



## DISCLAIMER

The English version is a translation of FONDECYT's original Guidelines in Spanish. This document is for Information purposes only, therefore, in case of a discrepancy, the Spanish original will prevail.

Translation: Dirección de Investigación UC

## FONDECYT 2020 POSTDOCTORAL GRANTS GUIDELINES

The Superior Councils for Science and Technological Development (hereinafter the Councils) call for the 2020 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 fulltime commitment to the research work. However, its execution is compatible with other paid academic, research and/or outreach activities up to **6 hours** per week in



the Sponsoring Institution or another Institution, which should be informed to the Sponsoring Researcher, except the situations specified under item 6.1.5.

The execution of an awarded project is incompatible with the simultaneous execution of another project or work commitment by the Principal Investigator, with the exception set forth in the previous paragraph.

- 1.5. If the Principal Investigator is awarded a project in this competition and is also granted resources through another CONICYT instrument for Postdoctoral at the beginning or during the FONDECYT project execution, he or she shall choose and inform all the Programs involved.
- 1.6. The projects starting date is April 15<sup>th</sup> 2020. Thus, the first year of execution - 2020- covers the period April 15<sup>th</sup> 2020 through April 14<sup>th</sup> 2021.

## **1.7. RESEARCH INTEGRITY**

- 1.7.1. 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).

- 1.7.2. 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

The Application shall be filled by natural persons, in accordance with the items 5° and 8° of D.F.L N°33/81 of the Ministry of Education.

The projects to be evaluated by the Superior Council for Science shall be sponsored by universities, professional institutes, public or private institutions of the country.

The projects to be evaluated by the Superior Council for Technological Development shall be sponsored by universities, professional institutes or private legal entity.

### 2.1. REQUIREMENTS

2.1.1 Researchers who attained a Doctorate between **January 1<sup>st</sup> 2016 and October 1<sup>st</sup> 2019, before the time the Institutional Sponsorship ends** may apply to this competition. The date to consider is on which all the requirements to obtain a Doctorate degree are met.

For female researchers who have had given birth between **January 1<sup>st</sup> 2016 and the date the Institutional Sponsorship ends**, the degree award period is from **January 1<sup>st</sup> 2015**. In case the researchers certify the birth of more than one child from 2016, a year for each child is awarded. To access this benefit, **it is mandatory** to attach the birth certificate of the child (children) to the application. Likewise, investigators who, during the same period, were given the tuition or the personal care of a child as a protective measure or as stipulated in the items 19 or 24 of the Law N° 19.620, about adoption. **To access this benefit, it is mandatory** to attach an authorized copy of the tribunal resolution that granted the tuition or personal care of the child.

The Principal Investigator must attach a copy of his/her Doctorate Degree to the application. If not available, a document that can prove the possession of this



degree or a certificate issued by the respective University's Postgraduate Office or any competent authority, certifying that all the requirements to obtain such degree were met. **In the case of attaching the certificate, the document must be issued as of January 2017 and be valid during the closing date of institutional sponsorship.**

**If such documents are extended in a language different than English or Spanish, a simple translation to either of those languages shall be included in the application.**

2.1.2. Projects shall be submitted by an applicant, who is also the author of the application and will be the Principal Investigator of this project. The application shall be sponsored by a Sponsoring Researcher and Institution lawfully established in Chile. This Institution commits to provide the conditions, infrastructure and equipment necessary throughout the period of the proposal execution, undertake the commitments stated in these guidelines, just as the rights and obligations stipulated in the respective Financial Application.

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 directly related to its execution such as: changes of project objectives, change of Sponsoring Institution, early project termination, among others. Additionally, he/she shall 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**, which must be registered on the Academic Hierarchies Section of the Curriculum for Research Funds. If not, the application will be declared as non-compliant with the guidelines of the competition. It will be understood that the Sponsoring Institution certifies the information given by the Sponsoring Researcher by accepting the Sponsorship to the proposal.

A Sponsoring Researcher may sponsor more than one proposal in this competition and/or Postdoctoral projects under execution.

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

2.1.5. 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.



2.1.6. Submission of proposal in English is **optional**, in all disciplinary areas or fields.

## 2.2. RESTRICTIONS

In cases of simultaneous applications as Principal Investigators to this competition as well as to the 2019 Initiation into Research and/or the 2020 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.

### 2.2.1. **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 FONDECYT **Regular** 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 currently executing or have finalized a project of Support of Researchers' Return from Abroad through CONICYT's *Programa de Inserción y Atracción de Capital Humano Avanzado*.

d) Those who are or have been beneficiaries of a project under CONICYT's *Concurso de Subvención a la Instalación en la Academia*.

e) Those who are or have been beneficiaries of *Concurso Nacional de Inserción de Capital Humano Avanzado en el Sector Productivo*.

