects are situated in the pre-competitive phase of the innovation effort, which involves the greatest technological risk. The provision of services must not be the goal of an EMBRAPII project.

A set of deliverables representing a physical project implementation milestone is defined by EMBRAPII as a macro-delivery, which serves to monitor the physical-financial execution of the contract signed between the Unit and the partner companies. Therefore, the documents that formalize the project implementation agreement must clearly describe the macro-deliveries and their respective deliverables, including for contractual purposes.

Each macro-delivery is considered concluded upon acceptance[[5]](#footnote-5) by the project contracting companies attesting to its fulfillment. The template for the macro-delivery acceptance document to be used by EMBRAPII Units can be found in Annex 2.

For the purpose of rendering accounts, the implementation period of a project lasts from the start of the contractual term to the date of the companies’ acceptance of the last macro-delivery, provided the contractual deadline is observed.

By convention, each project developed must include between three and five non-overlapping macro-deliveries, depending on project size and implementation period. In the case of large projects, a larger number of macro-deliveries should be planned with EMBRAPII’s prior consent.

For the purpose of physical-financial monitoring, macro-deliveries should be balanced in terms of duration, effort, budget and use of resources from different sources, and this balance must be observed from project planning to completion. Likewise, each project’s financial planning rules must be observed during implementation and in the final rendering of accounts.

Considering the schedule uncertainty inherent to innovation projects, planned deliveries can be revised, provided the formal agreement of the partner company is granted within the period established in the partnership agreement. Any and all amendments to the terms of validity must be formalized by all involved parties and duly registered in the EMBRAPII monitoring system.

The Unit must keep this information up to date and ensure that the project implementation is concluded within the established deadlines. Unjustified delays are considered in the Unit's performance assessment.

## FINANCING MODEL

EMBRAPII's financing model grants Units autonomy to manage their activities. On the other hand, they have exclusive responsibility for project implementation, use of financial resources and rendering of accounts, according to the rules established in this Manual.

### FINANCING OF THE EMBRAPII UNIT'S CONTRACTED PROJECT PORTFOLIO WITH MANAGEMENT AGREEMENT RESOURCES.

In the financing of the EMBRAPII Unit's project portfolio, the following general rule for the composition of resources applies:

1. EMBRAPII's contribution must not be more than 1/3 of the contracted projects portfolio’s total value;
2. the remaining 2/3 must be negotiated between the Unit and the partner companies contracting the projects;
3. the financial participation of the companies contracting the projects must not be less than 1/3 of the contracted projects portfolio’s total value and must always be financial;
4. the EMBRAPII Unit’s counterpart contribution may be financial or non-financial.

It is important to note that the general rule of composition applies to the Unit's project portfolio, that is, to the entire set of contracted projects and not to each project individually.

Specifically, each Unit's must commit itself before EMBRAPII to observe the rules of composition for the EMBRAPII's and the companies' financing sources, as well as the Unit's counterpart contribution established in the approved Action Plan and an in the Cooperation Agreement signed with EMBRAPII. Any changes to the composition must be agreed upon by EMBRAPII and the Unit and formalized in an amendment to the Cooperation Agreement.

### PROJECT FINANCING

During the implementation of each project, the Unit has the prerogative to define the percentage of EMBRAPII’s contribution and to negotiate the partner companies’ contribution, as well as its own – financial or non-financial – counterpart contribution considering factors such as development risks, technological challenges and the potential application of the technology generated by the project.

However, the following rules must be observed in the composition of financial resources *in each project*:

 (i) EMBRAPII

 • EMBRAPII’s financial contribution cannot be less than 10% of the project value.

(ii) COMPANIES

 • The partner companies’ financial contribution cannot be less than 10% of the project value;

 • In cases where the companies’ contribution originates in an obligation to invest in R&D, its share cannot be less than 50% of the project value[[6]](#footnote-6);

(iii) EMBRAPII UNIT

 • The Unit's contribution may be financial or non-financial;

 • The non-financial contribution refers to resources made available by the Unit;

 • The Unit's financial contribution must be deposited in accounts specific for each project.

The Unit should disburse resources from each source in a balanced way throughout the project implementation.

### PROJECT FINANCING WITH EMBRAPII SPECIFIC STRATEGIC PARTNERSHIP INSTRUMENTS

For each instrument signed by EMBRAPII for project financing, there may be particular requirements established to meet the partnership guidelines, such as: SEBRAE, PPI IoT, Rota 2030.

The rules to be complied with in the implementation of projects contracted under each specific instrument are defined in the Operational Guidelines available on the EMBRAPII website.

## FINANCIAL EXECUTION

### FINANCEABLE PROJECT ITEMS

Given the characteristics of EMBRAPII projects (item 6), the financial resources disbursed to the project – *by EMBRAPII, by the partner companies in the project or by the Unit* – are intended for expenses referring to the following items:

1. Personnel
2. Consumables
3. Daily allowances
4. Travel expenses
5. Third-party services – individuals and companies
6. Operational support expenses
7. Other current expenses

The acquisition of equipment and non-consumable items, including software, is allowed only for components integrated into the project result. In this case, only resources from partner companies may be used.

*No financial resources disbursed to the project – by EMBRAPII, the company or the Unit – can be used for investments in civil works or expansion/construction of physical facilities in the IU.*

### USE OF PROJECT FUNDS

The use of project funds – from EMBRAPII, the partner companies or the Unit – must observe the rules listed below by expense category.

1. Personnel expenses
	* + - Financial resources transferred to the Unit can be used to pay salaries, labor and social security charges, and benefits established by collective bargaining agreements.
			- In cases where there is no provision for health/dental insurance, group life insurance and/or food/meal vouchers in collective bargaining agreements, these benefits may be paid as long as they were granted before the signature date of the cooperation agreement signed between the Unit and EMBRAPII.
			- Personnel expenses may be used to pay both RD&I personnel and personnel involved in business development and negotiation, project management, intellectual property management and the Unit's management/coordination.
			- In the case of RD&I personnel (RD&I team), the payment must consider the working hours indicated in project implementation reports.
			- In the case of business development and negotiation, project management, intellectual property management and IU management/coordination personnel, i.e. the EMBRAPII Unit team, the payment must consider the total number of working hours dedicated to Unit activities, which may be distributed among the contracted projects.
			- Financial resources disbursed to the project can also be used to pay research grants and grants aimed at encouraging innovation to technical, undergraduate and graduate students, as well as to pay grants to researchers engaged in the EMBRAPII project implementation, observing the applicable legislation and the amount of time dedicated to the respective project.
			- Accounting provisioning for severance pay expenses is not allowed. In cases where there is a specific temporary hiring of personnel for RD&I project activities, the project budget can be used to pay severance expenses, provided this occurs during the project term.
2. Consumables
	* + - Expenses with consumables must necessarily be associated with the project implementation.
			- Inputs that may be transformed and generate financial gains cannot be acquired with project resources.
3. Travel expenses and daily allowances
	* + - These expenses can only be incurred for members of the RD&I team and the EMBRAPII Unit team.
			- Travel expenses include the purchase of tickets for air, land, river or sea transportation; boarding fees; and the rental or use of vehicles to transport people between cities. The travel report template is presented in Annex 16.
			- In the case of international travel, the cost limits for tickets and daily allowances are defined in Annex 15. Expenses with vehicle rental are accepted, provided they are proven to be more economical.
4. Third-party services – individuals and companies
	* + - Financeable third-party services include: (i) RD&I activities; (ii) technological services (trials, tests and certifications); and (iii) other services. Maintenance services of any nature, as well as training services, are non-financeable. Taxes and charges related to third-party services must be allocated to the respective expense sub-item of the original contract.
			- Total expenses with the hiring of individuals and companies to carry out RD&I activities cannot exceed 30% of the project value.
5. Operational support expenses
	* + - Operational support expenses include expenses with salaries, including charges and benefits related administrative personnel (support, legal, communication, financial, accounting, human resources areas); maintenance and infrastructure services, such as expenses with water, electricity and security; as well as others provided for in the action plan that are necessary for project implementation.
			- The Unit may use up to 15% of the project value, considering exclusively resources from partner companies, to pay for these expenses, without the need to discriminate them.
			- The above percentage is valid for projects signed as of July 1, 2018.
6. Other current expenses
	* + - Other current expenses include bank fees and charges, income taxes and incidental import charges.
			- Income taxes must be paid with resources from the project’s partner companies.
			- Negotiation with the bank agency is recommended to obtain exemption from fees and charges.

