



Comisión Nacional de Investigación  
Científica y Tecnológica - CONICYT

## FONDECYT 2016 POSTDOCTORAL GRANTS GUIDELINES

The Superior Councils for Science and Technological Development (hereinafter the Councils) call for the 2016 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 competitions and projects are selected on the basis of their intrinsic quality and the merits of applicants without, distinction of fields, institutional affiliation or gender.
- 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, books printing, essays, translations, audiovisual material, educational textbooks or other analog activities.
- 1.3. The aim of this competition is to stimulate productivity and future scientific leadership of young researchers who hold a Doctorate degree (as specified under item 2.1.1 of these guidelines) with a view to their 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 of 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, if authorized by the Sponsoring Researcher, permission to conduct part of the research (up to 12 months) abroad.

- 1.6. The projects starting date is 1 November 2015. Thus, the first year of execution - 2016- covers the period 1 November 2015 through 31 October 2016.
- 1.7. The Councils shall establish the application and evaluation modalities including the conditions for approval or rejection of the submitted proposals, in accordance with the Regulations of D.F.L.No. 33 of 1982, of the Ministry of Public Education, that created FONDECYT.
- 1.8. The Councils have the authority to transfer proposals 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, will be ineligible for funding.

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

- 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 and/or project duration 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 its early termination.
- 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 it is funded, notwithstanding the prescriptions contained in Law No. 20.285 on Transparency of the Public Acts and Access to the Government Public Information, as it may apply.
- 1.11 The funds allocated to the Principal Investigator may be transferred to the Sponsoring Institution at his/her request, provided an agreement is subscribed between the parties prior to signing the official funding agreement. Should this be the case, the Sponsoring Institution will manage said funds and abide by terms stated in section 3.1.5 of these grants guidelines.

#### **1.12. RESEARCH INTEGRITY**

- 1.12.1. Veracity of the information: Both applicants and 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.

The applicant shall adhere to the Singapore Statement on Research Integrity as prescribed by Resolution No. 157 of 24 January 2013, as general framework for responsible research behavior, before submitting the proposal for institutional sponsorship. The full text of the Singapore Statement is available at [www.conicyt.cl/fondecyt](http://www.conicyt.cl/fondecyt).

- 1.12.2 Inappropriate behaviors, such as fabricating or falsifying data and the substantial copy of other people's or the researcher's own work 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 competition, 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 and 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 of general 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 duly 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 competition.

## **II. APPLICATION**

### **2.1. REQUIREMENTS**

- 2.1.1. Researchers who attained a Doctorate between **1 January 2012 and 1 November 2015, the starting date of the projects**, may apply to this competition. For female researchers who have given birth within that period the degree award period is from **1 January 2011**. 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 respective University's Director of Postgraduate Studies, certifying the date of approval of the thesis public defense. If the applicant has studied at a foreign institution, he/she must submit a certificate issued by the competent authority stating the date on which the Doctorate degree was awarded or he/she fulfilled all requirement to be awarded the degree.

Applicants unable to meet the above requirement by the closing date of the competition must submit the document by **1 November 2015**, in a manner indicated by FONDECYT.

- 2.1.2 Projects shall be submitted by an applicant and sponsored by a researcher and a Sponsoring Institution lawfully established in Chile.

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

- 2.1.3 The Sponsoring Researcher shall be responsible for the direct supervision of the academic execution of the project, support requests from the Principal Investigator such as: changes of project objectives, change of Sponsoring Institution, early project termination, among others. Additionally, authorize foreign trips by the Principal Investigator during normal working periods not to exceed 6 months each execution year. Request in writing, jointly with the Principal Investigator, authorization from the Councils if the duration of the stay abroad exceeds the 6 month period allowed under clauses VII and 1.5. of these guidelines.

Request to the Councils the early termination of a project under his/her sponsorship if in his/her judgment the Principal Investigator has not fulfilled the agreed execution commitments.

The Sponsoring Researcher 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 competition and/or Postdoctoral projects under execution.

- 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 declared as non-compliant with these guidelines should the Sponsoring Researcher provide 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. Unless FONDECYT requests it otherwise, all recommendation letters must be loaded into the system.
- 2.1.5 Submitted proposals may not contain, in essence, 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 a Sponsoring Researcher ongoing project, 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 proposal in English is **optional**, in all disciplinary areas or fields.