### 2.2.2. **Applicants who are not able to apply to this competition as Sponsoring Researcher:**

a) Those who have been Doctorate tutors or co-tutor of the applicant to this competition.

b) Those who as Principal Investigators of FONDECYT projects have final academic reports pending of approval and who by the closing date of Institutional Sponsorship, have not submitted the information requested for the approval. If such was the case, the application to this competition will be declared as non-compliant with its terms.

## 2.3. PROJECT

2.3.1. The application must be sent 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 (those who select the Council for Technological Development shall incorporate the percentage of funding solicited in relation to the total cost of the proposal), Duration, Disciplinary fields (state when the project is interdisciplinary), Application Sector and Application Regions, Keywords, Doctoral thesis information (title, advisor name, institution, program), amongst others.

**-Notification:** The Principal Investigator may select the preferred option to receive information related to their project.

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

**-Importance or relevance assigned to the project.**

**-Project formulation:**

- Abstract: 1 page maximum
- Proposal formulation: 10 pages maximum

**-Bibliographic references:** complete references, 5 pages maximum.

**-Academic and research summary of the applicant:** 2 pages maximum.

-Other records (Doctoral thesis summary and reasons for the Sponsoring Researcher election): 1 page maximum.

-Sponsoring Researcher Statement: 1 page maximum.

**Applicants are advised to maintain the headings of available files on each section, use letter format page, Verdana font or similar, size 10, and adhere to the pre-established number of pages.**

**-Objects/subjects of studies:** state and justify if the application considers, or not, working with human beings, animals, biological material, biosafety, archeological sites, paleontological material, protected species or wildlife areas, introduction of foreign species, archives or data bases.

**-Funding requested:** specification and justification of the funding levels requested for each year of execution written in thousands of pesos (M\$).



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-Available funds: specify the resources and means the Sponsoring Institution undertakes for the adequate development of the Research, which will be at the Principal Investigator disposition during the project's execution.

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

**-Annexes:**

Upload certification of the Doctorate degree (see item 2.1.1 of these guidelines).  
**The online application system will not allow the submission for institutional sponsorship of this request if this section is empty.**

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

Child/children birth certificates, if applicable.

Conflicts of interest: declare whether the applicant has conflicts of interest 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 on the **Curriculum Section for Research Funding**. Once the data completed, up to a maximum of 10 publications and funded projects, if applicable, must be selected to be uploaded into the application.

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 document generated online, which contains the draft proposal 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 in the biomedical research area in human beings must also comply with the established norms and rules of Law N°20.120.



Only those with awarded proposals must submit the approved certifications/authorizations. Each Principal Investigator whose proposals are funded must submit documents/certifications to FONDECYT by **May 30<sup>th</sup> 2020**. Under exceptional and justified circumstances the Councils may grant a deadline extension.

If as a result of the revision by the respective entities minor changes, without modifying these guidelines or agreement, 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.

**Applicants must attach specific certifications or authorizations to comply with as set forth in Annex 1 which is an integral part of these guidelines to studies involving:**

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

**Certifications reviewing process**

**a) Approved projects**

These projects must submit the corresponding institutional certifications.

For human being biomedical area projects cases they must contain with certifications from a Scientific Ethical Committee accredited according the stipulated in Law N°20.120 and its rules. Projects with human beings in different non biomedical areas shall present certifications from a Scientific Ethical Committee, not necessarily certified.

Additionally, the FONDECYT Bioethics Advisory Committee, or whomever act as such, will select a sample of these projects for revision. The results will be communicated to the Principal Investigator, Sponsoring Institution and Scientific Ethical Committee or respective Committee for their information and clarifications, if applicable.

Projects involving the use of animals shall count with certifications from a Scientific Ethical Committee or Animal Care additionally to the written authorization from





the respective authorities from the research site where studies experiments are held.

### **b) Projects under execution**

The Scientific Ethical Committees that have issued a favorable report to the projects, are in charge of following up during the execution of the project and prepare a report in the last year, stating all the norms and protocols were followed during the investigation execution period, considering the Bioethics Advisory Committee report, if applicable.

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

#### ➤ **Modifications**

In the event of modifications of the methodology involving ethical, bioethical or biosafety aspects, the project shall be re-evaluated and the change approved by the pertinent Scientific Ethics Committee or Biosafety Committee, if applicable and inform FONDECYT.

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

Proposals that include the development of studies associated to the Antarctic Territory in the current competition, shall send to INACH an e-mail to [proyectos@inach.cl](mailto:proyectos@inach.cl), the PDF file of the proposal containing the abstract, the scientific formulation, references and annexed documents supporting on field compliance of the scientific objectives of the project. This last item in case the projects require traveling to Antarctic. These documents shall contain the version to be incorporated to the application platform.

To issue a letter of logistic feasibility, projects that require INACH support to the development of activities in the Antarctic Territory, in accordance with the Collaboration Agreement signed with CONICYT on March 22<sup>nd</sup>, 2007, shall also attach the Field Support Form (Fore-Lo), available at [www.conicyt.cl/fondecyt](http://www.conicyt.cl/fondecyt).