It is important to note that the accounting of expenses of any nature must be included in the contracted projects’ rendering of accounts.

Expenses incurred prior to project contracting, related to business development and negotiation, project management, intellectual property management and IU management/coordination can be reimbursed, provided they are incurred after the signing of the Cooperation Agreement and not earlier than six months before the signing of the project contracts to which they are related. In the case of the Unit's team, this information must be included in the project personnel list (Annex 8).

Expenses must be incurred during the project implementation period[[7]](#footnote-7), which ends with the acceptance of the last macro-delivery. The payment of expenses is still allowed up to 60 (sixty) days after the acceptance of the last macro-delivery, provided they are related to the project implementation period and incurred in the same period. Bank expenses related to project implementation are also accepted up to 60 days after the acceptance of the last macro delivery.

### EMBRAPII UNIT’S NON-FINANCIAL COUNTERPART CONTRIBUTION TO THE PROJECT

The same definitions presented in item 8.2 apply to the Unit's non-financial counterpart contribution to the project. For the purpose of demonstrating this counterpart contribution, appropriations of costs related to the following items are allowed:

1. Personnel
2. Consumables
3. Daily allowances
4. Travel expenses
5. Third-party services - individuals and companies
6. Operational support expenses
7. Use of own laboratory equipment and RD&I software

Operational support expenses can also be accounted as a Unit's non-financial counterpart contribution to the project. Expenses included in this item cannot exceed the limit of 15% of the project value, considering both financial and non-financial resources. This percentage is valid for projects signed as of July 1, 2018.

Costs related to equipment used in the project can be accounted as a non-financial counterpart contribution from the IU, according to the rules and methodology described in Annex 3.

The rules and methodology presented in Annex 3 also apply to the accounting of software use as a non-financial counterpart contribution, as well as the following limitations:

1. the use of corporate software (such as Office and Windows, Antivirus, VPN, ERP) cannot be included in the rendering of accounts;
2. the software used must necessarily generate relevant results, which must be clearly relevant to the project implementation;
3. if the software packages used are made up of modules for specific applications, only the modules used in the project implementation can be included in the rendering of accounts.

### ACQUISITIONS AND CONTRACTING PROCESSES FOR EMBRAPII PROJECTS

In the acquisition of goods and services and in hiring processes involving funds from EMBRAPII, the Unit or project partner companies, the Unit – including its associates, support foundations, remote structures or other parties expressly indicated and jointly and severally liable with the Unit – must adopt formal processes or procedures, either legal or own as provided for in the law, even if those were specifically created for the operation of the EMBRAPII Unit, observing[[8]](#footnote-8) the rules specified below.

1. In all its processes and procedures, the Unit must:
	* + - comply with the principles of impersonality, morality, probity, publicity, transparency, efficiency, competitiveness and the permanent pursuit of quality and durability;
			- keep a record of the original documents, in physical or electronic form, with free access to EMBRAPII and control bodies, for a period of ten years after the approval of the rendering of accounts.
2. Hiring processes must be preceded by a price survey to establish reference values, in accordance with regulations.
3. Legal instruments must be presented, which can be waived depending on the nature or value of the goods or services contracted when provided for in the research institution’s or support foundation’s internal regulations.
4. The selection, hiring and remuneration of personnel must be based on demonstrable, objective, impersonal criteria appropriate to market reality and the nature of the activity to be performed.
5. The direct hiring of a company that has a manager or managing partner with a kinship relationship, including by affinity, up to the third degree with a director of the Unit or the entity responsible for the Cooperation Agreement’s financial management is prohibited.

### DISBURSEMENT PROCEDURES FOR EMBRAPII RESOURCES

The disbursement of financial resources by EMBRAPII requires the opening of an exclusive bank account (EMBRAPII Specific Account) in a financial institution controlled by the Federal Government, in the name of the scientific and technological research institution or the person responsible for financial execution indicated by the Unit. *This account must only be used to receive funds from EMBRAPII and to transfer them to accounts of projects contracted by the Unit*. This provision also applies when the funds disbursed by EMBRAPII come from the strategic partnerships mentioned in item 7.3, in which case the Unit must provide the opening of specific account(s) for this (see glossary).

At least two bank accounts must be opened *for the financial execution of each project*: the first for EMBRAPII’s funds and the second for funds from project partner companies. In cases where the project receives funds from other sources, the Unit must provide the opening of specific accounts for each of them.

The transfer of funds from the EMBRAPII Specific Account to the project's exclusive bank account must be made in installments, under the responsibility of the Unit Management.

Disbursements of funds to the Unit's EMBRAPII Specific Account occur in installments, depending on performance, according to the following rules:

* + - 1. the disbursement of the first installment is made in advance shortly after signing the Cooperation Agreement. At EMBRAPII's sole discretion, its value is calculated so as to provide the necessary financial support compatible with the agreed commitments;
			2. the disbursement of the subsequent installments depends on a technical analysis that considers the Unit’s regular volume of expenses and the planning of future project actions, based on information entered by the Unit in the EMBRAPII Monitoring System.
			3. the disbursement of financial resources always depends on EMBRAPII’s financial availability;
			4. disbursements of funds from other financing sources by EMBRAPII follow specific rules established for each strategic partnership, as provided for in item 7.3.

EMBRAPII’s funds can only be transferred for the payment and reimbursement of project and Unit expenses (business development, negotiation, IP management, project management and coordination/management), or to return funds to the EMBRAPII Specific Account from a project account. Under no circumstances can EMBRAPII’s funds be transferred as an advance to the companies’ or the Unit’s project accounts.

When not used, financial resources from EMBRAPII (EMBRAPII Specific Account) and from the project account (Project Account) should be invested in low risk instruments. Returns from these investments must be necessarily reported to EMBRAPII, through the monitoring system (item 10) and used exclusively to implement the approved Action Plan.

Financial investment returns originating in EMBRAPII's strategic partnerships (item 7.3) may have specific rules for their use established in the Operational Guidelines for EMBRAPII programs. The EMBRAPII Unit is responsible for observing the rules applicable to each case.

EMBRAPII may request the return of funds, in the case of insufficient implementation of the Action Plan.

The financial plan for managing funds from project partner companies must be negotiated between the companies and the Unit, and must also be provided for in the contractual instrument signed between the parties[[9]](#footnote-9).

## RENDERING OF ACCOUNTS

The Unit must render accounts to EMBRAPII regarding the implementation of the contracted project portfolio, observing the guidelines in Annex 14 and the following rules:

1. accounts must be rendered twice every year into the SRInfo Information Registration System. All attachments sent to EMBRAPII must be signed. The Certification Statement for the data and attachments entered into the SRInfo must be signed by the Unit's Coordinator and accountant, attesting to its veracity, and the original document sent to EMBRAPII;
2. the deadlines for rendering accounts are: (i) January 31, for the July-December period; and (ii) July 31, for the January-June period;
3. projects with a total value of less than R$1 million of Units accredited for more than twelve months must render accounts once every year;
4. projects covered by item (iii) and signed from January to June must always render accounts on January 31. Projects signed from July to December must render accounts on July 31;
5. accounts must be rendered by project, by source of funding and by expense item;
6. within 60 (sixty) days from the completion of the Action Plan, the IU must render final accounts, returning to EMBRAPII, if any, the remaining balance.

