



Comisión Nacional de Investigación  
Científica y Tecnológica - CONICYT

## FONDECYT 2015 POSTDOCTORAL GRANTS GUIDELINES

The Superior Councils for Science and Technological Development (hereinafter the Councils) open the call for the 2015 FONDECYT Postdoctoral Grants Competition, in accordance with the Official Decree (D.F.L.) No. 33 of 1981 of the Ministry of Education and the Regulations contained in the Ministerial Decree (D.S.) No. 834 of 1982 of the same Ministry.

### I. GENERAL ASPECTS

- 1.1. The National Fund for Scientific and Technological Research (FONDECYT), created as an instrument to promote scientific and technological development in Chile, fosters the initiative of individuals and research groups by funding scientific and technological research projects in all fields of knowledge. Resources are allocated through annual public calls (competitions) and projects are selected on the basis of their intrinsic quality and the merits of applicants regardless of the field, institutional affiliation or gender of the applicants.
- 1.2. FONDECYT grants exclusively fund scientific and technological research initiatives that lead to new knowledge or applications foreseen through the working hypotheses stated in the proposals. It does not fund artistic initiatives, compilations, preparation of catalogues or inventories, book printing, essays, translations, audiovisual material, educational textbooks or other analog activities.
- 1.3. The aim of this call is to stimulate the productivity and future scientific leadership of young researchers who hold a Doctorate degree (as specified under item 2.1.1. of these guidelines) by funding research projects with a view to the researcher's employment in academia or other areas, through their incorporation into consolidated research groups that will influence the scientific development of the postdoctoral candidate and that will also be strengthened by his/her participation in the group.
- 1.4. The projects will last **2 or 3 years** and the Principal Investigator must declare a full-time commitment to the research work. However, its execution is compatible with other paid academic, research and/or outreach activities for up to **6** hours per week in the Sponsoring Institution. The Councils may, exceptionally, authorize that such number of hours be performed at another institution and/or authorize more hours in the Sponsoring or other institution, under the conditions determined by the Councils as long as they do not interfere with the execution of the projects.
- 1.5. The projects must be executed in Chile, by Chilean or foreign researchers who commit themselves to remain in the country for the entire duration of the project. However, Chilean and foreign researchers with permanent residence in Chile whose proposals are approved may request to the Councils, supported by the Sponsoring Researcher, permission to conduct part of the research (up to 12 months) abroad.

- 1.6. The projects will begin on 1 November 2014. Thus, the first year of execution -2015- covers the period 1 November 2014 through 31 October 2015.
- 1.7. The Councils shall establish the application and evaluation modalities and conditions for the approval or rejection of the submitted proposals, in accordance with the Regulations of D.F.L. N°33 of 1982, of the Ministry of Public Education, that created FONDECYT.
- 1.8. The Councils have the authority to transfer proposals submitted from the area of science to the area of technology and vice versa, if they deem it appropriate according to the main characteristics of the research. If a proposal submitted to the area of science involves the participation of a public institution and the Councils deem it as more suitable for the area of technology, it will not be eligible for funding.

The Councils may assign the proposal to an academic discipline other than the one defined by the applicant, if appropriate.

- 1.9. The Councils are the bodies with the authority to set forth the meaning, scope and interpretation of these guidelines, in cases of doubt and/or conflicts arising from their interpretation. Likewise, they reserve the right to reduce the requested budget allocations, and/or the project's length, in relation to the objectives, proposed activities and/or CONICYT/FONDECYT's budget availability. In addition, should any project fail to fulfill the obligations required by CONICYT/FONDECYT, the Councils may cancel the allocation or declare early termination of the project.
- 1.10. The Councils shall ensure the confidentiality of the information contained in the proposal, during the application process, its evaluation and execution; the latter in the event that it is funded, regardless of what it is indicated by Law 20.285 on Transparency within the Public Administration and Access to information of the State Administration.

#### **1.11. RESEARCH INTEGRITY**

1.11.1. Veracity of information: Both applicants and grant recipients (awardees) are responsible for the veracity of the information requested in the application form and/or provided during the project execution. Thus, they must be prepared to provide appropriate supporting documents at the Councils' request. Omitting or providing any false or misleading information in the application or during the execution of the project may constitute grounds to invalidate the application, the award, or determine early termination of the project, whichever is applicable to the specific case.

Prior to starting the process of signing by the sponsoring institution, the applicant shall adhere to the Singapore Statement on Research Integrity as a general framework for responsible research behavior, which is included here below as Annex 1 and it is also available within the application online system.

1.11.2. Inappropriate behaviors, such as fabricating or falsifying data and the substantial copy of other people's without proper citation (name of the author, title of the work, date and mean of publication), shall not be permitted in any phase of a FONDECYT funding call -from the submission of proposals to the publication of results-. The above includes unauthorized use of original ideas or methods obtained through privileged communication, such as proposals or

manuscripts under peer review.

The reference to one's own work without proper citation of the author name, publication title, date and means of publication will also be considered as substantial copy.

Substantial copy is understood as the essential or fundamental coincidence involving phrases or paragraphs that may deceive the reader regarding the contributions made by the author. The determinant factor is not the number of words copied nor the place within the manuscript where the phrase in question is found (title, introduction, methodology, hypothesis, etc.), but the fact that the reader may be misled into thinking that the phrase was written by the author or that the information presented is new and not the result of earlier works, when including references to the author's own work. Phrases in common use that do not mislead the reader are not considered for this purpose.

**In the application, all literal texts, paragraphs or phrases obtained from a bibliographical reference –from the researcher's own work or that of other authors- must be acknowledged in the text and in the list of references.**

Submitted proposals that breach this rule or do not present information in the manner indicated above will be declared as non-compliant with the guidelines of this call.

## **II. APPLICATION**

### **2.1. REQUIREMENTS**

- 2.1.1. Researchers who attained a Doctorate degree between **1 January 2011 and 1 November 2014, which is the starting date of the projects**, may apply to this call. For female researchers who have given birth within that period the degree award period is from **1 January 2010**. In this case, it is mandatory to attach the child's birth certificate to the application.

The Principal Investigator must attach a simple copy of his/her Doctorate to the application. If not available, a certificate issued by the University's Director of Postgraduate Studies or other document, stating the date of approval of the thesis public (viva voce) defense, must be attached to the application. If the applicant has studied in a foreign institution, he/she must submit a certificate or other official document issued by the competent authority stating the date on which the Doctorate degree was awarded or fulfilled all requirement to be awarded the degree.