A proof of reception form for all the documents stated previously, issued by INACH, shall be attached to the application **as late as Institutional Sponsorship closing date. Consider INACH requires 2 workdays to emit said form.**

The logistical support provided by INACH consists in:

- 1) Transportation of working and loading equipment between Punta Arenas – Antarctic – Punta Arenas.
- 2) Transportation between working locations in the Antarctic Peninsula region.



- 3) Lodging and food in the field.
- 4) Lending of clothes (thermic, waterproof jacket and pants, hat and gloves).
- 5) Use of scientific equipment of their laboratories and boats.

In addition, INACH issues permits to enter Specially Protected Antarctic Zones and samples recollection of Antarctic organisms.

The particular requirements of each project shall be reflected in the presented Fore-Lo. They shall be analyzed and observed in function of their logistic validity, according to the capacities the National Program of Antarctic Science (PROCIEN, by its Spanish acronym) to the development of activities in the Antarctic Peninsula (see logistic platforms in the section "Expeditions & Logistic", available at [www.inach.cl](http://www.inach.cl)).

INACH shall issue to the Principal Investigator and FONDECYT the "Certificate of Compliance with Environmental Regulations" and a "Letter of Logistics Certification", formalizing the logistical support. If the proposal is selected, the Principal Investigator shall send said documentation as late as May 30<sup>th</sup> 2020 to the Coordinator of FONDECYT Projects of the correspondent area, certifying the project will count on logistic support from the Institute. Under qualified circumstances, an extension of such deadline may be granted.

#### **Modifications:**

In the event that INACH requests changes not involving the modification of the agreement nor these guidelines, but involving project objectives, they must be informed to FONDECYT no later than **May 30<sup>th</sup> 2020** for the evaluation and resolution. An extension of such deadline may be granted under exceptional circumstances.

### **III. BENEFITS**

#### 3.1. Expenses covered by FONDECYT:

The maximum amount of funding that may be requested for a project is CLP **\$26.640.000 (twenty six million six hundred forty thousand Chilean pesos)** for each year of execution. This amount does not include Initial Expenses, which may be requested for the first year nor the health benefit allowance that FONDECYT will assign to approved projects.

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

##### 3.1.1. **Expenses for Personnel:**



**The Principal Investigator shall receive \$22.140.000 (twenty-two million one hundred forty 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 of 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 Principal Investigator(s) shall quote in the social security regimen, according with the stipulations of Law N°21.133, dated February 2<sup>nd</sup> 2019, which modified norms for the incorporation of independent workers to the regimens of social security.

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, operational expenses and capital assets: CLP\$4.500.000 (four million five hundred thousand Chilean pesos) per year of execution.**

**3.1.2.1. Travels:** Funding may be requested for fares and per diem expenses for domestic and/or foreign travel. Those will be funded only for the Principal Investigator and for activities directly related to execution of the project and presentation of its results. The applicant may use the reference fares per diems used by FONDECYT at [www.conicyt.cl/fondecyt](http://www.conicyt.cl/fondecyt).

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

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

Field trip expenses such as fuel, lubricants and highway tolls must be included under domestic ticket budget.

**3.1.2.2. Operational Expenses:** This item includes expenses such as: software, computational licenses; office supplies; laboratory reagents and supplies; purchase of books, magazines, subscriptions, scientific societies membership fees, registration fees to congresses; purchase of services, vehicle rental, payment of freight charges, payment for occasional staff, if applicable; purchase of clothing and/or shoes for field work, including projects under the INACH agreements (Antarctic projects); cost for visa application for project related travel, among others.



Funding may only be requested for scientific publications generated by the project and in journals included in the Web of Science (former 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 cost.

Payments for the mandatory health insurance for EU countries signatories of the Schengen Agreement are included in this item, fraud insurance, bank account and, if appropriate, associated credit card insurance, health insurance and medical exams required, per the INACH agreement to conduct research in the Antarctic territory and other necessary insurances to the development of projects (travels, personal accidents, related to the handling of dangerous laboratory materials, boat transportation or related to field trips).

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. It should be informed to the Sponsoring Institution for inventory and given at the end of the project.

Maintenance payment, which is not included in the insurance policies, for the equipment purchased during the execution of the project may be included.

**3.1.2.3. Capital Assets (equipment):** Expenses for equipment purchase and its associated costs for the execution of the project.

Acquisition of domestic or foreign equipment (Capital Assets), and its accessories and instruments required for the execution of the project. The solicited amount shall include the transport costs, freight costs, insurance and customs clearance, taxes of the equipment. Included in this item: tablet, printer, notebook, computer, among others.

Maintenance payment, which is not included in the insurance policies, for the equipment purchased during the execution of the project may be included.

**3.1.3. Health Benefit:** according with the stipulations of Law N°21.133, dated February 2<sup>nd</sup> 2019, which modified norms for the incorporation of independent workers to the regimens of social security, \$488.000 (four hundred and eighty-eight thousand Chilean pesos) will be assigned to the item "Staff expenses" per year, non-adjustable, to cover social insurance contributions. This amount is not subject to funds mobility. Unused monies must be reimbursed. 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.