The rendering of accounts consists of the following information:

1. revenue and expenses statement (Annex 4);
2. list of payments made, with identification of recipient, expense item, macro-delivery, fiscal month (mm/yy), number of the respective invoice or similar document, payment date and amount (Annex 5);
3. bank reconciliation for each project account (Annex 6);
4. statement of non-financial counterpart contribution with identification of recipient, expense item, macro delivery, invoice number when applicable, fiscal month (mm/yy) and amount (Annex 7);
5. personnel list, with indication of function, number of working hours for each month of the reference period and the respective amounts paid (Annex 8);
6. list of acquired and/or produced goods and their description, quantity and value, if applicable (Annex 9);
7. monthly bank statements for the period covered by the rendering of accounts, including EMBRAPII Specific Account and project accounts receiving funds from EMBRAPII, from companies and, when necessary, from other sources, in addition to the respective financial investments statements;
8. project physical implementation report (Annex 10);
9. statement signed by the Unit's legal representative, according to the EMBRAPII model (Annex 11);
10. project consolidated revenue and expenses statement (Annex 12);
11. revenue, expenses and disbursement statement of the EMBRAPII Specific account (Annex 13).

The Operations Board must review technically and financially the statements presented in the rendering of accounts, verifying whether they were properly completed, requesting the necessary corrections, if any, carrying out an inspection as described in item 10.3 and issuing an opinion on the review carried out, indicating the approved value for the period reviewed by source of funds.

Values not approved in the rendering of accounts must be returned to their origins within 60 (sixty) days from the issuance of the Rendering of Accounts Opinion. After this period, the value must be updated by the IGP-M index using as baseline the Opinion’s issuance date.

The Rendering of Accounts Opinion consists of the following information:

 a. Number and issuance date;

b. Cooperation Agreement and its Addendums: number/year; date; term and accounting period description;

c. List of Projects Contracted in the Period: project numbers with the respective partner companies;

d. Observations: this field should contain information considered relevant, such as: description of expenses not accepted by EMBRAPII with their respective values, recommendations and/or necessary corrections;

e. Assessment of the projects’ technical results and of the Cooperation Agreement’s physical implementation: this field should contain a conclusive technical assessment of activities performed in the period in view of the respective Work Plan;

f. EMBRAPII Specific Account Statement: data from the Unit’s main bank account for EMBRAPII disbursements, which receives the funds originally transferred to implement with the Action Plan, containing the following information: previous balance, funds received, net revenue from Financial Investments, total revenue, transfers to project accounts, other current expenses and current balance;

g. Bank Statement for the Strategic Partnerships’ Specific Accounts: when applicable;

H. Consolidated Statement for Approved Project Expenses;

i. Conclusion: indication of the Approved Value of the Rendering of Accounts by source of funds, recommendations and necessary corrections, if any;

j. Signatures: the Opinion is prepared by at least two specialists, one technical and the other financial, and approved by the EMBRAPII Operations Board.

The Rendering of Accounts Opinion is sent to the Unit, which must take any required measures within the established deadlines.

The settlement of the accounts presented by the Unit will only occur after EMBRAPII’s approval of the final rendering of accounts in its technical and financial aspects.

All original supporting documents must be duly identified by project and bank account, and be kept by the research institution to which the Unit is linked for 10 years after the approval of the final rendering of accounts of the Action Plan contracted with EMBRAPII.

## MONITORING SYSTEM FOR EMBRAPII UNITS

EMBRAPII continuously monitors the activities of business development, negotiation and contracting of Unit's projects, as well as the contracted project portfolio’s physical and financial execution, based on the approved Action Plans.

The monitoring of Units includes a monthly monitoring routine, meetings and on-site or virtual inspections. The results of any of these monitoring activities may give cause to an evaluation of the Unit at specific moments during its accreditation.

Additionally, semi-annual meetings are held with the participation of all Units to disseminate guidelines and best practices.

### INFORMATION REGISTRY SYSTEM (SRINFO)

The monitoring process via SRInfo is composed of the following information sets:

1. *Moderations*: describes formal interactions of the EMBRAPII technical and financial monitoring team that involve measures to be taken or formalize specific aspects about the information provided by the Unit.
2. *Partnerships*: contains information on strategic partnerships and other EMBRAPII financing arrangements that qualified Units may use.
3. *Units*: contains key information about the Unit itself, which is used for contacts, in addition to performance goals and registry information to be used in various processes, in particular in evaluations, rendering of accounts and processes resulting from them.
4. *Business Development*: contains information on efforts undertaken by the Unit to find opportunities for RD&I projects, in accordance with its technological identity. Includes business development itself, participation in technical events aimed at finding business opportunities and communication actions undertaken by the Unit itself to disseminate its accredited performance and results.
5. *Negotiations*: contains information on contracting companies; the formulation of the technical proposal including the project objective and scope; the resulting work plan including resources and deadlines; the physical-financial detailing with planned contributions from the parties involved; implementation deadlines; macro-deliveries; and the inclusion of a co-implementing institution, if any.
6. *Projects*: contains detailed information on physical-financial aspects with the description of deliverables (macro-deliveries); funding contributions by resource source and by macro-delivery; physical implementation; acceptance of macro-deliveries; implementation deadlines; IP requests; as well as on students in training[[10]](#footnote-10) in the contracted EMBRAPII projects.
7. *Financial*: contains information on bank account operations and monthly expenses; balances of resources from EMBRAPII and Companies; disbursements of EMBRAPII resources to projects; and mandatory clearance certificates for the disbursement of resources to the Units.
8. *Reviews*: contains summarized information on the Unit, but in particular on results related to the accreditation goals.
9. *Rendering of Accounts*: contains economic-financial information on the contracted projects, their expenses and on EMBRAPII opinions issued, also providing consolidated information on projects and specific mechanisms for uploading expenses statements.

In order to improve EMBRAPII’s capability to plan and manage the portfolio of projects contracted by all Units – including financial management – updated information on all aspects of the accredited activity must always be entered into SRInfo, from the business development stage to the completion of the projects’ activities and their financial operations.

In addition to SRInfo, EMBRAPII maintains a ticket system for official, transversal and non-personalized communication between its support team and the accredited Units’ managers.

### MONTHLY MONITORING

Monthly monitoring activities are conducted via SRInfo, in which accredited Units are required to keep up-to-date information.

Its purpose is to provide an overall picture of the Unit's performance, based on the approved Action Plan. It also allows verifying the fulfillment of performance goals that define the minimum results expected during the accredited period.

This type of monitoring is based on records on the reference month[[11]](#footnote-11), which are the sole responsibility of the Unit and must be provided *until the 5th working day of the following month*. These records inform various reviews and evaluations by EMBRAPII and, therefore, can generate requests for clarification to the Units.

### MONITORING MEETINGS[[12]](#footnote-12)

Monitoring meetings may be held whenever EMBRAPII deems necessary to obtain supplementary or detailed information related to monitoring and performance indicators and/or the structuring of processes.

### INSPECTION

The inspection consists of a visit by the EMBRAPII technical and financial monitoring team to: (i) review the consistency of the contracted projects’ technical and financial implementation; (ii) verify compliance with Operations Manual provisions; and (iii) monitor the Unit's performance indicators.

The inspection team verifies all original supporting documents for the period covered by the rendering of accounts and for expenses paid with funds from EMBRAPII, partner companies and, when applicable, by Unit, as well as for the Unit’s non-financial counterpart contribution. The consistency of the technical implementation with the financial execution is verified in terms of their technical aspects, in addition to a joint review with the Unit's technical coordination of the Unit's performance, considering the indicators established in its Action Plan.

Whenever deemed necessary by EMBRAPII, the inspection may involve external consultants specially hired for this purpose.

In this type of monitoring, the Unit may receive instructions and recommendations, including notifications and requests for audits and technical reviews, with deadlines for compliance.

## AUDIT

Unit auditing is a special non-routine process prompted by signs of inconsistency or irregularity in the use of funds, as well as by noncompliance with the provisions of this Manual regarding financial execution. It can be performed by EMBRAPII personnel or external auditors.

During the audit, any document proving the use of project resources can be verified, whether they come from EMBRAPII, partner companies, the Unit or other resource sources.