## 2.2. RESTRICTIONS

2.2.1. In cases of simultaneous applications as Principal Investigators to this competition as well as to the 2015 Initiation into Research and/or the 2016 Regular Funding competitions 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 competition.

2.2.2. Applicants who are not able to apply to this competition:

As Principal Investigators:

- a) Those who have had a FONDECYT Postdoctoral Grant in previous competitions. Principal Investigators of current or finalized Regular FONDECYT projects or FONDECYT Initiation into Research project.
- b) Those who have been awarded, accepted or are currently executing or have finalized the execution of a project under CONICYT's Concurso Nacional de Inserción de Capital Humano en la Academia.
- c) Those who are granted support of their return from abroad through CONICYT's Programa de Inserción y Atracción de Capital Humano Avanzado.

As Sponsoring Researchers:

- d) Those who have been Doctorate tutors of an applicant to this competition. However, a co-tutor may apply as Sponsoring Researcher.
- e) Principal Investigators of FONDECYT projects with pending approval of final academic reports who, by **31 July 2015**, are unable to submit the information requested to complete their evaluation. If such information were submitted, but is not approved, the application to this competition will be declared as non-compliant with its terms.
- f) Principal Investigators of FONDECYT projects with unapproved financial reports by 31 July 2015 from prior or 2013 Regular or Postdoctoral Competitions and prior or 2012 Initiation into Research competitions.

## 2.3. PROJECT

2.3.1. The application will be completed through the online platform available on FONDECYT's website at [www.conicyt.cl/fondecyt/](http://www.conicyt.cl/fondecyt/).

There are sections that must be entered or selected from the screen (e.g. general information on the proposal and requested funding) and other in which an unprotected/unencrypted PDF file must be uploaded.

The application must include the following information:

**Proposal identification:** Title, FONDECYT Council, Duration, Disciplinary fields, Application Sector and Application Regions, Keywords, Doctoral thesis information (title, advisor name, institution, program).

Institutions: identification of the national institution that sponsors the proposal and other contributors, if applicable.

**Project formulation:**

- Abstract: 1 page maximum
- Proposal formulation: 10 pages maximum
- Other information (Doctoral Thesis abstract and Sponsoring Researcher choice justification) 1 page maximum
- Sponsoring Researcher Statement: 1 page maximum

**Applicants are advised to maintain the headings of a section available form, use letter size, Verdana 10 font size and adhere to the pre-established number of pages.**

**Objects/subjects of study:** indicate whether the proposal includes participation/studies on/with human beings, animals, biological samples, archaeological sites, paleontological samples, protected species/wilderness areas, introduction of foreign species, and/or use of databases or archives.

**Funding requested:** Specification and justification of the funding levels requested for each year of execution in 1000 CLP\$.

**Sponsoring Researcher:** his/her identification data.

**Recommendation Letters:** two letters are required.

**Annexes:**

Upload certification of the Doctorate degree (see item 2.1.1. of these guidelines). If at the end of the application period the applicant does not have this document, he/she must upload an explanatory letter (PDF format). The online application system will not allow submission of request for institutional sponsorship if this section is empty.

**Certification of accepted and/or in press publications:** upload letters, e-mail messages or other documents from the journal/editorial board that certify the current status of the manuscript.

**Child/Children Birth Certificates,** if applicable.

**Other documents:** manuscripts under review as proof of prior work, if applicable.

**Conflicts of Interest:** declare whether the applicant has conflicts of interests towards persons who could eventually be designated as proposal reviewers. If applicable, up to 3 names may be informed.

**Curricular Information**

Both the applicant and Sponsoring Researcher must complete their personal and academic data as requested in section Curriculum to apply for research funding. Once the data are completed, up to a maximum of 10 publications and funded projects, if applicable, must be selected to be uploaded into the

application.

To select the publications to include, consider the criteria defined by each Study Group. These are available at CONICYT's website [www.conicyt.cl/fondecyt/grupos-de-estudios/](http://www.conicyt.cl/fondecyt/grupos-de-estudios/)

**The proposal will be declared as non-compliant if it does not contain essential data for its adequate evaluation. Thus, it is strongly recommended that applicants conduct a thorough review of the proposal PDF version, as this will be the official document that will enter the competition.**

### 2.3.2. **Certifications–Authorizations: Ethical/Bioethical, Biosafety, among others.**

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

Projects involving studies on/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) Archives and/or data bases containing sensitive information.