Applicants who cannot fulfill this requirement by the application closing deadline must submit this documentation before November 1<sup>st</sup> 2014, in manner indicated by FONDECYT.

- 2.1.2. Projects shall be submitted by an applicant and sponsored by a researcher and a Sponsoring Institution, which may be a university or some other type of Chilean institution.

Only one proposal per applicant will be accepted in this call.

- 2.1.3. The Sponsoring Researcher will be responsible for directly supervising the academic execution of the project and must hold at least a half-time appointment (22 hours per week) at the Sponsoring Institution.

A Sponsoring Researcher may sponsor more than one proposal in this call and/or Postdoctoral projects in progress.

- 2.1.4. All applications must include two (2) recommendation letters from national or foreign researchers, **other than the proposal's Sponsoring Researcher**. The application will be considered as non-compliant with these guidelines if the Sponsoring Researcher provides a recommendation letter on behalf of the applicant he/she will sponsor. The request for recommendation letters can only be submitted through the Online Application system. To send a request for institutional sponsorship, both recommendation letters must be in the system. Otherwise, the applicant will be unable to send his/her application.

The content of the recommendation letters is used exclusively for the evaluation process.

- 2.1.5. Submitted proposals may not contain, as part of what is purported to achieve, aspects included in other finalized or ongoing projects or in any scientific publications or any other means of dissemination.

- 2.1.6. If the submitted proposal is part of an ongoing project of the Sponsoring Researcher, the goals to achieve must be different and/or complimentary to those already funded in such project. The above situation must be declared in the application form.

- 2.1.7. Submission of proposals in English is optional in all fields or disciplines.

## **2.2. RESTRICTIONS**

- 2.2.1. It is expressly declared that individuals may apply as Principal Investigators to this call as well as to the 2014 FONDECYT Initiation into Research and/or the 2015 Regular competition calls. However, only the first proposal received through the Online Application System will be considered. The remaining applications will be declared as non-compliant with the guidelines of the respective call.

- 2.2.2. Applicants ineligible to apply to this call:

As Principal Investigators:

- a) Those who have been awarded a FONDECYT Postdoctoral Grant in previous calls, Principal Investigators of Regular or Initiation into Research projects either finalized or under execution,
- b) Those who have been awarded, accepted, or finalized a project under CONICYT's Concurso Nacional de Inserción de Capital Humano en la Academia.

- c) Those funded in under CONICYT's Programa de Inserción y Atracción de Capital Humano Avanzado.

As Sponsoring Researchers:

- d) Those who have been Doctorate tutors for the applicant to this call.
- e) Principal Investigators of FONDECYT projects with pending approval of final technical that, as of 31 July 2014, are not prepared to submit the information required for their evaluation. If such information is submitted and is not approved, the application will be declared as non-compliant with these guidelines.
- f) Principal Investigators of FONDECYT projects with pending final financial reports by 31 July 2014 of execution year 2012 or prior years.

## **2.3. PROJECT**

- 2.3.1. The application will be completed through the online platform available at [www.conicyt.cl/fondecyt/](http://www.conicyt.cl/fondecyt/) or <http://auth.conicyt.cl>.

There are sections that must be filled out or selected on the screen (for example, general information on the proposal and requested funding), while others require uploading files in unencrypted/unprotected PDF format.

The application must contain the following information:

Project ID, Title, FONDECYT Council, Length, Disciplines, Fields and Region (s) of Application, Keywords and background of the PhD thesis (title, supervisor's name (s), institution, name of Program).

Institutions: Identification of the Chilean institution sponsoring the project, as well as a contributor, if any.

Formulation:

- Summary: maximum 1 page
- Formulation of proposal: maximum 10 pages.
- Other Background (Doctoral Thesis Summary and Justification of the choice related to the Sponsoring Researcher): maximum 1 page.
- Statement by the Sponsoring Researcher: maximum 1 page.

It is recommended to keep the file headers in each section, "Letter" size format, Verdana font (size 10) and stick to the maximum set of pages in each section.

Objects/subjects of studies: statement as to whether the proposal considers working in/on humans, animals, biological samples, biosecurity, archaeological sites, paleontological samples, species or protected wild areas, introduction of foreign species, files and / or databases.

Funding requested: amounts requested for each year of implementation (in thousands of Chilean pesos (1000CLP\$)).

Sponsoring Researcher: identification of the Sponsoring Researcher.

Letters of recommendation: 2 letters of recommendation are required.

Annexes:

Certified PhD academic degree (see 2.1.1. of the call for proposals). If by the closing date of this call, the applicant does not have this document, a letter in PDF format explaining this situation must be attached. The online system will not allow submission of application if this section is empty.

Certification of accepted publications and / or in press: applicants must attach letters, emails or other documents accrediting status of the writing by the journal / editorial committee.

Birth certificate of child, if applicable.

Other documents: manuscripts under review as part of prior work carried out, if applicable.

Conflict of interest: Any conflicts of interest must be indicated as for the people who could eventually be appointed as reviewer of the proposal and indicate a maximum of 3 names, if applicable.

Curriculum record:

Both the applicant Researcher and the Sponsoring Researcher must complete the personal and academic background required in the Curriculum section for Research Funds.

**The project shall be regarded as non-compliant with these guidelines if the application is incomplete or fails to provide the essential information needed for its adequate evaluation.**

2.3.2. Certifications – Authorizations:

FONDECYT project researchers must comply with current regulations and standards governing scientific activity in the areas addressed by the project.

**Only the proposals selected for funding through this call will have to submit the approved certificates/authorizations. After the communication of the results, each researcher whose project has been successful will be informed about the documents / certificates to be submitted to FONDECYT by December 29<sup>th</sup>, 2014. In some circumstances, the Councils may be able to extend this deadline.**

**If after the review process by the relevant entities, some changes arise concerning the objectives, methodology or other area of the project, these must be communicated to FONDECYT for their evaluation and approval. If the researchers do not fulfil or obtain the approving certification required for the project, the grant will be declared void.**

Projects involving studies in/with:

- a) Human beings and/or Human biological material,
- b) Animals, animal samples and/or biological material,
- c) Materials that represent a risk to biosafety,
- d) Archaeological sites, paleontological material,
- e) Protected species, protected wildlife areas, introduction of foreign species,
- f) Files and/or data bases containing sensitive information.