The initial expenses **start at the date of the contest is awarded** (date will be available at [www.conicyt.cl/fondecyt](http://www.conicyt.cl/fondecyt)).

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

Proposals will be evaluated by the respective Council according to the scientific or technological character qualification assigned by the authors. However, said qualification could be deemed correct, incorrect or joint.

A project deemed incorrect by a Council will be remitted to the other Council and if this is also deemed incorrect, said project will be deemed joint qualification.

A joint project is one without clear and unquestionable scientific or technological character or a project with both character.

Any doubts or difficulties that might be encountered to establish the scientific or technological character of a project or the competence area of each Council, shall be resolved between them and, if not possible, they shall be resolved for a Committee where Presidents from both Councils will be members and a member of either Council, designated annually by draw, who will decide in conscience. Said Committee will be presided by the President of the Superior Council of Science.

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 Groups will be formed for at least five national or international researchers of renowned trajectory in all areas of knowledge and will develop their job as Council's advisors.



The Group's quorum will be half plus one, and to make any evaluation decisions it shall require the vote of at least half plus one of all the assistants to the corresponding session.

The evaluations performed by the Group Studies constitute an input for the decision the respective Council will make and will be materialized in at least one minute signed by its members.

The evaluation process will consist in completing an evaluation form, assessing the aspects indicated in the chart below, in point 4.2., using a scale ranging from 0 to 5 points, considering one -digit decimal fraction. The final score of each project considers three -digit decimal fraction.

The Principal Investigator productivity will be evaluated taking into account a summary of the academic trajectory and the research of the applicant, along with the 10 publications maximum informed in the application (journal articles, books and/or book chapters) accepted, in press or published since 2014.

The summary shall include a description of the trajectory emphasizing up to 5 products deemed relevant for the proposal, among which could be considered some publications informed in the application or other projects, training courses, patents, scientific diffusion, technological transfer, congress participation, awards or distinctions, training of human capital or others deemed pertinent which shall be described in the presentation and backed in the annex section in the application system. Those without back up or corresponding means of verification, will not be considered for the evaluation of trajectory.

Female researchers who have given birth to a child in the period 2014-2019, may report their scientific productivity since 2012. Researchers who gave birth to more than one children since 2014, can add one year of productivity for each child. To access the benefit, a birth certificate for each child shall be added to the application in the Annexes Section. In addition, researchers who were awarded the tuition or personal care as a protective measure as stipulated in articles 19 and 24 of Law N°19.620, about adoption. **To access the benefit, an authorized copy of the court resolution granting the tuition or personal care shall be added to the application.**

All the publications informed in the application should be easily verifiable or contain enough detail so is easily located.

#### 4.2. Factors and evaluation scale

The evaluation factors for the submitted proposals are as follows:



Proposal Quality	<p>Potential impact and scientific or technological novelty of the proposal.</p> <p>Theoretical-conceptual fundamentals and art state.</p> <p>Quality and coherence of questions or hypothesis and objectives.</p> <p>Relevancy and validity of methodology and its coherence with the objectives and hypothesis or questions of the research.</p>	50%
Proposal Viability	<p>Coherence with work plan and proposal</p> <p>Infrastructure and resources (existing or requested).</p> <p>Qualifications/connections/pertinence of Sponsor Researcher.</p> <p>Percentage of solicited funds in relation with the total cost of the project(*).</p>	30%
Academic trajectory and research of the applicant	<p>Consistency and coherence of the academic trajectory with the research proposal.</p> <p>Abilities and knowledge in the line of research.</p> <p>Leadership and autonomy in research</p>	20%

(\* ) This criterion only applies to projects evaluated by the Council of Technological Development.

The following scale ranging from 0 to 5 considering one-digit decimal fraction, to assign a grade to each factor:



5	Excellent	The proposal successfully meet/addresses all criterion aspects. Any weaknesses are minor.
4 to 4.9	Very good	The proposal meet/addresses the criterion aspects in a very good manner, although some improvements are still possible.
3 to 3.9	Good	The proposal meet/addresses the criterion aspects in a good manner, although some improvements are required.
2 to 2.9	Regular	The proposal broadly meet/addresses the criterion aspects, but there are important deficiencies.
1 to 1.9	Poor	The proposal does not meet/address in an adequate manner the criterion aspects or there are serious inherent deficiencies.
0 to 0.9	Not qualify	The proposal does not meet/address the criterion under analysis or cannot be evaluated due to missing or incomplete information.

Based on the results of the evaluations, 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 via certified mail to the postal mailing address in the application or via e-mail to the electronic addresses indicated in the application, if authorization to do so was given. It is through e-mail that all notifications about the contest will be given. A notification shall indicate results are available in FONDECYT's evaluation website, specifying the location of the project and its Study Group, qualifications and commentaries of the evaluation. Additionally, for approved projects, will indicate the assigned budget and a report detailing the certifications or authorizations that shall be presented, if applicable.
- 5.3 Principal Investigators with an approved project, will have 5 (five) working days, from the notification date to accept or reject the award through the online system or e-mail to the Project Coordinator. If the awardee does not respond within the stated period, he/she forfeits his/her right to the funding.