For the studies described above, applicants must attach specific certifications and/or authorizations to comply with as set forth in Annex 1 which is an integral part of these guidelines.

Only Principal Investigators whose proposals are funded must submit the **approved certifications/authorizations**. Once the competition is resolved successful applicants will be informed of the documents and/or certifications that must be submitted to FONDECYT in order to comply with the above norms. The submission deadline will be **29 December 2015**. Under exceptional and justified circumstances the Councils may grant a deadline extension.

If as a result of the revision by the respective entities a change of objectives, methodology or others emerge they shall be informed to FONDECYT for its evaluation and resolution. In the event that investigators either do not comply or do not submit the required approved certifications requested or the requested changes are not approved by the Councils, early termination of the project will be resolved.

Certifications review process

- a) Funded projects

These projects must submit the corresponding institutional certifications. Additionally, the FONDECYT Bioethics Advisory Committee will select a sample of these projects for revision. The results will be communicated to the Principal Investigator and Sponsoring Institution for their information and clarifications, if

applicable.

b) Projects under execution

The institutional Ethics and Bioethics Committees are in charge of following up, at least once during the project's execution, compliance with all the norms and protocols set forth for it, taking into account the report from FONDECYT's Ethics and Bioethics Advisory Committee, if appropriate.

In cases of serious faults to ethics/bioethics revealed during the follow up process, the Sponsoring Institution must undertake the necessary remedial actions and inform the FONDECYT Program. The final academic report approval will be subject to the submission of at least one follow up report from the institutional Ethics/Bioethics Committee, if applicable.

The Councils will ask the Ethics/Bioethics Advisory Committee, in cases deemed as necessary, a report on the ethical/bioethical aspects for projects recently approved or under execution. The Councils may also request independent reports on ethics/bioethics and biosafety issues, if applicable.

➤ **Modifications during the projects' execution.**

In the event that the Principal Investigator must modify the methodology and this change involves ethical/bioethical and/or biosafety aspects, the project shall be re-evaluated and the change approved by the Ethics/Bioethics Advisory Committee and/or the original institutional Ethics/Bioethics and/or Biosafety Committee and inform FONDECYT.

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

Proposals that include studies in the Antarctic Territory, and/or are interested in obtaining logistic support from the Chilean Antarctic Institute (INACH) to carry out activities in that territory, must present, if approved, the "Certificate of Compliance with Environmental Regulations" and a "Letter of Logistics Certification", both of which are issued by the Institute. To obtain them, applicants must send before **22 June 2015** to INACH, at [proyectos@inach.cl](mailto:proyectos@inach.cl) the official version of the proposal submitted to CONICYT along with the Field Support Form (available from FONDECYT's website at [www.conicyt.cl/fondecyt/](http://www.conicyt.cl/fondecyt/)). Under qualified circumstances INACH may grant an extension of such deadline.

Upon publication of the Competition results by FONDECYT, applicants whose proposals are funded, shall send to FONDECYT, as instructed, the feasibility letter in which INACH certifies that the project will count on logistic support from the Institute.

**Modifications:**

In the event that INACH requests changes involving, among others, project objectives, they must be informed to FONDECYT no later than **30 November 2015**, for the Councils evaluation and resolution. An extension of such deadline may be granted under exceptional circumstances.



INACH, in accordance with the Collaboration Agreement signed with CONICYT on March 22, 2007, commits itself to provide logistic support, including transportation costs between Punta Arenas – Antarctic Territory – Punta Arenas; travels within the Antarctic Territory, lodging in Chilean bases and camps, arrangements for eventual accommodation in foreign bases and camps and provision of room and board while 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 competition.

In the event that one or more proposals were declared as non-compliant with the guidelines, FONDECYT will notify the applicants 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 Organs.