For studies described above, applicants must attach the following specific certifications and/or authorizations:

➤ **Human beings and/or biological material**

In the context of the Law N° 20.120 'On Scientific Research on Human Beings, the Genome, and the prohibition of human cloning" and rules in force, projects involving research on/with humans (biomedical, pre-clinical, clinical and social studies, including samples, personal data, surveys, interviews, focus groups, etc.) must have:

-A duly supported favorable report (certificate) by the Committee on Ethics / Bioethics of the Sponsoring Institution (Institution of the Principal Investigator and the institutions where the research is conducted). In ethically sensitive research situations, such as social vulnerability, intimacy intervention, psychological or physical integrity, or other; the report must explicitly consider these situations on an ethical basis. In addition to this, a supported favorable report by the committee(s) of Ethics / Bioethics of the Institution (s) where the research is conducted or where the inclusion of individuals and/or biological samples is considered, or the appropriate authority's written permission expressly accepting the favorable report by the Ethics Committee of the Sponsoring Institution.

In the case of research on indigenous people and/or communities, it is also required to submit, insofar as this is possible, the authorization of the community or the appropriate authority.

-A copy in Spanish of the document (s) detailing the Informed Consent specific to each study; the particular aspects of the protocol related to the subjects of the study must be considered. Additionally, it is required to provide the Informed Consent of parents or guardians and, insofar as this is possible, the Informed Assent of the minor/adolescent in the case of minors ranging from 8 years old up to day before turning 18 years old. The document(s) must be endorsed by the Committee on Ethics/Bioethics that delivers the favorable report (For suggestions on how to write an Informed Consent for Research with People, please check FONDECYT website at <http://www.conicyt.cl/fondecyt/2012/10 / 31/bioetica />).

-A letter issued by the Director(s) of the Establishments and Institutions participating in the study.

Regarding the implementation of data collection instruments, the research must comply with the legal, ethical, professional and training requirements which are necessary for the application of specialized tests (e.g. psychological tests). It is also recommended to verify that these tests are validated in Chile in order to apply them in the population or participants to be analyzed. Otherwise, the Principal Investigator(s) must justify this application and explain the limitations thereof for the analysis and interpretation of results.

As for the use of biological human materials, please check the International Declaration on Human Genetic Data, UNESCO, available at FONDECYT website <http://www.conicyt.cl/fondecyt/2012/10/31/bioethics/>

➤ **Animals, animal samples and/or biological material**

Projects involving animal experimentation must present a duly supported favorable report (certificate) by the Bioethics Committee of the Sponsoring Institution or institutions where the experimentation is to be conducted. Explanation must be provided about the use of all the species involved in the research, according to the "3Rs" principles (Reduction, Refinement and Replacement); Animal management protocol (must include detailed information on animal species, all procedures to be performed, anesthesia, analgesia and euthanasia techniques, if applicable); Animal Monitoring Protocol (indicators to be evaluated on a periodic basis to ensure animal welfare) if necessary (please check Suggestion for the justification of the Bioethics Animal Certificate and the Law No. 20.380 "On Protection of Animals" available at FONDECYT website <http://www.conicyt.cl/fondecyt/2012/10/31/bioetica/>).

➤ **Files and/or data bases containing sensitive information**

It is required to attach the authorizations issued by the relevant organization(s) holding the information, and indicate the backup measures to be adopted by the Principal Investigator to protect the respective information.

➤ **Materials that represent a risk to biosafety**

Those projects including management of pathogens (to humans, animals or plants); recombinant DNA and/or radioisotopes; waste or other risk elements; must obtain a certificate issued by a Biosafety Committee of a Sponsoring Institution(s) and the institution(s) where the experimentation is to be conducted. This latter according to the terms indicated in the "Manual de Normas de Bioseguridad", edited by CONICYT, 2008 version, available at <http://www.conicyt.cl/fondecyt/2012/09/10/manual-de-normas-de-bioseguridad-2008/>. Failing that, proposals may attach a letter issued by the Sponsoring Institution (Dean or Director for Research), indicating the biosecurity measures to be taken and the facilities available to the Principal Investigator researcher for the conduct of the research according to the terms of the above document. If the project does not have appropriate measures, the Councils may decide to reject or accept it insofar as the facilities for the proposed experiments are provided.

➤ **Archaeological sites, paleontological material**

Projects including research on collections must submit the official authorizations issued by the institutions in charge of that heritage.

Projects requiring certification by the National Monuments Council must submit evidence attesting the receipt of the request. In the corresponding year of execution it will be required to present the proper authorization.

➤ **Protected species, protected wildlife areas, introduction of foreign species**



Proposals must attach the authorization(s) or evidence(s) attesting that such authorization(s) has (have) been requested at (the) corresponding organisation(s): Servicio Agrícola y Ganadero (SAG), Corporación Nacional Forestal de Chile (CONAF), Sistema Nacional de Áreas Silvestres Protegidas del Estado (SNASPE), Servicio Nacional de Pesca (SERNAPESCA), Instituto Antártico Chileno (INACH), among others. If the project is selected, it must have the corresponding authorization(s) by the start of it.

➤ **Amendments**

In case of changes in methodology which involve bioethical issues and/or biosecurity, the project will have to be re-evaluated and approved by the Ethics /Bioethics Committee at the sponsoring institution and/or collaborating institution(s), informing this to FONDECYT.

Certification review process.

a) Funded projects

Projects must present the corresponding institutional certifications. Additionally, the FONDECYT Advisory Committee on Bioethics (CAB) will select a sample of the granted projects so as to review them. The result will be communicated to the Principal Investigator and Sponsoring Institution for their information and further explanation, if any observations so require.

b) Projects under execution

At least once during the project implementation, the institutional Ethics and Bioethics Committee will be in charge of monitoring its compliance with all regulations and protocols defined for it, considering the report of the FONDECYT Advisory Committee on Bioethics (CAB), if any.

If the monitoring finds serious faults regarding ethics/bioethics, the Sponsoring Institution must take necessary actions to correct it and inform FONDECYT. Approval of the final academic report is subject to the submission of at least one audit report prepared by the institutional Ethics and/or Bioethics Committee during the implementation of the project, where applicable.