- 5.4. The ruling may include a waiting list per Study Group, which will become effective if a Principal Investigator declines the award, does not explicitly accept to execute the project, does not meet the requirements or budget availability, according to the regulations issued in accordance with the respective budget glossary. Those Group Studies without a waiting list or fully awarded and an Awardee does not accept its execution or lose the rights to execution, the quota will be awarded to the project with the highest score on the waiting list, regardless the Study Group. Principal Investigators who become awardees through this waiting list will have 5 working days, from FONDECYT's Superior Councils notification date, **to accept the award in writing starting April 15<sup>th</sup> 2020**. If the awardee does not respond within the stated period, he/she forfeits his/her right to the funding and the list will be reactivated. The waiting list will be valid through April 15<sup>th</sup> 2020, except those who are awarded through the reactivation of the waiting list.
- 5.5. 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 and shall be sent through *Ayuda CONICYT*.

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

### 6.1 FUNDING AGREEMENT

- 6.1.1. Funding agreements will be signed between CONICYT, the Principal Investigator, the Sponsoring Researcher and the Sponsoring Institution. Projects will be valid from **April 15<sup>th</sup> 2020**. **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 June 30<sup>th</sup> 2020. 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 nor the funds rendition date. In all, the signature of the funding agreement shall be verified during the year 2020, with the exception of the stipulated in point 6.2.1, letter f).



- 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. A current student visa with employment authorization is also acceptable. 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. Copy of the official documentation and unexpired Chilean National Identity card must be provided. The agreement proceedings and allocation of funds in the first year of the project execution, will be subject to the presence of the aforementioned documents.
- 6.1.4. Awardees commit themselves to exclusive dedication to the Postdoctoral project at the Sponsoring Institution.
- 6.1.5. If the Principal Investigator were hired in a full-time or part-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. In case he/she was hired full-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. For those hired part-time, the honoraria will be reduced to half of the amount received monthly in their Postdoctoral project, from his/her hiring date through the end of the project or for as long as he/she remains in that condition. Health insurance benefit will cease in both cases.

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 3.1.2 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 Subvención a la Instalación en la Academia* or *Concurso Nacional de Inserción de Capital Humano Avanzado en el Sector Productivo*, 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. Changes of Sponsoring Institution shall be requested through FONDECYT's *Dirección del Programa* and shall be authorized through the respective administrative act. Said request shall contain the description of resources new Institution undertakes to the execution of the project, in equal conditions to the original proposal, guaranteeing the project's viability.

Changes of objectives, methodology and Sponsoring Institution shall be requested through FONDECYT's Program.

6.1.10. Unused funds by the due date of each year's statement of expenses, must be reimbursed.

6.1.11. The Principal Investigator may request in advance an authorization from FONDECYT to extend the execution of activities that should have been carried out in the preceding stage by means of an Authorized Balance, which must be rendered once the extension has been completed.

The Principal Investigator(s), in order to guarantee the funds destination and obligations contracted, must sign a Promissory Note before a Chilean public notary or Consul of Chile Abroad (in case the awardee is abroad, the Promissory Note must comply with the formalities required for its validity in Chile, among others, the process of legalization in the Department of Legalizations of the Ministry of Foreign Affairs), and an irrevocable mandate, among other powers, that allows CONICYT to fill in the data corresponding to: i.- total amount to be paid; ii.- the expiration date of the signed promissory note. The mandate shall be included in the text of the Note, forming and indivisible whole and will be available on the FONDECYT website.

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



6.1.13. The Councils, in accordance with a well-founded background that merits it, have the power to suspend, modify or resolve an early ending of the projects, ending the transfer of funds, demanding the total or partial restitution of funds, as well as funds not rendered or observed, when applicable, according to the stipulated in the Agreement. CONICYT is responsible of the control and inspection of the transferred funds.

## 6.2. ALLOCATION OF RESOURCES

6.2.1 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 in one or more payments. To these effects, Principal Investigators must hold **a bank checking account** for the project and be registered in FONDECYT's website for *Declaración de Gastos*.

In qualified cases, expenses executed prior to the total processing may be included in the accountability, provided reasons of continuity and good service, which should be informed in the instrument that disposes the allocation of resources, as indicated in article 13 of Resolution N°30/15 from General Comptroller of the Republic.