### III. BENEFITS

#### 3.1. Expenses covered by FONDECYT:

**The maximum amount of funding that may be requested for a project is CLP \$24.264.000 (twenty four million two hundred thousand sixty four Chilean pesos) for each year of execution. This amount does not include Initial Expenses, which may be requested for the first year, the health benefit allowance that FONDECYT will assign to approved projects and Institutional Management Expenses, if appropriate.**

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

- 3.1.1. **Honoraria: CLP\$19.764.000 (nineteen million seven hundred and sixty four thousand Chilean pesos) per year**, which will be disbursed annually in one, or more installments, subject to CONICYT's budget availability. These funds must be declared with an invoice for professional fees ("Boleta de Honorarios"). For income tax purposes, the Principal Investigator must obtain approval from the Servicio de Impuestos Internos to initiate activities (Iniciación de Actividades).

The above 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 Competitions 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:** Funding may be requested for fares and per diem expenses 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 reference fares and per diems shown in the FONDECYT

2016 Postdoctoral Grants Competition Application Instructions.

**Domestic Travel:** funds field trips, presentation of results at scientific meetings and travel within the country.

**Foreign Travel:** funds, among others, research visits and attendance to scientific meetings to present research results. Only Economy fares are accepted.

Field trips-related expenses such as fuel, lubricants, highway tolls must be included, if appropriate, under the domestic or foreign budget items.

3.1.2.2. **Operational Expenses:** This item includes expenses such as: software, computational licenses, computing-related expenses at the user level (including, among others, Desktop computer, notebook, Tablet, printer), laboratory reagents and supplies, office and/or computational 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, cost of visa application for project-related travel and purchase of equipment (such as, among others, tape recorder, photographic cameras), purchase of clothing and/or shoes for field work, including project under the INACH-CONICYT agreement (information available at INACH website). 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 publication costs.

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

Payments for the mandatory health insurance for EU countries signatories of the Schengen Agreement<sup>1</sup> may be included in this item, fraud insurance, bank account and, if appropriate, associated credit card protection insurance, health insurance and personal accidents, insurance and medical examinations required, per the INACH-CONICYT agreement, to conduct research in the Antarctic territory, all of the above subject to provision in the "Instrucciones de Declaración de Gastos en Línea" document valid for the current execution year.

3.1.3. **Health Benefit:** FONDECYT will assign to Principal Investigators of projects approved under this competition CLP\$434,000 (four hundred thirty four thousand Chilean pesos) as an **annual health benefit**, that may be used to pay for monthly fees to FONASA, an ISAPRE (health insurance provider) or to supplement an ISAPRE health plan or, alternatively, to purchase an independent health insurance policy. This allocation may also be used to supplement a FONASA or ISAPRE health plan where the Principal Investigator is a dependent

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<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.

from another person. This amount is not subject to funds mobility. Unused monies 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 the Sponsoring or any other Institution and his/her honoraria were reduced because of the 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 Principal Investigators who, **at the time the call results are communicated** at CONICYT/FONDECYT's website, reside abroad. This item provides funding to settle in Chile (room and board and/or transportation, temporary or other authorized visa fees, and reciprocity charges) in order to start the project, and the **Principal Investigator airfare to Chile** if national public funds are unavailable for this purpose. Only Economy airfares are accepted.

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 funds mobility. Unused funds allocated for this purpose must be reimbursed.

- 3.1.5. **Institutional Management Expenses:** in the event Principal Investigators request that his/her Sponsoring Institution fully administers project resources, FONDECYT will allocate the Sponsoring Institution, subject to budget availability, 5% of the total cost of the projects. The joint request by the Principal Investigator and the Sponsoring Institution shall be formalized at the time of the funding agreement signature for the entire duration of the project and prior to the disbursement of funds. See item 6.2.2. of these guidelines.

The transfer of funds will occur after the resolution of the competition and will be calculated annually through a Resolution from the Presidency of CONICYT. These funds must be declared with a document from the recipient institution attesting to the receipt of said resources.

Under this modality, the transfer of resources to private institutions will proceed upon receipt by CONICYT's Departamento de Administración y Finanzas of an insurance policy payable on demand, a bank warranty for immediate payment or a bank's endorsable "vale vista" providing clauses regarding faithful use of the resources during the execution year and for 100% of the project allocation. Public institutions are exempt of the above obligation.