## TECHNICAL REVIEW

The technical review is also a special non-routine process that can be used by EMBRAPII, upon recommendation of its technical team after the inspection, or to complement the audit process, in order to verify the project portfolio’s compliance with the Action Plan approved and the provisions of this Manual.

## ASSESSMENT OF EMBRAPII UNITS

The EMBRAPII model includes regular operational, financial and technical assessments of the Unit's performance by means of:

1. an assessment at the end of the 1st year of operation to verify compliance with the goals established for the probationary period as agreed upon at the start of the accreditation process;
2. partial assessments every two years, based on structured processes and with support from external consultants, which may result in recommendations made to the Unit;
3. an overall assessment of the Unit's performance, also conducted with support from external consultants, to inform the decision on the continuation of the accreditation process, depending on the accredited period as counted from the signing of the Cooperation Agreement. This is a broad assessment aimed at verifying the set of results achieved by the Unit in the implementation of its Action Plan, considering all its accreditation commitments.

The model also involves an impact assessment by EMBRAPII, with support from expert committees, after a significant number of Units have fully implemented their Action Plans.

Supplementary mechanisms can also be defined to inform the assessment of the Units’ performance.

## USO DA MARCA USE OF EMBRAPII BRAND

The EMBRAPII brand must be shown in all project documentation and dissemination materials.

The research institution to which the Unit[[13]](#footnote-13) is linked must maintain a link on its website’s homepage to the Unit’s specific page. This link must be prominently positioned at the top of the homepage and measure at least 60% of the size of the Unit's logo, being visible without the need to scroll the page.

The Unit’s specific page must display and highlight the Unit’s logo together with and in the size of the research institution’s brand. The EMBRAPII logo must be associated with a link to the EMBRAPII page. The page must contain the following information on the EMBRAPII Unit:

1. name;
2. area of competence;
3. brief summary of the Action Plan;
4. governance structure, with names of heads and managers and contact information;
5. brief summary of the EMBRAPII model and the form of financial support.

The EMBRAPII logo, shown in Figure 1, must always be accompanied by the name “Brazilian Company of Research and Industrial Innovation.” Its proportions, colors and rules of use can be found in the EMBRAPII Visual Identity Manual[[14]](#footnote-14).

All reports of projects linked to EMBRAPII and Unit folders must contain the following logo:



 Figure 1 – EMBRAPII logo

## PENALTIES

Failure to comply with the provisions of this Operations Manual – whether technical or financial – will result in penalties to the IU, such as: (i) warning; (ii) freezing of bank accounts; (iii) suspension of project contracting; (iv) return of funds; and (v) de-accreditation.

Bank account freezing is considered a preventive measure when a problem is detected in the implementation of any project in the Unit's portfolio.

Depending on the nature of the noncompliance identified, the Unit may be notified to correct the problem, within a specified period, before the imposition of a penalty.

Insufficient performance by the Unit, as measured by the approved Action Plan goals, can also lead to its de-accreditation. This decision is the responsibility of EMBRAPII's Board of Directors, based on a recommendation from the Executive Board sent by the Chief Executive Officer.

The other penalties are applied at the discretion of EMBRAPII’s Board of Directors.

Cases of insufficient performance identified and the possibility of de-accreditation are previously and formally communicated to the Unit, in order to allow corrections and not hinder the implementation of contracted projects.

## GLOSSARY

**Area of ​​competence:** characterizes the Unit's thematic specialization. It should allow a clear understanding of the focus of its activities in the implementation of RD&I projects. It should not be strict to the point of restricting the Unit's RD&I activities and market, nor should it be too generic so that it results in a set of dispersed specializations.

**EMBRAPII Specific Account:** sometimes referred to as the “EMBRAPII Mother Account,” it is the bank account created specifically for receiving EMBRAPII’s disbursements to the Unit and for transferring these resources to project accounts (Project Account).

OBS: As established in item 8.5 of this Manual, when resources from strategic partnerships are transferred to Units by EMBRAPII, such as those from SEBRAE, PPI and Rota 2030, the Unit must maintain specific accounts to receive each of them, which should be called, for example, *SEBRAE Specific Account*, *PPI Specific Account*, *Rota 2030 Specific Account*.

**Project Account:** bank account for paying expenses of each EMBRAPII project. Each project must therefore maintain a specific project account for each different financial source used in it, which typically means that each project will have an *EMBRAPII Project Account*, a *COMPANY Project Account* and, in the case of financial counterpart contribution from the Unit, a *UNIT Project Account*.

OBS: Unlike the specific accounts (above), the existence of project accounts for each EMBRAPII strategic partnership depends on the partnership’s own specific rules.

**Management Agreement**: contractual instrument signed between the Government (MCTI, with participation of MEC and MS) and EMBRAPII, characterized as a Social Organization (EMBRAPII), establishing a partnership to promote and perform activities related to Research, Development and Innovation - RD&I projects aimed at applied research and innovation in the business and industrial sectors, through cooperation with previously accredited scientific and technological institutions.

**EMBRAPII Accreditation**: formalized in a Cooperation Agreement signed between EMBRAPII and the scientific and technological research institution selected for accreditation. Accreditation enables the latter to receive EMBRAPII funds, whether from the Management Agreement or other strategic partnerships entered by EMBRAPII, to implement RD&I projects in the approved area of ​​competence, in partnership with companies in the industrial sector.

**Deliverable**: any measurable, tangible and verifiable result, relevant to the EMBRAPII project contracted with a company. Depending on the specifics of each project, a deliverable may correspond to a macro-delivery, or part of one, in the monitoring conducted by EMBRAPI.

**Macro-delivery**: is one or a set of deliverables agreed upon between the Unit and the company, which represents a milestone in the project’s physical implementation and can be used for monitoring purposes by EMBRAPII. As established by EMBRAPII, macro-deliveries cannot overlap in time, that is, they must necessarily be successively implemented. Each macro-delivery must have its own budget (including resources from EMBRAPII, the Company and the Unit), in addition to implementation deadlines compatible with its expected products. For physical-financial monitoring purposes, macro-deliveries should be balanced in terms of duration, effort, budget and resource sources, implying a distribution of risks during project implementation. In this sense, successive macro-delivery activities should always be preceded by the project contracting companies’ acceptance of previous results. Macro-deliveries must necessarily be formalized in the project work plan (below), to clearly identify technological advances and their respective development stages, in addition to their criteria of acceptance by the companies.

**Action Plan**: document required from the institution applying for Unit accreditation and which is a mandatory annex to the Cooperation Agreement that formalizes accreditation. It must detail the number of projects, the estimated number of resources to be used and the planning and strategy for raising and spending these resources, in partnership with companies in the industrial sector, for the entire accreditation period and in the area of ​​competence proposed by the institution.

**Technical Proposal**: summary document containing an overview of the RD&I project, including: objective, scope and, in some cases, an initial cost estimate for the project implementation. The technical proposal marks the start of the phase of negotiation between the Unit and the partner companies and is one of the goals agreed upon in the accreditation.

**Work Plan**: document detailing the technical proposal and the development terms contracted by the partner companies with the Unit in a project. It must contain: object of the partnership; activities to be performed; value of projects and their respective funds and counterpart contributions, when applicable; responsibilities of the parties; financial-physical implementation schedule; expected products; and macro-deliveries. The work plan is an annex to the contractual instrument signed between the EMBRAPII Unit and the partner companies in the project.

## ANEXOS

**ANNEX 1**

**TECHNOLOGY READINESS LEVELS**

In order to guide the development of pre-competitive R&D projects aimed at generating technological innovation in the industry, EMBRAPII refers to the TRL (Technology Readiness Level) standard, which is widely used to assess the technological maturity of project results and has been adapted to assess the technological maturity of processes (Manufacturing Readiness Level - MRL), software development (Software Technology Readiness Levels - STRL), in addition to EMBRAPII’s adaptation of the standard for Drugs and Biologics.

Unless otherwise specified, EMBRAPII requires that contracted projects’ results – deliverables or macro-deliveries – reach TRLs between levels 3 and 6, as shown in the below Tables.