The Councils will ask the CAB, where necessary, for a report concerning the ethical and/or bioethical aspects for projects approved or in progress. They may also require (independent) ethical/bioethical and biosecurity statements, if applicable.

### 2.3.3. **INSTITUTO ANTÁRTICO CHILENO (INACH)**

Those projects that consider research in Chile's Antarctic territory and/or are interested in having logistical support by the Instituto Antártico Chileno (INACH) for the development of its activities in this area should provide, if granted, the "Certificate of Environmental Compliance" and "Logistics Certification Letter" issued by that Institute. It is therefore required to submit to INACH (proyectos@inach.cl), before June 10, 2014, the official version of the proposal submitted to CONICYT, along with the form: "Formulario de Apoyo en Terreno" (available at <http://www.conicyt.cl/fondecyt/>).

After FONDECYT communicates the results of the call, the selected applicant's will have to send to FONDECYT, in a manner to be informed, the letter of feasibility whereby INACH attests that the project will have logistical support from the Institute.

#### Amendments

If the project changes upon request by INACH, involving modifications to the objectives or other, this must be informed to FONDECYT no later than 14 November 2014, for evaluation and resolution. In special circumstances, that period might be extended.

INACH, in accordance with the Collaboration Agreement signed with CONICYT on March 22, 2007, commits to provide logistic support, including transportation between Punta Arenas – Antarctic Territory – Punta Arenas; travels within the Antarctic Territory, lodging in Chilean bases and camps, arrangements for accommodation in Chilean and foreign bases and camps and provision of food during the stay of the researchers in the Antarctic Continent.

Projects that do not meet the requirements set forth in this document will be declared non-compliant with the Guidelines and will not be able to continue participating in this call.

In the event that one or more proposals are declared as non-compliant, FONDECYT will notify the applicant via certified mail. Applicants will have 5 working days, from the notification date, to submit an appeal to the administrative decision as prescribed by Chilean Law No. 19.880 that sets forth the Principles and Administrative Procedures that regulate the acts of State Administration Bodies.

### III. BENEFITS

#### 3.1. Expenses covered by FONDECYT:

**The maximum amount of funding that may be requested for a project is CLP \$23,400,000 (twenty three million four hundred thousand Chilean pesos) for each year of execution. This amount excludes Initial Expenses, which can be requested for the first year, and the health benefit allowance that FONDECYT will assign to approved projects.**

**The above amount includes funding for the following items:**

- 3.1.1. **Honoraria: FONDECYT will disburse CLP\$18,900,000 (eighteen million nine hundred thousand Chilean pesos) per year**, in one, two or more installments, subject to CONICYT's budget availability, to the Principal Investigator. He/she shall declare the amount received with an invoice for professional fees ("Boleta de Honorarios") and the Principal Investigator must additionally register the start of activities with the Servicio de Impuestos Internos (SII), for the subsequent review of any tax due.

This amount is subject to increase -provided budgetary availability- for years 2 and 3 of the project's execution, if applicable, by matching it to the amounts

defined for subsequent FONDECYT Postdoctoral Calls or according to the Consumer Price Index (CPI) percentage increase.

3.1.2. **Travel and/or Operational Expenses: CLP\$4,500,000 (four million five hundred thousand Chilean pesos)** per year of execution.

3.1.2.1. **Travel:** Funds may be requested for tickets and per diems for domestic and/or foreign travel. These will be funded only for the project's Principal Investigator and for activities directly related to execution of the project or presentation of its results. The applicant may use the fares for tickets and per diems as shown in FONDECYT's web page at [www.conicyt.cl/fondecyt](http://www.conicyt.cl/fondecyt), Concurso FONDECYT de Postdoctorado 2015.

Domestic Travel: funds field trips, attendance to scientific meetings and travel within the country.

Foreign Travel: funds, among others, research visits and attendance to scientific meetings. Only economy air fares are accepted.

3.1.2.2. **Operational Expenses:** This item includes expenses such as: computer supplies (including i.a. software, hardware, desktops, notebooks, tablets, printers, and licencing), laboratory supplies, vehicle rental, payment of freight charges, purchase of books, journals, subscriptions and scientific societies membership fees, registration fees to congresses, purchase of services, payment for occasional staff (if applicable), minor expenses, and purchase of equipment, purchase of clothing and/or field work shoes including projects under INACH agreement (projects in Antarctica), etc.. Funding may only be requested for scientific publications generated by the project and in journals included in the ISI or equivalent database according to the nature of the discipline. In the case of books, only the manuscript preparation will be funded but not the publishing costs.

The purchase of furniture and/or minor conditioning of physical spaces according to the nature of the project and necessary for its appropriate execution may be considered.

Payments for the mandatory health insurance for EU countries that signed the Schengen Agreement may be included in this item<sup>1</sup>, personal accident insurance, per the instructions in the Instructivo de Declaración de Gastos en Línea for the year of execution.

3.1.3. **Health Benefit:** FONDECYT will assign to Principal Investigators of projects approved under this call CLP\$415,800 (four hundred and fifteen thousand, eight hundred Chilean pesos) as an **annual health benefit**, which may be used to pay health coverage through FONASA (public), an ISAPRE (private) health insurance providers or to supplement an ISAPRE health plan or, alternatively, to purchase an independent health insurance policy. This amount may also be used to supplement a FONASA or ISAPRE health plan in which the Principal Investigator is dependent of another individual. This allocation does not allow

---

<sup>1</sup> To date, countries included are: Germany, Austria, Belgium, Bulgaria, Cyprus, Denmark, Slovakia, Slovenia, Spain, Estonia, Finland, France, Greece, Hungary, Italy, Iceland, Latvia, Liechtenstein, Lithuania, Luxemburg, Malta, Norway, the Netherlands, Poland, Portugal, Czech Republic, Romania, Sweden, and Switzerland

budget changes. Unused funds must be reimbursed to CONICYT. The benefit will be lost and the Principal Investigator shall reimburse CONICYT the full amount allocated if he/she does not use these funds, or reimburse them proportionally if he/she is hired by his/her or any other Institution and his/her honoraria are reduced because of this new condition, or due to early termination of the project. **This amount must not be included in the request for funds.**

3.1.4. **Initial Expenses:** These funds may be requested by individuals who apply as Principal Investigator and who, at **the time the call results are communicated, reside abroad.** This item provides funding to settle in Chile (room and board and/or transportation, the fee of the temporary, or other authorized visa and reciprocity tax in order to start the project, and the Principal Investigator's travel ticket to Chile, if national public funding is unavailable for this purpose. Only economy class fares to Chile can be considered.