The validity of the above mentioned documents shall extend for at least 180 days beyond the execution year's end. In the case of last year of execution, the period must exceed 240 days. The warranty document submitted by the sponsoring institution may include more than one project provided they are clearly identified.

To receive the funds indicated above, the Sponsoring Institution must be registered in the "Registro de Colaboradores del Estado y Municipalidades". This is a mandatory requirement that CONICYT must comply with per the provisions of law No. 19.862 approved on 8 February 2003. Institutions that are not registered, shall send copy of the registration certificate to process the resolution that approves the funding agreement.

#### IV. EVALUATION AND SELECTION

- 4.1 Proposals in compliance with the requirements and conditions established in these guidelines will be evaluated by the FONDECYT Study Group to which they are assigned. If deemed pertinent the Group may request the opinion of external experts. Should the latter be the case, the opinion of external reviewers will be an input to the Study Group's evaluation. These projects will have one evaluation at the end of the process

The Principal Investigator productivity will be evaluated by the Study Group taking into account the 10 publications maximum (journal articles, books and/or book chapters), accepted, in press or published since 2010.

Female researchers who have given birth to a child/children in the period 2010-2015, may report their scientific productivity since 2008, provided the respective birth certificate(s) are included in the Annexes section.

For publications accepted and/or in press a certification to that effect must be uploaded. Alternatively a DOI (Digital Object Identifier) must be informed.

To select publications, researchers should examine the curriculum evaluation criteria defined by each Study Group, these are included in Annex No. 2 at the end of this documents. They are also available at CONICYT's website [www.conicyt.cl/fondecyt/grupos-de-estudios/](http://www.conicyt.cl/fondecyt/grupos-de-estudios/) (select Grupo de Estudio)

- 4.2 Factors and evaluation scale

The evaluation factors for the submitted proposals are as follows:

<b>Evaluation Factors</b>	<b>Weight</b>
Proposal Quality: Theoretical-conceptual foundations, hypothesis, objectives, scientific or technological novelty and potential impact	50%
Viability: Coherence, work plan/methodology/objectives Proposal feasibility Availability of resources and infrastructure Pertinence of Sponsor Researcher choice/letters of recommendation	30%
Productivity of the Principal Investigator (based on CV)	20%

The evaluation process will consist in completing an ad-hoc form assessing the above aspects using a scale ranging from 0 to 5 points. For the Productivity of the Principal Investigator the scale will range between 1 and 5. The scale considers one digit decimal fractions.

To assign a grade to each factor the evaluation scale categories are:

<b>0 to 0.9</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 to 1.9</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 to 2.9</b>	<b>Regular/Fair</b>	The proposal broadly meet/addresses the criterion aspects, but there are important deficiencies.
<b>3 to 3.9</b>	<b>Good</b>	The proposal meet/addresses the criterion aspects in a good manner, although some improvements are required.
<b>4 to 4.9</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>Outstanding</b>	The proposal successfully meet/addresses all criterion aspects. Any weaknesses are minor.

Based on the results of the evaluations and curricular evaluation of the Principal Investigator, proposals will be arranged in decreasing order according to their final scores.

## **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 which will be formalized through a Resolution by CONICYT. The results will be published on CONICYT's web page at [www.conicyt.cl/fondecyt](http://www.conicyt.cl/fondecyt).
- 5.2. All Principal Investigators will be notified of the competition results, both via certified mail to the postal mailing address in the application and via e-mail to the electronic addresses indicated in the application.
- 5.3. The Councils ruling may include a waiting list, which will become effective if a 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 FONDECYT's Superior Councils notification date, to accept the award in writing starting **1 November 2015**. 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, 2015**.
- 5.4. Pursuant to the ruling resolution, any interested Principal Investigator may submit an appeal to CONICYT's decision under the provisions of Law No. 19.880 that sets forth the Principles and Administrative Procedures that regulate the acts of the State Administration Organs, provided the requirements and time windows are fulfilled.