EMBRAPII uses as a basic reference the TRL definitions of the ABNT NBR ISO 16290 standard[[15]](#footnote-15) to characterize technological maturity in other contexts, such as manufacturing processes (Table 1), software development (Table 2) and the development of Drugs and Biologics (Table 3).

The primary reference for the other technological maturity scales, TRL maturity characterization is based on three assessment dimensions – “scale”, “fidelity” and “environment” – typical technology development. Details on TRL assessment regarding these dimensions can be found in the ABNT NBR ISO 1629015 standard.

Being a generic scale, it requires interpretation and possibly adaptations when applied to a specific or completely novel technology. In these cases, the descriptions presented in the below Tables can be supplemented and customized for specific cases. Considering that the TRL level characterization is the responsibility of the EMBRAPII Unit, it is recommended:

In case of insufficiencies in the maturity scales presented in the below Tables, the Unit can submit customizations to EMBRAPII's approval.

In case of customizations, these must be documented, previously validated by EMBRAPII and kept by the Unit for monitoring and evaluation purposes.

In both cases, the Unit must keep records of the TRL characterization of its projects, as well as records of its technology maturity characterization process.

Table 1 – Technology Readiness Scales TRL - MLR.

|  |  |  |
| --- | --- | --- |
|  | **TRL scale definition - ISO 16290**[1] | **MRL scale definition[2]** |
|  | **TRL Readiness Level [3]** | **Analysis dimensions** | **General Description for Products** | **MRL Readiness Level** | **General Description for Processes** (regarding capability to produce) |
|  | **Scale**(object) | **Fidelity**(object) | **Environment**(in which the technology function is developed)  |
|  | **1** | --- | Description  | --- | Basic principles observed and reported. | **1** | Production feasible: description. |
|  |
|  | **2** | --- | Description | --- | Technology concept and/or application formulated. | **2** | Manufacturing concept identified: description. |
|  |
|  | **3** | **Laboratory** | Physical components. | **Emulation / Simulated** | Analytical and experimental critical function proof-of-concept. | **3** | Manufacturing process developed: proof of concept of operation. |
|  |
|  | **4** | **Laboratory** | Physical components representing full function. | **Emulation / Simulated** | Component or breadboard validation in laboratory environment. | **4** | Capability to produce the technology in a laboratory environment. Proper operation demonstrated. |
|  |
|  | **5** | **Laboratory** | **Similar:** configuration reflects final application in almost every aspect. | **Relevant** | Component or brassboard validation in relevant environment. | **5** | Capability to produce prototype components in a production relevant environment. |
|  |
|  | **6** | **Engineering or Pilot:** 1/10 of full scale, may be smaller depending on application, since Engineering/Pilot < Full scale. | **Similar:** configuration reflects final application in almost every aspect. | **Relevant:** test environment simulating the operational environment's fundamental aspects. | System or subsystem model or prototype demonstration in a relevant environment. | **6** | Capability to produce the product or its subsystems in a production relevant environment. Technology demonstration: the technology is being tested but not in full scale. The project is incomplete, a limited number of dummies may be used without reaching operational performance. Emphasis on maximizing efficiency. |
|  |
|  | **7** | **Full / Complete:** full scale application | **Similar:** configuration reflects final application in almost every aspect. | **Operational:** environment replicates all operational requirements and product specifications.  | System prototype demonstration in operational environment. | **7** | Capability to produce the product or its subsystems in a production representative environment. The technology is in cold commissioning. This may include operational and manufacturing testing, but tests use models or dummies reflecting the final product.  |
|  |
|  | **8** | **Full / Complete:** full scale application | **Identical:** fully reflects final application in all aspects. | **Operational:** environment replicates all operational requirements and product specifications.  | Actual system completed, tested, qualified and demonstrated. Examples include readiness acceptance. | **8** | Production begins, costs are minimized. Technology is in hot commissioning. |
|  |
|  | **9** | **Full / Complete:** full scale application | **Identical:** fully reflects final application in all aspects. | **Operational:** environment replicates all operational requirements and product specifications.  | Actual system proven in all operational conditions, extent and range. Examples include product use in its full range and quantity. | **9 / 10** | Production implemented, emphasis on operation and/or improvement. |
|  |
|  | *[1] – Primarily based on ISO 16290 Standard, TRL - Technology Readiness Level, [2] - MRL - Manufacturing Readiness Level.* ***[3] - Values to be entered into EMBRAPII's Information Registry System - SRInfo for monitoring and assessment purposes.*** |

Table 2 – Technology Readiness Scales TRL - STRL.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **TRL scale definition - ISO 16290**[1] | **STRL scale definition [2]** |  |
|  | **TRL Readiness Level [3]** | **Dimensions of analysis** | **General Description for Products** | **STRL Readiness Level** | **General Description for Software** |  |
|  | **Scale**(object) | **Fidelity**(object) | **Environment**(in which the technology function is developed)  |  |
|  | **1** | --- | Description  | --- | Basic principles observed and reported. | **1** | Basic conceptualization begins detailing the **"mathematical formulation"**. |  |
|  |  |
|  | **2** | --- | Description | --- | Technology concept and/or application formulated. | **2** | **"Algorithms"** or basic functions are prototyped and documented. |  |
|  |  |
|  | **3** | **Laboratory** | Physical components. | **Emulation / Simulated** | Analytical and experimental critical function proof-of-concept. | **3** | Algorithms are executed and tested on a surrogate processor in the laboratory. **"Prototype"** |  |
|  |  |
|  | **4** | **Laboratory** | Physical components representing full function. | **Emulation / Simulated** | Component or breadboard validation in laboratory environment. | **4** | Basic software components are integrated to establish that they will work together. **"Earliest Version"** |  |
|  |  |
|  | **5** | **Laboratory** | **Similar:** configuration reflects final application in almost every aspect. | **Relevant** | Component or brassboard validation in relevant environment. | **5** | All software components are integrated in a realistic version. The software is tested in a controlled environment at the developer's premises. **"Alpha Version"** |  |
|  |  |
|  | **6** | **Engineering or Pilot:** 1/10 of full scale, may be smaller depending on application, since Engineering/Pilot < Full scale. | **Similar:** configuration reflects final application in almost every aspect. | **Relevant:** test environment simulating the operational environment's fundamental aspects. | System or subsystem model or prototype demonstration in a relevant environment. | **6** | Complete prototype is tested in a virtual or simulated environment. The software is still in development. **"Beta version"** |  |
|  |  |
|  | **7** | **Full / Complete:** full scale application | **Similar:** configuration reflects final application in almost every aspect. | **Operational:** environment replicates all operational requirements and product specifications.  | System prototype demonstration in operational environment. | **7** | Verification and validation are completed, the validity of the solution is demonstrated in the intended application. Software requirements specification is validated by users. Engineering support and maintenance organization, including technical assistance service, are in place. **"Product release"** |  |
|  |  |
|  | **8** | **Full / Complete:** full scale application | **Identical:** fully reflects final application in all aspects. | **Operational:** environment replicates all operational requirements and product specifications.  | Actual system completed, tested, qualified and demonstrated. Examples include readiness acceptance. | **8** | End of system development. Includes test and evaluation of the intended system regarding its specifications. The result is a production version and configuration controlled. Complete documentation. **"General product"** |  |
|  |  |
|  | **9** | **Full / Complete:** full scale application | **Identical:** fully reflects final application in all aspects. | **Operational:** environment replicates all operational requirements and product specifications.  | Actual system proven in all operational conditions, extent and range. Examples include product use in its full range and quantity. | **9** | Actual application of the software is in its final form and under designed conditions, such as those encountered in operational test and evaluation. "**Live product**", software in use. |  |
|  |  |
|  |  *[1] - Primarily based on ISO 16290 Standard, TRL - Technology Readiness Level. [2] - STRL - Software Technology Readiness Level.* ***[3] - Values to be entered into EMBRAPII's Information Registry System - SRInfo for monitoring and assessment purposes.*** |  |

Table 3 – Technology Readiness Scales TRL – Drugs and Biologics.