Resources allocated to a project approved under this call, for the first year of execution will be transferred to the Principal Investigator once:

- a) Natural persons awarded by CONICYT, must sign a Promissory Note before a Chilean public notary or Consul of Chile Abroad (in case the awardee is abroad, the Promissory Note must comply with the formalities required for its validity in Chile, among others, the process of legalization in the Department of Legalizations of the Ministry of Foreign Affairs), with a promise to pay a determined amount of funds, destined to guarantee the fulfillment of obligations inherent to their beneficiary condition and including a clause giving CONICYT faculties to fill the corresponding amount owed and the expiry date of the Promissory Note, according to the calculations made and according to the stipulated in the agreement. Additionally, said Promissory Note will incorporate a clause by virtue of which CONICYT will be empowered to demand immediate payment of the total amount of the promissory note, as if it were overdue, in the event of default by the beneficiary of one or more agreed obligations, in order to ensure the faithful fulfillment of the obligations contracted. The Promissory Note, in CONICYT format, will be sent to the awardee prior to signing the agreement, which must be issued and printed on a single sheet.
- b) CONICYT resolution approving the agreement is fully processed.



- c) CONICYT budgetary existence and availability.
- d) Ethical/bioethical or other approbatory certifications required for the execution of the project, are received accordingly, as late as **May 30<sup>th</sup> 2020**. In qualified occasions, the Councils may extend said date. In case said certifications were not approved, the Councils could declare the allocation null and void.
- e) The Principal Investigator has no unrepresented accountabilities of their responsibilities with CONICYT.
- f) The Principal Investigator(s) submit the documents detailed in point 6.1.3. of these guidelines. If by **June 30<sup>th</sup> 2020** said documents are not submitted, a written petition to extend the deadline, including all the necessary records for their evaluation. If not, the project will be declared null and the allocation void. If an extended period was granted by FONDECYT and the Principal Investigator does not have the required visa, the awarded project could be declared null, previous revision of records and evaluation viability of the execution of the project by the Councils.

6.2.2. Resources allocated to a project approved under this call, for the following years of execution are conditioned to:

- a) No unrepresented accountabilities of their responsibilities with CONICYT.
- b) CONICYT budgetary existence and availability.

## VII. PERMANENCE IN THE COUNTRY

Projects must be developed in Chile, by Chilean or foreign researchers who are able to compromise the execution for the entire duration of the project. The Principal Investigator commits himself/herself to remain in the country until the end of the project and for at least 9 months during each year of execution. Absences for less than 3 months must be informed to the Sponsoring Researcher. Absences longer than 3 months might be considered, previous evaluation and authorization from FONDECYT, up to 6 months.

**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 "Instructivo General de Rendición de Cuentas" document of CONICYT.**



## 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.

Final academic reports shall be approved by the Council in charge of the area and the financial reports by CONICYT

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

Duration	Report Type	Due Date
Two-year projects	Final Report	April 14 <sup>th</sup> 2022
Three-year projects	Final Report	April 14 <sup>th</sup> 2023

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 30 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. Additionally, Researchers awarded tuition or personal care as a protection measure or according to the stipulated in articles 19 or 24 of Law N° 19.620, about adoption, might use this prerogative. To access the



benefit, an authorized copy of the court resolution awarding tuition of personal care must be attached<sup>1</sup>.

Moreover, parents may apply to postpone the end of the project date should they opt to use a medical leave for illness of a child under one year, make use of a leave for accompaniment or personal care of a child affected by a serious health condition, under the terms of Law N° 21.063, and the researchers who make use of supplementary prenatal or extended prenatal. **In such cases, the duration of the project will be extended for the authorized period, without considering an increase in the fees.**

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. Such request shall include the respective birth certificate.

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<sup>1</sup> Researchers should comply with the normative regulating the medical leave and those establishing the requirements for the perception of disability allowance (DFL N°1/2006 of Ministry of Health; DFL N°44/1978 of the Ministry of Labor and Social Welfare; DS N°3/1984, of the Ministry of Health; Law N°21, 133, etc.)

### 8.1.2 Financial Reports.

All funds allocated to the project shall be declared by April 14th each execution year by the Principal Investigator, through the *Sistema de Declaración de Gastos* (SDGL), according to the ***Instructivo General de Rendición de Cuentas*** of CONICYT.

In addition, original documents shall be provided supporting the declaration within 5 working days after the platform for *Declaración de Gastos*. The same operates in case of authorized extension for these purposes.

The financial report of the allocated funds by CONICYT will be governed according to the norms established by the Resolution N°30 from March 11<sup>th</sup> 2015 of the Comptroller General of the Republic and by CONICYT. In addition to the rules and indications detailed in the *Instructivo General de Rendición de Cuentas* of CONICYT and its corresponding annexes.

## 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, that is to say, when all the allocated funds have been declared and approved and the unused funds fully refunded, if applicable. In qualified situations, an additional period of up to 120 calendar days will be authorized for the expenses statement to properly finalize the financial closure of the project, upon request of the Principal Investigator and approval by FONDECYT.

Upon completion of the project under the conditions set forth, the capital assets will be transferred to the Sponsoring Institution, according with the provisions of section 3.13., making them available and entered their patrimony.

- 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 committee's review. The requisites regarding data bases or others required to finalize the project, are available in the FONDECYT website.