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 be valid from **1 November 2015**. Signatures through an authorization letter or mandate will not be 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 2015**. Past said date the funding allocation shall become void. Under qualified circumstances FONDECYT may authorize postponement of the funding agreement signature date. **However, such action does not modify the starting date of the project.**
- 6.1.3. Foreign Researchers who are awarded funds through a FONDECYT project must certify residence in Chile via a permanent resident or temporary visa or document certifying submission of a permanent residence application with employment authorization at the project's starting date. Holders of temporary visa must provide both a copy of the unexpired visa and Chilean National Identity Card. Holders of current Permanent residence status must show copy of the latter. A current student visa with employment authorization is also acceptable. Copy of the official documentation and unexpired Chilean National Identity card must be provided.
- 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 were hired in a full-time position at 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 Sponsoring Institution. At the same time, the honoraria assigned to the researcher will be reduced to the amount established for a Principal Investigator of a Regular project of the same competition year from his/her hiring date through the end of the project or for as long as he/she remains in that condition.

The Principal Investigator may present a duly justified request so that the balance of the reduced honoraria be transferred to travel and/or operational expenses, as long as the allocated amount does not exceed the maximum established in these guidelines (CLP\$4,500,000). The above, notwithstanding item 3.1.3 of these guidelines.

Notwithstanding the above, for all other purposes, the project will continue as a Postdoctoral project without full-time commitment.

- 6.1.6. The Sponsoring Institution shall 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 Concurso Nacional de Inserción de Capital Humano Avanzado en la Academia (National Competition for Placement of Advanced Human Capital in Academia) must choose one of the two grants. If the Placement Grant were awarded past the commencement of the Postdoctoral project and the Principal Investigator accepts the offer, he/she must request early termination of the Postdoctoral grant.
- 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 allocated for the following years of execution are regarded as a proposed research to be carried out and resources to be used that does not oblige the Councils to renew funding. Therefore, the allocation of resources is subject to:
- Approval of the academic reports, when applicable, pursuant to the current instructions for submission of such for the execution year.
  - Expenses Report without balances to be reimbursed or approved committed expenses ("Gastos Comprometidos") and/or results of an audit process not informed to the Principal Investigator.
  - Delivery to CONICYT's Departamento de Administración y Finanzas of all original documents supporting project 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.
  - Submission of the warranty document, if applicable, per the terms in item 3.1.15 of these guidelines.
  - 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 requested 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. This condition will enable disbursement of funds for the following execution year or to initiate a new project.
- 6.1.12 The Councils have the authority to request total or partial restitution of disbursed 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 and corresponding warranty on CONICYT's benefit as a means to recover the funding transferred in case of failure to fulfill his/her obligations. This document must be issued in a format established by CONICYT.

6.1.14. The Councils delegate on the FONDECYT Program actions related to projects' control and follow up.

## 6.2. ALLOCATION OF RESOURCES

6.2.1. Resources allocated to a project approved under this call, for the first year of execution will be transferred once CONICYT's administrative ruling approving the funding agreement and, if applicable, the resolution authorizing the disbursement of funds to the Sponsoring Institution per the provisions in clause 3.1.5 of these guidelines, are processed in full and provided that the Principal Investigator has no prior commitments or pending situations with CONICYT. **If by 30 March 2016 he/she maintains any unresolved situation with CONICYT, the allocation could be declared null and void.**

In the event that funds were disbursed while ethical/bioethical or other certifications are being received and/or review and, if they were not approved, the Councils have the authority to declare early termination of the project with restitution of the funds involved, if applicable.

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 disbursed for every approved year of execution via electronic transfer. To these effects, Principal Investigators must hold a bank checking account for the **project's exclusive use**. Alternatively, they may request that funds be disbursed to the Sponsoring Institution as provided in section 3.1.5 of these guidelines.

6.2.3. Project-related expenses may be charged **only from 1 November 2015**, except for the Initial Expenses funds which **may be charged from grant's award date** (date in which the ruling will be available on CONICYT's website [www.conicyt.cl/fondecyt/](http://www.conicyt.cl/fondecyt/)). Resources will be transferred under the following modality:

a) **Honoraria:** These funds will be transferred, in one or more installments, are declared through an honoraria invoice ("boleta de honorarios") as established in the "Instructivo de Declaración de Gastos". Payment of Income tax is the Principal Investigator's sole responsibility.

b) **Travels and Operational Expenses:** These funds will be transferred each year of execution either in partial or full payments, according to CONICYT/FONDECYT budgetary availability, 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, if applicable, will be transferred subject to CONICYT's budgetary availability. Unused funds under this item must be



reimbursed to CONICYT.