Up to **\$3,000,000 (three million Chilean pesos) may be requested to cover these costs during the first year of execution.** This item does not allow budget changes. Unused funds allocated for this purpose must be reimbursed.

#### **IV. EVALUATION PROCESS**

4.1. Proposals in compliance with the requirements and conditions established in these guidelines will be evaluated by the FONDECYT Study Group to which it is assigned or by an external expert Reviewer in cases it is pertinent to do so.

The productivity of both the Principal Investigator and the Sponsor Researcher will be evaluated by the Study Group, considering a maximum of 10 publications (journal articles, books and/or chapter books) accepted, in press and/or published since 2009.

Female Researchers who have had children in the period 2009-2014 may inform about their scientific productivity from 2007. On the Attachments section of the application, the corresponding birth certificate must be attached.

Publications accepted and/or in press must enclose the corresponding certificate or, failing that, the DOI (Digital Object Identifier). Publications not enclosing the required documentation will not be considered in the curriculum evaluation process.

In order to select publications the researchers should consider the criteria defined by each Study Group, which is included at the bottom of this document and are also available at CONICYT website [www.conicyt.cl/fondecyt/grupos-de-estudios/](http://www.conicyt.cl/fondecyt/grupos-de-estudios/) (select Study Group).

4.2. Items and rating scale

Evaluation items of the projects submitted are as follows:

| <b>Evaluation Items</b> | <b>Weight</b> |
|-------------------------|---------------|
| Quality of the Proposal | 50%           |

|   |     |
|---|-----|
| Productivity of Principal Researcher      | 24% |
| Recommendation Letters                    | 6%  |
| Productivity of the Sponsoring Researcher | 20% |

The evaluation process will consist of completing an evaluation form using a scale from 0 to 5, except for the item 'Productivity of the Researchers', where the scale will be from 1 to 5.

The following scale explains each item (\*):

|          |                    |  |
|----------|--------------------|--|
| <b>0</b> | <b>Not qualify</b> | The proposal does not meet/address the criterion under analysis or cannot be evaluated due to missing or incomplete information. |
| <b>1</b> | <b>Poor</b>        | The proposal does not meet/address in an adequate manner the criterion aspects or there are serious inherent deficiencies.       |
| <b>2</b> | <b>Regular</b>     | The proposal broadly meet/addresses the criterion aspects, but there are important deficiencies.                                 |
| <b>3</b> | <b>Good</b>        | The proposal meet/addresses the criterion aspects in a good manner, although some improvements are required.                     |
| <b>4</b> | <b>Very Good</b>   | The proposal meet/addresses the criterion aspects in a very good manner, although some improvements are still possible.          |
| <b>5</b> | <b>Excellent</b>   | The proposal successfully meet/addresses all criterion aspects. Any weaknesses are minor.  |

(\*) All items in the evaluation form allow half-points.

Based on the results of the evaluation and CV of both the Principal Investigator and the Sponsoring Researcher, projects will be ranked in descending order according to the score obtained.

## V. RESULTS OF THE CALL FOR PROPOSALS

- 5.1. The Superior Councils of Science and Technological Development of FONDECYT will decide the results of this call and will allocate funds through a Resolution promulgated by CONICYT. The results will be published on CONICYT's web page at <http://www.conicyt.cl/fondecyt>.
- 5.2. Principal Investigators will be notified of the results both via certified mail and e-mail to the postal mailing and electronic addresses indicated in the application.
- 5.3. The ruling may include a waiting list, which will become effective if the Principal Investigator declines the award or he/she is unable to execute the project. Principal Investigators who become awardees through the waiting list will have 10 working days, from the date of the notification by FONDECYT's Superior Councils, to accept the award in writing starting **1 November 2014**. If the awardee does not respond within the stated period, he/she forfeits his/her right to the funding. The waiting list will be

valid through **4 December 2014**.

- 5.4. Pursuant to the ruling resolution, any interested Principal Investigator may submit an appeal to CONICYT on the administrative decision as prescribed by Chilean Law No. 19.880 that sets forth the Principles and Administrative Procedures that regulate the acts of State Administration Organs, as long as it complies with the time frames, forms and requirements established by such law.

The deadline to appeal the ruling resolution will be 5 working days from the notification date.

## **VI. SIGNATURE OF THE FUNDING AGREEMENT AND ALLOCATION OF FUNDS**

### **6.1. FUNDING AGREEMENTS**

- 6.1.1. Funding agreements will be signed between CONICYT, the Principal Investigator, the Sponsoring Researcher and the Sponsoring Institution. They will become valid from 1 November 2014. Signatures through an authorization letter or mandate are not accepted. The agreements will expressly establish the rights and obligations of each party, the Superior Councils authority and all clauses that best safeguard compliance with FONDECYT's purposes. By subscribing the agreement, the Sponsoring Institutions commit themselves to guarantee the proper implementation of the project.
- 6.1.2. All funding agreements must be signed by Principal Investigators and Sponsoring Institutions no later than 29 December 2014. After that date the funding allocation becomes null and void. Under qualified circumstances FONDECYT may authorize postponement of the funding agreement. However, such action does not change the starting date of the project.
- 6.1.3. Foreign Researchers who are awarded funds through a FONDECYT project must present either a permanent resident visa or a temporary visa. In order to process the grant agreement, temporary visa holders must send a copy of the visa and valid Chilean National Identity Card. Permanent residence visa holders must submit copy of the latter. It is also possible to consider a student visa with a work permit. In this case, the document that attests this status and a valid identity card for foreigners must be submitted.
- 6.1.4. Awardees commit themselves to exclusive dedication to the Postdoctoral project at the Sponsoring Institution (with the exception defined in section 1.4. of these guidelines).
- 6.1.5. If the Principal Investigator is hired, in a full-time position in the Sponsoring or another institution before the beginning of the project or during its execution, he/she must request the authorization of FONDECYT's Councils to execute the project under the new condition. If the request is approved, the new institution, if applicable, will become an additional Sponsoring Institution. At the same time, the honoraria assigned to the researcher in this call will be reduced to the amount established for a Principal Investigator of a Regular project of the same year as this call, from their hiring date through the end of the project. However, for all other purposes, the project will continue as a Postdoctoral project. The Principal Investigator may present a duly justified request so that the balance of

the reduced honoraria is transferred to travel and/or operational expenses, as long as the allocated amount does not exceed the maximum established in these guidelines. The above, notwithstanding item 3.1.3. of these guidelines.