All productivity associated with the project: publications, articles, books, book chapters, patents, papers or others must contain the acknowledgment to CONICYT/FONDECYT and INACH, if applies, using the following format: "CONICYT + Program/Instrument + Folio (Project code)".

Approval of the final report is subject to:

- 9.2.1. Presentation of a report that accounts for the research conducted.
- 9.2.2. 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.**
- 9.2.3. Incorporate a disclosure sheet to the report mentioned in section 9.2.1., which may be published in the form and modality CONICYT has for this purpose. However, FONDECYT may postpone the publication of this document at the express request of the Principal Researcher when he/she demonstrate that aspects that merit his/her protection are involved, for the time defined by the Councils.
- 9.2.4. Presentation of a favorable Institutional Ethics and/or Bioethics Committee audit report prepared during the execution of the project, that certifies compliance with the norms and protocols established for the project and, if applicable, considering the report of FONDECYT's Ethics/Bioethics Advisory Committee, or who acts as such.





If the Councils consider the information provided in the final academic report are not sufficient for their approval, the researchers will have until June 30<sup>th</sup> of the corresponding year to correct the objections.

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 and 6.1.9. 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.



Early termination of the project requires at least one accepted manuscript, in press or published that complies with item 9.2.2 of these guidelines, or the Principal Investigator shall reimburse the allocated funds. In addition, original documents supporting the expenses shall be declared in the *Sistema de Declaración de Gastos* of FONDECYT, notwithstanding you must reimburse the not executed, not rendered or observed, if applicable.

## **X. FACULTIES OF THE SUPERIOR COUNCILS OF SCIENCE AND TECHNOLOGICAL DEVELOPMENT OF FONDECYT.**

The Councils are empowered to:

- 10.1. Transfer projects presented in the area of technology and vice versa, if they consider that the preferred nature of the research merits it. If a proposal presented in the area of science, includes the participation of public institutions and is considered by the Council as technological in nature, financing will not be granted.
- 10.2. Assign the proposal to a discipline other than the one defined by the applicant, if they consider it pertinent.
- 10.3. Establish the modalities of application, evaluation and conditions of approval or rejection of the presented projects, in accordance with the stipulated in Regulations of the D.F.L N°33 of 1982 of the ministry of Public Education that FONDECYT creates.
- 10.4. Declare proposals as non-complying when requirements of these guidelines are not met.
- 10.5. Set the meaning, interpretation and extent of these guidelines. Moreover, it can reduce the requested funds and/or duration of the project, regarding the deadline established in these guidelines in relation to the objectives, proposed activities and/or budgetary availability of CONICYT/FONDECYT.
- 10.6. Ensure the confidentiality of the information contained in the proposal in its stages of application, evaluation and execution of the project, the latter if the project was awarded. The foregoing, without prejudice to the provisions of Law N°20.285 which contains the Law of Transparency of Public Function Access to Information of the State Administration, as appropriate.
- 10.7 Supervise the execution of the project, being able to modify, suspend or terminate in advance, should there be well founded reasons for this and supervise through CONICYT, that the funds allotted to the Principal Investigators are used for the project.



- 10.8. Request, at any time, progress reports, partial, verbal or written or require the background deemed necessary during the evaluation process in order to start the project or during its execution, as well as determine the validity and feasibility of the research purpose.
- 10.9. Approve or reject the academic reports.
- 10.10. Require, when appropriate, the partial or total restitution of the allocated funds and initiate, through the State Defense Council, the proceedings of pertinent legal actions in case of breach of any of the financial obligations acquired by the Principal Investigator and/or Sponsoring Institution.
- 10.11. Require the execution of the bond/guarantee/bail granted by the Principal Investigator in case of declaring termination of the project due to contractual breach.

## **XI. SUBMISSION OF PROPOSALS**

- 11.1. The call for proposals will open on August 19<sup>th</sup> 2019 and will be published in a national circulation newspaper.
- 11.2. 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.
- 11.3. Applicants must send a request for institutional sponsorship **until September 24<sup>th</sup> 2019, 4:00 PM**, Chile Standard Time UTC/GMT -4 hours.
- 11.4. **Closing date for Institutional Sponsorship** over the online system **until October 1<sup>st</sup> 2019, 4:00 PM**, Chile Standard Time UTC/GMT -4 hours.

Applicants facing difficulties in their submissions for Institutional Sponsorship may send a request to *Ayuda* CONICYT at <https://ayuda.conicyt.cl/hc/es> no later than the date indicated in item 11.3 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 by the date indicated in 11.4.

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,



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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.**

- 11.5. 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.

- 11.6. Applicants may ask questions **until September 23<sup>rd</sup> 2019**, and shall use the *Ayuda* option available in the online platform or directly at <http://ayuda.conicyt.cl/hc/es>, in order to offer a timely answer to the requirement. The relevance of the requirements shall be analyzed each day of closing applications.

## ANNEX N°1

### **CERTIFICATIONS-AUTHORIZATIONS: ETHICS/BIOETHICS, BIOSECURITY OR OTHERS.**

The following certifications/authorizations are required, in cases where applies in the research, shall be sent by the Principal Investigator for the approved projects in this contest by the means indicated by the FONDECYT Program.