|  |  |  |
| --- | --- | --- |
|  | **TRL scale definition - ISO 16290**[1] | **TRL scale definition – Drugs and Biologics** |
|  | **TRL Readiness Level [2]** | **Analysis dimensions** | **General Description for Products** | **TRL Readiness Level** | **General Description for Products**(applied to Drugs and Biologics) |
|  | **Scale**(object) | **Fidelity**(object) | **Environment**(in which the technology function is developed)  |
|  | **1** | --- | Description  | --- | Basic principles observed and reported. | **1** | Focus on discovery of new molecules. Scientific literature is reviewed and assessed and applied research is initiated. Potential targets and disease mechanisms are assessed. |
|  |
|  | **2** | --- | Description | --- | Technology concept and/or application formulated. | **2** | Hypotheses, research ideas, protocols and experimental projects are developed. Potential therapeutic targets for intervention are identified. |
|  |
|  | **3** | **Laboratory** | Physical components. | **Emulation / Simulated** | Analytical and experimental critical function proof-of-concept. | **3** | Hypothesis testing and preliminary proof-of-concept (PoC) are demonstrated in a limited number of *in vitro* and *in vivo* models for candidate drugs. |
|  |
|  | **4** | **Laboratory** | Physical components representing full function. | **Emulation / Simulated** | Component or breadboard validation in laboratory environment. | **4** | Proof-of-concept to validate candidate drugs in laboratory models. |
|  |
|  | **5** | **Laboratory** | **Similar:** configuration reflects final application in almost every aspect. | **Relevant** | Component or brassboard validation in relevant environment. | **5** | Preclinical studies are conducted, including pharmacological, pharmacokinetic and toxicological analyses. |
|  |
|  | **6** | **Engineering or Pilot:** 1/10 of full scale, may be smaller depending on application, since Engineering/Pilot < Full scale. | **Similar:** configuration reflects final application in almost every aspect. | **Relevant:** test environment simulating the operational environment's fundamental aspects. | System or subsystem model or prototype demonstration in a relevant environment. | **6** | Phase I clinical studies demonstrate drug tolerance/safety in a limited number of healthy volunteers. |
|  |
|  | **7** | **Full / Complete:** full scale application | **Similar:** configuration reflects final application in almost every aspect. | **Operational:** environment replicates all operational requirements and product specifications.  | System prototype demonstration in operational environment. | **7** | Phase 2 Clinical Trials are completed and registration procedures for Phase 3 Clinical Trials are initiated. |
|  |
|  | **8** | **Full / Complete:** full scale application | **Identical:** fully reflects final application in all aspects. | **Operational:** environment replicates all operational requirements and product specifications.  | Actual system completed, tested, qualified and demonstrated. Examples include readiness acceptance. | **8** | Completion of Phase 3 Clinical Trials and health authority registration procedures. |
|  |
|  | **9** | **Full / Complete:** full scale application | **Identical:** fully reflects final application in all aspects. | **Operational:** environment replicates all operational requirements and product specifications.  | Actual system proven in all operational conditions, extent and range. Examples include product use in its full range and quantity. | **9** | Postmarketing surveillance systems. |
|  |
|  | *[1] - Primarily based on ISO 16290 Standard, TRL - Technology Readiness Level.* ***[2] - Values to be entered into EMBRAPII's Information Registry System - SRInfo for monitoring and assessment purposes.*** |

**ANNEX 2**

**MACRO-DELIVERY ACCEPTANCE TERM TEMPLATE**

|  |
| --- |
| Macro-delivery Acceptance Term |
| EMBRAPII Unit | *Name of the Unit as in the Cooperation Agreement* |
| Company | *CNPJ and Company Name as in the contract with the client* |
| Project Code  | *EMBRAPII project code as registered in SRInfo* |
| Macro-delivery Number | *Macro-delivery number as registered in SRInfo* |
| Macro-delivery Name | *Macro-delivery name as registered in SRInfo* |
| Macro-delivery Description |
| *Macro-delivery description according to the project planning information registered in the Embrapii monitoring system (SRInfo), and according to the contract signed between the Unit / EMBRAPII and the Company. If the macro-delivery involves more than one agreed upon deliverable, all deliverables must be listed.* |
| Acceptance statement for the Macro-delivery described. |
| Date:*Date of acceptance by the Company, to be entered into SRInfo appropriate field* | Name and Identification of the person responsible for the project in the Company:*Description of the position, function and/or equivalent information identifying the authority of the subscriber who accepts the macro-delivery according to the contract signed between the Unit / EMBRAPII and the Company*Name and Signature of the person in the Company responsible for accepting the macro-delivery |

Location

*EMBRAPII Unit address and contact information*

**ANNEX 3**

**DETERMINATION AND SETTLEMENT OF DIRECT COSTS IN THE USE OF EQUIPMENT AND SOFTWARE IN EMBRAPII PROJECTS**

|  |
| --- |
| Applicable to equipment with acquisition cost of up to R$ 4 million. More expensive equipment will have specific treatment, on a case-by-case basis, upon presentation to EMBRAPII of a proposal prepared by the Unit. |

The direct cost of using a given piece of equipment is composed of three parts: equipment verification or calibration costs (*Cvc*), equipment maintenance cost (*Cm*) and equipment usage cost (*Cut*).

a) Verification and calibration costs (*Cvc*) [R$]: **annual costs** associated with verification, testing or calibration of the equipment to ensure its proper operation and performance, in accordance with the manufacturer's recommendations. Examples are the annual calibration of measurement and analysis equipment carried out by the manufacturer, or by authorized and accredited service providers.

b) Maintenance costs (*Cm*) [R$]: **annual costs** associated with the periodic maintenance of the equipment including replacement of consumables (e.g. filaments, filters, analytical columns, sensing tips, etc.), which may also include checks and calibrations specified in item (a). Spare parts used in maintenance may have their value included in maintenance costs, but their value must be prorated over the expected useful life in years for the equipment after the maintenance activity. In the case of software, the annual license fee must be used.

c) Equipment/software usage costs (*Cut*) [R$]: **annual costs** associated with the use of the equipment/software in EMBRAPII projects, estimated based on the value of the equipment/software installed[[16]](#footnote-16), always considering a 10-year useful life. In other words, the annual cost should be estimated as 10% of the equipment/software acquisition price.

Maintenance, verification and calibration costs must be calculated from January to December of the year preceding their hourly cost accounting, and must not be cumulative.

The hourly cost (*Ch*) of using a piece of equipment must be estimated on an annual basis, considering a total of 1,200 hours of equipment use[[17]](#footnote-17) .

$$C\_{h}=\frac{C\_{vc}+C\_{m}+C\_{ut}}{1200}\left[^{R\$}/\_{h}\right]$$

The settlement of costs per project must be calculated by the product of the hourly cost (*Ch*) by the number of hours the equipment was effectively allocated to the project, according to the expression shown below in which *Cap* is the cost of using the equipment and *Hproj* is the number of hours it was used in a specific project.



The EMBRAPII Unit is responsible for calculating and demonstrating the number of hours each piece of equipment was used (*Hproj*) in each project. To this end, the Unit must maintain records of the hourly cost (*Ch*) calculation, according to the above guidelines, which may be required by EMBRAPII for monitoring and inspection purposes.

For the calculation and settlement of the use of desktop and laptop computers in each project, that is, for calculating the *Cap* for the use of this equipment, the number of hours used in each project (*Hproj*) must correspond to the number of personnel hours linked to the computer in question, as indicated in annex 8. In these cases, the *value of the equipment / software installed* (above) corresponds to the average of the prices of a basic computer and of a high-end computer for engineering applications, determined through a price survey with corporate-level equipment suppliers conducted every 2 years. The usage cost (*Cut*) and number of hours per year are the same used in the calculation for other types of equipment.

**ANNEX 4 – REVENUE AND EXPENSES STATEMENT**

******

**COMPLETION INSTRUCTIONS:**

**The following fields must be filled in:**

**Revenue:**

- Amounts received

- Net revenue from financial investments

- Return of resources to project accounts

**Expenses:**

This is an autocomplete field.