- 6.1.6. The Sponsoring Institution must provide the required infrastructure during the entire execution period of the project and respect the exclusive dedication of the Principal Investigator.
- 6.1.7. If the Principal Investigator changes Sponsoring Institution before signing the funding agreement or during the execution of the project, and the Councils accept the new institution, the latter shall become the Sponsoring Institution with all the rights and responsibilities of the original Institution. It is hereby declared that CONICYT/FONDECYT shall make no statements regarding possible commitments or disputes arising between the researcher and his/her previous Sponsoring Institution(s), as these situations fall outside its competence.
- 6.1.8. Researchers whose projects are approved in this call and obtain funding for a project under CONICYT's National Call for Concurso Nacional de Inserción de Capital Humano Avanzado en la Academia or in Apoyo al Retorno de Investigadores(as) desde el Extranjero must choose one of the two grants. If the Inserción de Capital Humano Avanzado en la Academia Grant is awarded after commencement of the Postdoctoral project and the Principal Investigator accepts the offer, he/she must request early termination of the Postdoctoral grant. An awardee who is applying for the Apoyo al Retorno de Investigadores(as) desde el Extranjero call must request additional time to accept the Postdoctoral Grant until the results of this call are communicated to the public.
- 6.1.9. Funding or allocation of resources to the research project will only be made on annual basis. The planned research work and budget approved for the following years of execution are regarded as a proposed research to be carried out and resources to be used that does not force the Councils to renew funding. Therefore, the allocation of resources is subject to:
  - Approval of the academic reports, on specified dates, pursuant to the instructions for submission of such for each year of execution.
  - Statement of expenses free of outstanding due balances to be reimbursed or unapproved expenses reports from previous years.
  - Presentation and validation by the Department of Administration and Finance at CONICYT of the original documents supporting the expenditures reported, where appropriate, attaching: Report on the Declaration of Expenditures and documents entered in the Declaration of Expenses.
  - Validity, feasibility and relevance of the purpose of the research.
  - Validity, relevance and compliance with ethics and bioethics certifications, informed consent or other certifications during the execution of the project, when applicable; as well as compliance with biosafety protocols.
  - CONICYT's budget existence and availability.
- 6.1.10. Academic and financial modifications associated to the execution of the project, such as: modification of objectives and/or change of Sponsoring Institution, among others, must be submitted to the Director of the FONDECYT Program.
- 6.1.11. Unused funds by the due date of each year's statement of expenses, must be

reimbursed to CONICYT/FONDECYT, unless the Principal Investigator is granted an authorization to do so at a later date.

6.1.12. The Councils are entitled to request total or partial restitution of allocated resources if the Principal Investigator fails to comply with the obligations undertaken by him/her.

6.1.13. Principal Investigators must sign a Special Mandate or warrant of payment as a means to recover the funding transferred in case of failure to fulfill his/her obligations. This document will be requested and issued in an established CONICYT format.

## **6.2. ALLOCATION OF RESOURCES**

6.2.1. The resources allocated to a project approved under this call, will be transferred at the beginning of its execution, once CONICYT's administrative ruling approving the funding allocation is processed in full and provided that the Principal Investigator has no commitments or pending situations with CONICYT. **If by 15 January 2015 he/she maintains any unresolved situation with CONICYT, the allocation may be declared null and void.**

If the project receives the funding while the ethical, bioethical or other certifications are still pending submission and/or under review and, in the event that they are not obtained, the Councils are entitled to declare the early termination of the project, and request the reimbursement of the funding, where appropriate.

6.2.2. Resources are allocated in non-adjustable national currency (except for the Principal Investigator Honoraria as indicated under section 3.1.1. of these guidelines) and will be transferred for every approved year of execution. To these effects, Principal Investigators must hold a personal checking or "vista" bank account. Expenses may be charged to the project **only from 1 November 2014**, as established in the funding agreement, except for the Initial Expenses funds which may be charged from the grant's award date (date in which the ruling will be available at CONICYT's website <http://www.conicyt.cl/fondecyt/>). Resources will be transferred under the following modality:

- a) **Honoraria:** These funds will be transferred to the Principal Investigator in one or more installments. He/She shall declare them through an honoraria invoice ("boleta de honorarios"), for the gross amount without income tax deduction. Payment of Income tax is his/her sole responsibility.
- b) **Travels and Operational Expenses:** These funds will be transferred to the Principal Investigator at the beginning of each year of execution either in partial or full payments, according to the budget availabilities of CONICYT/FONDECYT, under the conditions set forth in the funding agreement.
- c) **Health Benefit:** These resources will be transferred, as in the case of honoraria, in one or more installments, in separate disbursements.
- d) **Initial Expenses:** These will be transferred to the Principal Investigator, if applicable, at the beginning of the execution of the project and subject to



CONICYT's budgetary availability. Unused funds under this item must be reimbursed to CONICYT.

The distribution of the funds assigned may be modified by the Principal Investigator during the project's execution based on its needs and under the conditions specified in the current Instructivo de Declaración de Gastos en Línea without exceeding the annual allocation.

6.2.3. The Councils are entitled, in view of well-founded reasons, to suspend, modify or declare the early termination of projects, thus ending the transfer of resources as indicated in the Agreement. It is CONICYT's responsibility to controlling and monitoring the use of transferred funds.

## **VII. RESIDENCE IN THE COUNTRY**

The Principal Investigator commits himself/herself to remain in the country until the end of the project and for at least 6 months during each year of execution, except for the conditions established under section 1.5. of these guidelines. Less than 6 months absences must be informed to the Sponsoring Researcher. **However, Principal Investigators must comply with the deadlines established for submission of technical reports, if applicable, and statements of expenses on the dates established in the annexes of the funding agreement.** If a Principal Investigator fails to comply, the Councils are entitled to declare early termination of the project and request total or partial reimbursement of the allocated resources.