Projects involved working with/in:

#### **a) Human beings.**

All projects involving studies on human beings must include:

- Favorable report (**certificate**), well-founded from a Scientific Ethical Committee, plus a written authorization from the corresponding authorities from the site of the investigations where researches are held. In case the research involves indigenous communities and/or people, an authorization from the representative of said community is desirable.
- A Spanish copy of the specific **Informed Consent** document(s) for the study, which considers the particular aspects of the protocol to which the study subjects are incorporated. Additionally, in the case of children from at least 8 years of age until one day before turning 18, they **must have** the Informed Consent of the parents or legal representative and the **Approval Consent of the child/adolescent**, in this case. Exceptional situations to this requirement (such as passive parental consent or omission of parental consent) may be authorized by the Scientific Ethical Committee, considering the characteristics of the investigation (subject, type of intervention, level of risk and others) and well-founded reasons given by the Principal Investigator.

This document(s) must be endorsed (stamped, dated and signed) by the Scientific Ethical Committee giving the favorable report.

In the case of **biomedical research** projects, the favorable report and the visa of the informed consent and consent documents must be performed by a **Scientific Ethical Committee accredited** by the Health Authority (Law 20.120 and its regulations).

#### **b) Animals, animal samples and/or biological material**

The projects using vertebrate and/or cephalopods must submit the following certifications/approval:

- **Favorable report (certificate)** of a Scientific Ethical Committee or Animal Care, along with a written authorization of the corresponding authorities of the research



site where the study experiments are carried out, justifying the use, number of animals and type of species involved, and experimental procedures in the investigation, following the "3 Rs" principle (reduction, refinement and replacement).

- **Animal management protocol** (must include in detail animal species, procedures to be performed, analgesia, anesthesia and euthanasia techniques, if applicable), in addition to the **Animal Monitoring Protocol** (indicators that will be periodically evaluated to ensure animal welfare, including endpoint criteria, if applicable and person responsible for such supervision). All procedures must comply with current legislation (if necessary, review suggestions for the Basis Animal Bioethics Certification and Law N° 20.380 "On Animal Protection", available at the FONDECYT website <http://www.conicyt.cl/fondecyt/2012/10/31/bioetica/>).
- In case of using **wild animals and protected species**, permits shall provide permits from the relevant authority (for example: Agricultural and Livestock Service for terrestrial species and Sub-secretariat of Fisheries and Aquaculture for hydro-biological species).
- **Vivarium Certification, Animal Maintenance Unit or Station experimental.** In case these certifications are available in the Sponsoring Institution, it is desirable that they be attached to the Protocol.

### c) Material that represents biosafety risk

Those projects that consider the management of pathogenic elements for beings humans, animals or plants, recombinant DNA and / or radioisotopes, generate waste, or other risk elements, must be certified by a Biosafety Committee of the Sponsoring Institution and of the Institution (s) where the experimentation is carried out, according to the specifications contained in the "Manual of Biosafety Standards and Associated Risks", edited by CONICYT version 2018, available on the FONDECYT website.

Alternatively, a well-funded letter from the respective authority may be attached of said Institution (s) authority (s) (Dean, Research Director or competent authority), indicating the Biosafety measures to be adopted and the facilities the Principal Investigator counts for conducting the investigation, according to the specifications of said Manual. If in the opinion of the Councils the project will not have the appropriate measures, these will decide the conditions necessary for its correct development or will give an early termination to the project.

### d) Archaeological sites, paleontological material

Projects that require studies on collections must submit formal authorizations from the guarantor institutions of that heritage.



Projects that require certification from the National Monuments Council must present a proof that confirms the receipt of the request. In the year of execution required, you must present the corresponding authorization, all in accordance with Law No. 17.288, on National Monuments, and its regulations.

**e) Protected species, protected wild areas, species internment (not vertebrates).**

They shall possess authorization (s) at the beginning of the project or in the year of corresponding execution from the authority (s) required: Servicio Agrícola y Ganadero (SAG): import of plants, plant products and biological organisms, among others-; National Forestry Corporation of Chile (CONAF); National System of Protected Wild Areas of the State (SNASPE); National Fisheries Service (SERNAPESCA); among other agencies

**f) Files and / or databases containing sensitive information.**

They shall have authorizations issued by the corresponding authority (s) guarantor (s) of the information and indicate the safeguard measures which will be adopted by the institution and/ or the Principal Investigator for protecting the confidentiality of the respective information.

In case the authorization is not available at the date of submission of the background, the Principal Investigator must submit a letter specifying the process and deadlines for obtaining and presenting the requested Authorizations.

➤ **Modifications**

In case there are modifications in the methodology that involve ethical aspects and/or biosafety, the project must be reevaluated and approved by the Scientific Ethics Committee accredited or Sponsoring Institution, if applicable, or Committee of Biosafety if applicable, and reported to FONDECYT.