**ANNEX 5 – LIST OF PAYMENTS**

****

**COMPLETION INSTRUCTIONS**:

**SOURCE:**

- EMBRAPII

- COMPANIES

- EMBRAPII UNIT

EXPENSE/INVESTMENT ITEM:

- PERSONNEL AND SOCIAL SECURITY CHARGES

- CONSUMABLES

- DAILY ALLOWANCES

- TRAVEL EXPENSES

- THIRD-PARTY SERVICES – COMPANIES – RD&I ACTIVITIES

- THIRD-PARTY SERVICES – COMPANIES – TECHNOLOGY SERVICES

- THIRD-PARTY SERVICES – COMPANIES – OTHER SERVICES

- THIRD PARTY SERVICES – INDIVIDUALS – RD&I ACTIVITIES

- THIRD PARTY PF SERVICES – INDIVIDUALS – TECHNOLOGY SERVICES

- THIRD PARTY SERVICES – INDIVIDUALS – OTHER SERVICES

- OPERATIONAL SUPPORT

- OTHER CURRENT EXPENSES

- ACQUISITION OF EQUIPMENT AND PERMANENT MATERIALS

**ANNEX 6 – BANK RECONCILIATION**

****

**COMPLETION INSTRUCTIONS**:

Complete the form for each project account.

**ANNEX 7**

**NON-FINANCIAL COUNTERPART CONTRIBUTION STATEMENT**

****

**COMPLETION INSTRUCTIONS**:

**COST ITEM:**

- PERSONNEL AND SOCIAL SECURITY CHARGES

- CONSUMABLES

- DAILY ALLOWANCES

- TRAVEL EXPENSES

- THIRD-PARTY SERVICES – COMPANIES – RD&I ACTIVITIES

- THIRD-PARTY SERVICES – COMPANIES – TECHNOLOGY SERVICES

- THIRD-PARTY SERVICES – COMPANIES – OTHER SERVICES

- THIRD PARTY SERVICES – INDIVIDUALS – RD&I ACTIVITIES

- THIRD PARTY PF SERVICES – INDIVIDUALS – TECHNOLOGY SERVICES

- THIRD PARTY SERVICES – INDIVIDUALS – OTHER SERVICES

- OPERATIONAL SUPPORT

~~- INFRASTRUCTURE EXPENSES~~

- USE OF OWN LABORATORY EQUIPMENT AND SOFTWARE

**ANNEX 8**

**LIST OF PERSONNEL**

****

**ANNEX 9**

**LIST OF GOODS ACQUIRED OR PRODUCED**

****

**ANNEX 10 – PROJECT PHYSICAL IMPLEMENTATION REPORT**



**ANNEX 11**

**STATEMENT**

The (COORDINATOR OR LEGAL REPRESENTATIVE OF THE INSTITUTION TO WHICH THE UNIT IS LINKED) declares, for all legal purposes, that the EMBRAPII - XX Unit complied with the applicable legislation, observing the principles of legality, morality, impersonality and economy in its acquisitions and contracts, as well as conducted all operations in accordance with the Cooperation Agreement signed with EMBRAPII, with the Action Plan and with the Operations Manual of the EMBRAPII Units. He/She also declares that all legal charges have been paid in their entirety and that he/she will keep all original supporting documentation for a period of 10 years, counted from the EMBRAPII’s approval of the final rendering of accounts.

The RESPONSIBLE and the ACCOUNTANT certify that the payments made were duly accounted for, that they faithfully correspond to the data presented in this Rendering of Accounts and that their respective products and/or services were properly delivered.

|  |  |
| --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Signature of the Person Responsible** | **Signature of the Accountant** |
| **Name:** |  |  | **Name:** |  |
| **CPF:** |  |  | **CRC:** |  |

**ANNEX 12 – CONSOLIDATED REVENUE AND EXPENSES STATEMENT**



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**ANNEX 13 – REVENUE, EXPENSES AND TRANSFERS STATEMENT FOR THE EMBRAPII SPECIFIC ACCOUNT**



**ANNEX 14**

**INSTRUCTIONS FOR THE RENDERING OF ACCOUNTS**

|  |
| --- |
| The instructions for registering and presenting financial execution information, shown below by expense item, apply to all sources of funds, financial or non-financial, used in the project.  |

**I. Personnel, labor and/or social security charges and benefits provided by collective bargaining agreement, or eligible benefits in accordance with sub-item (i) of item 8.2**

1. Personnel expenses must be classified into two categories:

• *research, development and innovation (RD&I) team*

• *EMBRAPII Unit team*: management/coordination, business development and negotiation, project management and intellectual property management.

2. For the purpose of verifying the physical and financial information provided to EMBRAPII, the following procedures must be observed:

• *RD&I team*: (i) the number of hours dedicated to the project by each member of the RD&I team must be specified; and (ii) a monthly record of working hours signed by the employee and the IU coordinator must be kept on file.

3. *EMBRAPII Unit team*: (i) the number of hours dedicated to the EMBRAPII Unit by each team member must be specified; and (ii) ) a monthly record of working hours indicating the function/activity performed in the IU, signed by the employee and the IU coordinator, must be kept on file.

4. The following supporting documents are also verified:

• Payrolls.

• Proof of payment of charges and benefits.

• Collective bargaining agreements specifying the granting of benefits, or payroll dated before the signature date of the Cooperation Agreement between EMBRAPII and the Unit.

**II. Consumables:**

1. Expenses with consumables must be identified by source of funds – EMBRAPII, companies, Unit’s financial contribution, Unit’s non-financial counterpart contribution.

2. For the purpose of verifying information related to expenses with consumables, tax invoices with identification of the source of funds are verified.

**III. Daily allowances:**

1. Daily allowances include expenses with food, accommodation and urban transportation.

2. Daily allowances can be paid to:

• RD&I team personnel, related to project implementation activities;

• EMBRAPII Unit personnel, related to participation in business development and project negotiation meetings, business development events or other events promoted by EMBRAPII.

3. Daily allowances for international travel must observe the parameters presented in Annex 15.

4. For the purpose of proving the information provided to EMBRAPII, the following documents will be verified:

• Travel report, containing name of beneficiary, period, object, location and results achieved (see template in Annex 16);

• Accounting document referring to daily allowance payment or equivalent.

**IV. Travel expenses:**

1. This item covers the purchase of tickets (air, land, river or sea transportation), boarding fees, insurance, rental or use of vehicles to transport people between cities. Travel expenses can be paid to:

• RD&I team personnel, related to project implementation activities;

• EMBRAPII Unit personnel, related to participation in business development and project negotiation meetings, business development events or other events promoted by EMBRAPII.

2. Tickets for international travel must observe the parameters presented in Annex 15.

3. For the purpose of proving the information provided to EMBRAPII, the following documents are verified:

• E-ticket or travel agency invoice.

• Travel report, containing name of beneficiary, period, object, location and results achieved (see template in Annex 16).

**V. Third-Party Services - individuals**

1. Expenses with third-party services provided by individuals must be classified into three categories:

• RD&I activities;

• technological services; and

• other services.

2. For the purpose of proving expenses with third-party services - individuals, the following supporting documents will be verified:

• Service delivery receipt, containing the description of the service provided.

**VI. Third-Party Services - companies**

1. Expenses with third-party services provided by companies must be classified into three categories:

• RD&I activities;

• technological services; and

• other services.

2. For the purpose of proving expenses with third-party services - companies, the following supporting documents will be verified:

• Tax invoice containing the description of the service provided.

**VII. Operational support expenses:**

1. Operational support expenses include expenses with salaries, including charges and benefits related administrative personnel (support, legal, communication, financial, accounting, human resources areas); maintenance and infrastructure services, such as expenses with water, electricity and security; as well as others provided for in the action plan that are necessary for project implementation.

2. The Unit may use up to 15% of the project value, considering exclusively resources from partner companies, to pay for these expenses, without the need to discriminate them.