## **VIII. OBLIGATIONS**

### **PRESENTATION OF TECHNICAL AND FINANCIAL REPORTS**

8.1. The Principal Investigator shall strictly and timely comply with the dates and instructions for the submission of technical and financial reports as established in the Annexes, which are part of the funding agreements.

The Sponsoring Researcher shall attach to the annual academic report a detailed evaluation of the work conducted by the Postdoctoral fellow. **No postponement of the deadline for submission of academic reports will be accepted, unless exceptional and qualified situations prevent compliance within the established deadlines.**

Female Principal Investigators who make use of pre-maternity leave, post-maternity leave and/or post-natal parental leave, may request to extend the project's ending date maintaining the same amount of monthly subsidy established during the validity of the project, provided the full-time dedication is maintained. Otherwise, will be eligible for a time extension only.

Parents who take a medical leave due to illness of a less than 1 year old child may request an extension of the project. In such cases, the duration of the project will be extended for the period authorized by the Councils.

To access the above benefits, the Principal Investigator must submit a request along with a medical certificate issued by a competent professional. Female researchers who need to make use of parental postnatal leave must indicate so in the request.

- 8.2. All funds allocated to the project are governed, in regards to their statements of expenses, by Resolution N° 759/2003 of the Office of the Comptroller General of the Republic and must be declared through FONDECYT's online Statements of Expenses ("Sistema de Declaración de Gastos en Línea"), by the dates specified in the funding agreement, and send to CONICYT the original documents supporting the expenses declared at the end of each execution year. However, the Principal Investigator must maintain under his/her custody all original documents that justify the expenses declared and facilitate CONICYT, or the Office of the Comptroller General of the Republic, access to the revision of these documents at any stage during the project execution and for a period of 5 years from the date the Councils declare the project's completion.

For purposes of the declaration of expenses, only those under the Sponsoring Institution or Principal Investigator name, as appropriate, will be accepted.

If selected for an audit, CONICYT is entitled to suspend further funding transfers to ongoing projects or new projects pending initiation if the explanation of expenses is inadequate to justify the funds transferred and used. The Departamento de Administracion y Finanzas, Unidad de Control de Rendiciones, is the body responsible for controlling and monitoring the funding transfers and the justification of expenses.

The declaration of expenses will be sent back to the researcher after reviewing and/or accepting it. CONICYT is entitled to suspend further funding transfers if the explanation of expenses is inadequate to justify the funds transferred and spent.

- 8.3. As for the financial report of the project, in the event that a document is used to support the same expense (100%) in more than one project, the projects involved shall be immediately terminated and pertinent actions will be pursued to obtain full reimbursement of the allocated resources. If the resources transferred are used for purposes other than those specified in the project, or are not used to implement modifications approved by the Councils during the course of the research, they must be reimbursed to CONICYT.
- 8.4. It is strictly forbidden to invest the funds transferred for the execution of the project in financial instruments, of fixed or variable return, of short or long term such as: mutual funds, stocks, long-term deposits, bonds, etc. It is also forbidden to pay indemnities (for lack of severance prior notice, annual holiday or vacations and for years of service, etc.) with project funds.

## **IX. PROJECT COMPLETION**

- 9.1. A project is considered to be formally completed when the final academic report has been approved to the satisfaction of the Councils, CONICYT has received: Expenses Report and original expenses supporting documents which have been revised, validated and/or approved by CONICYT-DAF. Under qualified circumstances, Committed Expenses or Gastos Comprometidos are authorized to disseminate the project's results in Scientific Meetings and/or planned publications as part of the obligations established by the Councils for the project. This condition will allow initiation of a new project, however, this project will be formally closed when all funds transferred are fully declared and unused funds or rejected expenses, if any, are reimbursed.

9.2. The final report must contain results that are pertinent to the objectives and thematic scope of the project. It must include copies of the published documents and of those under editorial committees review. Approval of the final report is subject to:

9.2.1. Achievement of the proposed research goals or modifications arising during its execution.

9.2.2. If applicable, presentation of at least one audit report prepared by the Institutional Ethics and/or Bioethics Committee during the execution of the project, and according to the conditions established in section 2.3.2.

9.2.3. The existence, at the end of the research, of a **manuscript accepted, in press or published** in journals included in the ISI database or in equivalent databases according to the nature of the discipline. An article in a journal published by the Sponsoring Institution shall not be accepted as the sole product of the project.

All products associated with the project: articles, books, book chapters, licenses, or scientific presentations, among others, must acknowledge CONICYT/FONDECYT and INACH –the latter only if applicable– using the following format “CONICYT + Program/instrument + Project Number”.

Only once the final technical report has been approved by the Councils, its results will be made available in the format and modality that CONICYT decides for this purpose. However, FONDECYT may delay this dissemination, for a period to be defined by the Councils, under the express request of the Principal Investigator when he/she shows that there are aspects that require protection. In regards to the registry of the projects’ productivity, FONDECYT may keep this information updated for articles published in scientific journals or other dissemination media, during any year of execution of the project.

9.3. **Early Termination of the Project:** a project may in exceptional circumstances be terminated earlier than its approved duration, after hearing from the Principal Investigator, Sponsoring researcher, and/or sponsoring institution, for the following reasons:

9.3.1. Non-implementation or partial and/or delayed implementation of the project as declared by the Councils.

9.3.2. Total or partial failure to achieve the purpose for which the project was granted as declared by the Councils.

9.3.3. Difficulties created by the sponsoring institution for the execution and/or purpose of the project as declared by the Councils.

9.3.4. Sponsoring institution ceasing to be so, being this because of the responsibility of this institution or the Principal Investigator. In this case, the Councils may set a deadline for the Investigator so that he/she confirm the sponsorship of another institution, a proposition which will be evaluated. If this is not accepted, the project will be terminated early, or if the researcher fails to prove a new institutional sponsorship within that period.

9.3.5. Misconduct or breach of the ethical or bioethical aspects, certifications or other during the implementation of the project, brought to the Councils’ awareness.

9.3.6. Upon request of the Principal Investigator, the Sponsoring Researcher and/or sponsoring institution.

9.3.7. By the Councils' decision on the grounds that the resources allocated to the Principal Investigator are not used for the purposes that they were requested for or the researcher did not faithfully, timely and fully comply with the obligations acquired under the funding agreement.

The Councils will determine the necessary requirements to consider the project terminated and may request full or partial reimbursement of the allocated funding according to the funding agreement. If a Principal Investigator dies, the academic obligations of the project are extinguished.