- e) **Institutional Management Expenses:** these will be transferred subject to budgetary availability and under the provisions of the funding agreement.

The distribution of the funds assigned may be modified by the Principal Investigator during the project' execution based on its needs without exceeding the annual allocation. In the case of honoraria, these may not exceed the maximum established in these guidelines.

- 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 and request total or partial reimbursement of monies already disbursed, when applicable, per the provisions of the funding agreement.

## VII. PERMANENCE 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 as established under section 1.5 of these guidelines. Absences for less than 6 months must be informed to the Sponsoring Researcher. **However, Principal Researchers must comply with the deadlines established for submission of technical reports, when applicable, statements of expenses and submission of original expenses documents, on the dates established in the current "Instructivos de Declaración" document.**

## VIII. OBLIGATIONS

### PRESENTATION OF ACADEMIC AND FINANCIAL REPORTS

- 8.1. The Principal Investigator shall comply in a timely manner with the dates and presentation instructions regarding academic and financial reports. Instructions to those effects will be available at FONDECYT's website.

- 8.1.1. **Academic Reports:** these shall be submitted by the Principal Investigator via the Sistema de Informes Académicos (SIAL) on the following dates:

<b>Duration</b>	<b>Report Type</b>	<b>Due date</b>
Two-year projects	Final Report	31 October 2017
Three-year projects	Final Report	31 October 2018

Any change on reports submission dates will be informed to the Principal Investigators in a timely manner.

The academic reports of projects with logistic support from the Instituto Antártico Chileno, INACH, may be forwarded to the Instituto at their request.

The Sponsoring Researcher must upload a detailed evaluation of the job performed by the postdoctoral researcher.

**No postponement of the deadline for submission of academic reports will be accepted, except for persons identified herein. Under qualified circumstances, preventing the timely submission of reports,** FONDECYT may authorize a Principal Investigator to submit the report at a later date (up to 15 working days or more on a case by case basis). If the Principal Investigator would not submit his/her report, the Councils have the authority to request reimbursement of the unused, undeclared or observed expenses.

Female Principal Investigators who make use of pre-maternity leave, post-maternity leave, and/or post-natal parental leave may request an extension of the project's ending date maintaining the amount of the monthly subsidy and health benefit for the approved period, provided she maintains full dedication to the project, otherwise she may only benefit from the approved additional period.

The ending date of the project may be postponed at the request of mothers/fathers who request medical leave due to illness of a child less than one year old. The duration of the project will be extended for the authorized period.

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 so indicate in the request.

#### **8.1.2 Financial Reports.**

For expenses reports purposes, documents under the Sponsoring Institution name or the Principal Investigator will be accepted.

CONICYT, through its Departamento de Administración y Finanzas (DAF), is the entity responsible for the control and verification of the funds disbursed, with respect to amounts and declaration modalities.

All funds allocated to the project shall be declared, by 31 October, each execution year, over the Sistema de Declaración de Gastos (SDGL) that is, at the end of each year of execution, with the exceptions indicated in section 8.1.1.

Upon completion of the financial report over SDGL, investigators shall send a folder containing all original expenses documents to CONICYT's Departamento de Administración y Finanzas.

A sample of projects will be selected from the above universe to be audited. Their financial documents will be returned to the Principal Investigator once the audit is approved. If a project is not selected for the audit, the financial statement will be accepted. He/She will be informed via e-mail and the folder will be returned.

An unapproved audit report will prevent further disbursement of funds in the subsequent execution year either for the continuation of the project or to start a new one.

CONICYT has the authority to suspend further disbursement of funds in cases where the expenses statement is inadequate to justify the amount of funds transferred and expended.

The Principal Investigator commits to maintain under his/her custody all documents

supporting project expenses and respond promptly to requests from CONICYT or Contraloría General de la República (Office of the General Comptroller) in order to proceed with a documents revision, at any time during the project execution period, and for five years after the Councils declare the project's official conclusion.