3. For the purpose of proving these expenses, a receipt must be issued by the institution responsible for the financial execution, or by the Unit, signed by the person responsible.

**VIII. Other current expenses:**

1. Other current expenses include bank fees and charges, income taxes and incidental import charges.

2. Income taxes expenses must be paid with resources from the project’s partner companies.

3. Negotiation with the bank agency is recommended to obtain exemption from fees and charges.

4. Payment receipts will be verified.

**IX. Use of own laboratory equipment and software**

1. Expenses with the use of own laboratory equipment and software can only be accounted as a non-financial counterpart contribution from the IU.

The accounting of these expenses must observe the rules and methodology presented in Annex 3 of this Manual.

**ANNEX 15**

**PARAMETERS FOR INTERNATIONAL TICKETS AND DAILY ALLOWANCES[[18]](#footnote-18)**

International tickets:

Only promotional economy class tickets can be bought for international travel. Point-to-point, low-cost tickets are preferable. Changes to tickets involving fare increase are not allowed.

International daily allowances:

The maximum amount payable for international daily allowances, or corresponding, can be found in the table below.

VALORES EM U$ 1,00

|  |  |
| --- | --- |
| GROUP/ COUNTRIES | DAILY ALLOWANCE (USD) |
| GROUP IAfghanistan, Armenia, Bangladesh, Belarus, Benin, Bolivia, Burkina-Faso, Bhutan, Chile, Comoros, Democratic People's Republic of Korea, Costa Rica, El Salvador, Ecuador, Slovenia, Philippines, Gambia, Guyana, Guinea Bissau, Guinea, Honduras , Indonesia, Iran, Iraq, Laos, Uban, Malaysia, Maldives, Morocco, Mongolia, Myanmar, Namibia, Nauru, Nepal, Nicaragua, Panama, Paraguay, Central African Republic, Togolese Republic, Solomon, Samoa, Sierra Leone, Syria, Somalia, Sri Lanka, Suriname, Tajikistan, Thailand, East Timor, Tonga, Tunisia, Turkmenistan, Turkey, Tuvalu, Vietnam, Zimbabwe. | $220,00 |
| GROUP IISouth Africa, Albania, Andorra, Algeria, Argentina, Australia, Belize, Bosnia and Herzegovina, Burundi, Cape Verde, Cameroon, Cambodia, Qatar, Chad, China, Cyprus, Colombia, Dominica, Egypt, Eritrea, Estonia, Ethiopia, Ghana , Georgia, Equatorial Guinea, Haiti, Hungary, Yemen, Marshall Islands, India, Kiribati, Lesotho, Nubia, Macedonia, Madagascar, Malawi, Micronesia, Mozambique, Moldova, Niger, Nigeria, New Zealand, Palau, Papua New Guinea, Pakistan , Peru, Poland, Kenya, Dominican Republic, Slovak Republic, Romania, Rwanda, São Tomé and Principe, Senegal, Sudan, Tanzania, Uruguay, Uzbekistan, Venezuela. | $310,00 |
| GROUP IIIAntigua and Barbuda, Saudi Arabia, Azerbaijan, Bahamas, Bahamas, Botswana, Brunei Darussalam, Bulgaria, Canada, Singapore, Congo, Ivory Coast, Cuba, Djibouti, United Arab Emirates, Fiji, Gabon, Guatemala, Jamaica, Jordan, Latvia, Liberia , Lithuania, Mali, Malta, Mauritania, Mexico, Democratic Republic of Congo, Czech Republic, Russia, San Marino, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Taiwan, Trinidad and Tobago, Ukraine, Uganda, Zambia. | $350,00 |
| GROUP IVGermany, Angola, Austria, Barbados, Belgium, Kazakhstan, South Korea, Croatia, Denmark, Spain, United States of America, Finland, France, Grenada, Greece, Hong Kong, Ireland, Iceland, Israel, Italy, Japan, Kuwaite, Liechtenstein, Luxembourg, Monaco, Montenegro, Norway , Oman, Netherlands, Portugal, United Kingdom, Kyrgyz Republic, Seychelles, Serbia, Swaziland, Sweden, Switzerland, Vanuatu. | $450,00 |

**ANNEX 16**

**TRAVEL REPORT TEMPLATE**

Name:

CPF:

EMBRAPII Project number:

Resource from:

( ) Company

( ) EMBRAPII

( ) Unit

Destination:

Date/Period:

Ticket cost:

Daily and total allowance:

**Purpose of the trip/Technical justification for the trip:**

Date:

|  |  |
| --- | --- |
| Beneficiary | Unit Coordinator  |
|  |  |

1. The Action Plan is one of the main documents required of the institution applying for accreditation as a EMBRAPII Unit. It should detail the planning and strategy for capturing and implementing innovation projects in partnership with industrial companies, in the area of competence proposed by the institution. [↑](#footnote-ref-1)
2. EMBRAPII makes available on its website the Operational Excellence System (https://embrapii.org.br/institucional/manuais/sistema-de-excelencia-operacional-embrapii/), which is a specific reference document for institutions accredited by EMBRAPII. [↑](#footnote-ref-2)
3. National Classification of Economic Activities (CNAE) items 5 to 33, 62.01-5 and 62.03-1, included in the Ministry of Finance’s Corporate Taxpayer Registry (CNPJ/MF). [↑](#footnote-ref-3)
4. To be considered a co-implementer of the project, the other EMBRAPII Unit involved must be included in the contract signed with the partner companies. [↑](#footnote-ref-4)
5. The acceptance from the partner companies in the project must be registered in the corresponding field of the EMBRAPII monitoring system (item 10), to which the respective acceptance document must be uploaded. [↑](#footnote-ref-5)
6. A greater relative participation of companies in these projects should be used as an opportunity to enable a smaller participation of other companies in high risk projects, or the implementation of projects by companies in the same production chain without using resources originating in R&D investment obligations. [↑](#footnote-ref-6)
7. The project implementation period begins at the start of the contractual term and ends at the date of acceptance of the last macro delivery by the companies, as documented in the acceptance term signed by the companies, provided that within the contract term. [↑](#footnote-ref-7)
8. Private entities not subject to the regulations that govern the Public Sector (Bidding Law, RDC, Decree 8241 of 2014, etc.) must publicize their internal regulations to demonstrate compliance with the provisions of this item regarding the implementation of the Cooperation Agreement. [↑](#footnote-ref-8)
9. The implementation of the project should only begin after the company's initial financial contribution is made. Funds from the companies must also be invested in financial instruments while they are not being used. [↑](#footnote-ref-9)
10. This information is only pertinent to Units whose accreditation commitments also include a HR Training Program in RD&I. [↑](#footnote-ref-10)
11. The report for the reference month includes events occurred between the 1st and the last day of the same month, thus referring to the entire (“closed”) month. [↑](#footnote-ref-11)
12. At least once a year, the Unit participates in a monitoring and/or inspection meeting. Inspections are based on indicators obtained through a risk matrix. [↑](#footnote-ref-12)
13. For the purposes of this item, in the case of Universities, the institute, faculty, school or center to which the EMBRAPII Unit is linked is considered as an institution. [↑](#footnote-ref-13)
14. Available at <https://embrapii.org.br/institucional/manuais/manual-de-identidade-visual-da-embrapii/> [↑](#footnote-ref-14)
15. ABNT NBR ISO 16290 – Associação Brasileira de Normas Técnicas*. Definição dos Níveis de Maturidade da Tecnologia (TRL) e de seus Critérios de Avaliação*. Rio de Janeiro: Publicação ABNT, 2015. [↑](#footnote-ref-15)
16. The value of the installed equipment includes costs with its acquisition and installation, as well as other expenses necessary for its proper operation; but does not include costs associated with civil works and general infrastructure of the environment where the equipment is installed. [↑](#footnote-ref-16)
17. The number of hours is calculated considering 12 months in the year and 100 hours of use per month. [↑](#footnote-ref-17)
18. The justification for international travels is always examined by EMBRAPII. [↑](#footnote-ref-18)