## **X. SUBMISSION OF PROPOSALS**

10.1. The call for proposals will open on **15 April 2014** and will be published in a national circulation newspaper.

10.2. The guidelines will be available from the opening date of the call at <http://www.conicyt.cl/fondecyt/> or at the FONDECYT Program address: MONEDA 1375, Santiago.

10.3. The application and uploading of letters of recommendation shall be completed through the **online platform** in CONICYT website. In order to apply, the researcher must obtain two recommendation letters before submitting his/her proposal to the Sponsoring Institution.

10.4. **Closing dates for applications through the online system:**

a) Applicants (including the reception of 2 recommendation letters): **until 20 May 2014, 4:00 p.m.**, Chilean Continental Time.

b) Sponsoring Institutions: **until 27 May 2014, 4:00 p.m.**, Chilean Continental Time.

During the review of applications, the sponsoring institution may request to the applicant, through the system, such clarifications or modifications to the proposal that it deems appropriate. Also, the applicant may require the Sponsoring Institution to modify or change the project during this process. To do so, the applicant must contact the Institutional Representative indicated in the application (Section "Institution").

As a result of the review, the sponsoring institution may grant or reject the sponsorship to the project. In the latter case, the project will not participate in the Call, as FONDECYT requires applications to be sponsored by a national institution.

Once the institution sponsors the project, the official version of the application will be available on the application system for printing and saving.

**For this call, the applicant is not required to submit an official hard-copy version of the project to FONDECYT.**

10.5. Once the call for proposals period is closed –closing date for institutional sponsorship–

and the proposal has been electronically received by CONICYT, **it is not possible to rectify, modify, add, delete or receive any additional documentation to be attached to the proposal.** Therefore, projects will be evaluated with the information submitted by the closing date and time of the call.

This excludes certificates and/or authorizations expressly specified in these guidelines.

10.6. To make inquiries, please visit: [www.conicyt.cl/oirs](http://www.conicyt.cl/oirs) or send an e-mail to [postulacion.fondecyt@conicyt.cl](mailto:postulacion.fondecyt@conicyt.cl). Questions will be accepted until 15 May 2014. Recommenders please write to [recomendadores\\_fondecyt@conicyt.cl](mailto:recomendadores_fondecyt@conicyt.cl).

Telephone **help desk** at (56-2) 2365 44 45, 2365 44 91, 2365 46 65, Monday through Thursday from 09:00 AM till 06:00 PM and Fridays from 09:00 AM till 05:00 PM, Chilean Continental Time.

## ANNEX N°1

### SINGAPORE STATEMENT ON RESEARCH INTEGRITY

#### PREAMBLE

The value and benefits of research are vitally dependent on the integrity of research. While there can be and are national and disciplinary differences in the way research is organized and conducted, there are also principles and professional responsibilities that are fundamental to the integrity of research wherever it is undertaken.

#### PRINCIPLES

*Honesty* in all aspects of research  
*Accountability* in the conduct of research  
*Professional courtesy and fairness* in working with others  
*Good stewardship* of research on behalf of others

#### RESPONSIBILITIES

- 1. Integrity:** Researchers should take responsibility for the trustworthiness of their research.
- 2. Adherence to Regulations:** Researchers should be aware of and adhere to regulations and policies related to research.
- 3. Research Methods:** Researchers should employ appropriate research methods, base conclusions on critical analysis of the evidence and report findings and interpretations fully and objectively.
- 4. Research Records:** Researchers should keep clear, accurate records of all research in ways that will allow verification and replication of their work by others.
- 5. Research Findings:** Researchers should share data and findings openly and promptly, as soon as they have had an opportunity to establish priority and ownership claims.
- 6. Authorship:** Researchers should take responsibility for their contributions to all publications, funding applications, reports and other representations of their research. Lists of authors should include all those and only those who meet applicable authorship criteria.
- 7. Publication Acknowledgement:** Researchers should acknowledge in publications the names and roles of those who made significant contributions to the research, including writers, funders, sponsors, and others, but do not meet authorship criteria.

**8. Peer Review:** Researchers should provide fair, prompt and rigorous evaluations and respect confidentiality when reviewing others' work.

**9. Conflict of Interest:** Researchers should disclose financial and other conflicts of interest that could compromise the trustworthiness of their work in research proposals, publications and public communications as well as in all review activities.

**10. Public Communication:** Researchers should limit professional comments to their recognized expertise when engaged in public discussions about the application and importance of research findings and clearly distinguish professional comments from opinions based on personal views.

**11. Reporting Irresponsible Research Practices:** Researchers should report to the appropriate authorities any suspected research misconduct, including fabrication, falsification or plagiarism, and other irresponsible research practices that undermine the trustworthiness of research, such as carelessness, improperly listing authors, failing to report conflicting data, or the use of misleading analytical methods.

**12. Responding to Irresponsible Research Practices:** Research institutions, as well as journals, professional organizations and agencies that have commitments to research, should have procedures for responding to allegations of misconduct and other irresponsible research practices and for protecting those who report such behavior in good faith. When misconduct or other irresponsible research practice is confirmed, appropriate actions should be taken promptly, including correcting the research record.

**13. Research Environments:** Research institutions should create and sustain environments that encourage integrity through education, clear policies, and reasonable standards for advancement, while fostering work environments that support research integrity.

**14. Societal Considerations:** Researchers and research institutions should recognize that they have an ethical obligation to weigh societal benefits against risks inherent in their work.

*The Singapore Statement on Research Integrity was developed as part of the 2nd World Conference on Research Integrity, 21-24 July 2010, in Singapore, as a global guide to the responsible conduct of research. It is not a regulatory document and does not represent the official policies of the countries and organizations that funded and/or participated in the Conference. For official policies, guidance, and regulations relating to research integrity, appropriate national bodies and organizations should be consulted. Available at: [www.singaporestatement.org](http://www.singaporestatement.org).*

## ANNEX N°2

### CURRICULAR EVALUATION CRITERIA BY STUDY GROUPS

Please follow this link <http://www.conicyt.cl/fondecyt/grupos=de=estudios/> (select Grupos de Estudio) for information on curricular evaluation criteria across FONDECYT's Study Groups. Select the name of the Study Group of interest from the menu on the left of the screen.