As for the financial report of the project, in the event that a document is used to support the same expense 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

- 8.2. It is strictly forbidden to invest the funds transferred for the execution of the project in financial instruments, be they 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 concluded when the final academic report has been approved to the Councils satisfaction and the statements of expenses have been accepted or approved by DAF-CONICYT. Committed Expenses ("Gastos Comprometidos" are authorized to facilitate adequate conclusion of a project. This condition will allow continuation of the project, however, in all cases the project will be formally closed when all funds transferred are fully declared and unused funds or rejected expenses, if they exists, are reimbursed.
- 9.2. The final academic report must contain results that are pertinent to the objectives and thematic scope of the project or changes that may have arisen in the course of the research. 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. Presentation of a report that accounts for the research conducted.
- 9.2.2. Presentation of at least one Institutional Ethics and/or Bioethics Committee audit report prepared by the during the execution of the project and that, according to the provisions in section 2.3.2., certifies compliance with the norms and protocols established for the project and, if applicable, considering the report of FONDECYT's Ethics/Bioethics Advisory Committee.
- 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 or other 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, such as articles, books, book chapters, licenses, or scientific meetings presentations, among others, must acknowledge

support from CONICYT/FONDECYT and INACH, 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, CONICYT 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 be exceptionally terminated earlier than its approved duration, having heard the Principal Investigator, Sponsoring Researcher and/or Sponsoring Institution due to 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 approved, 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. Principal Investigators may request change of Sponsorship Institution as provided under item 6.1.7 of these guidelines.
  - 9.3.4. Loss of the role as Sponsoring Institution, were this because of the institution or the Principal Investigator responsibility. In this case, the Councils may establish a period for the investigator to confirm sponsorship from another institution, a proposition which will be evaluated. If 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' attention.
  - 9.3.6. Upon request of the Principal Investigator, the Sponsoring Researcher and/or Sponsoring Institution.
  - 9.3.7. By the Councils' decision on grounds that the resources allocated to the Principal Investigator were not used for the intended 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 conditions necessary to fulfill to resolve the project termination and may request full or partial reimbursement of the allocated funds as provided in the funding agreement.

## **X. SUBMISSION OF PROPOSALS**

- 10.1. The call for proposals will open on **16 April 2015** and will be published in a national circulation newspaper.

- 10.2. The guidelines and instructions will be available from the opening date of the call at [www.conicyt.cl/fondecyt/](http://www.conicyt.cl/fondecyt/) or at the FONDECYT Program, Director's Office: Moneda 1375, Santiago.
- 10.3. The application and uploading of letters of recommendation shall be completed through the **online platform** at CONICYT's website. In order to apply, the researcher must obtain two recommendation letters before submitting his/her proposal to the Sponsoring Institution.
- 10.4. Applicants must send a request for institutional sponsorship **until 26 May 2015, 4:00 PM**, Chilean Continental Time (including the reception of 2 recommendation letters)
- 10.5. **Closing date for Institutional Sponsorship** over the online system until **02 June 2015, 4:00 PM**, Chilean Continental Time.

Applicants facing difficulties in their submissions for Institutional Sponsorship may send a request to OIRS (Office of Information and Complaints) at [www.conicyt.cl/oirs](http://www.conicyt.cl/oirs) no later than 3 working days from the date indicated in item 10.4 above. FONDECYT will open the online Applications System for a specified time period. The same procedure will apply to Sponsoring Institutions that cannot finalize the process in a timely manner.

During the institutional review of applications, the Sponsoring Institution may request from the applicant, through the system, clarifications or modifications to the proposal deemed as appropriate. Also, the applicant might request the Sponsoring Institution that his/her proposal be modified or changed during this process. To do so, the applicant must contact the Institutional Representative identified in the application ("Institution" Section).

As a result of its review, the Sponsoring Institution may grant or decline a proposal sponsorship. In the latter case, the project will not participate in the competition, given that FONDECYT requires applications to be sponsored by a national institution.

Once the institution sponsors the proposal, the official version of the application will be available on the Application System for printing and saving.

**The applicant is not required to submit an official hard-copy version of the proposal to FONDECYT.**

- 10.6. Once the call for proposals period is closed –closing date for institutional sponsorship– and it 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.

The above restriction excludes certificates and/or authorizations expressly specified in these guidelines

- 10.7. For additional information/questions, Please go to: [www.conicyt.cl/oirs](http://www.conicyt.cl/oirs)