

Fonds de recherche du Québec

COMMON GENERAL RULES

Version dated June 30, 2014

French version approved by the Ministre de l'Enseignement supérieur, de la Recherche et de la Science

Québec 



Table of contents

PREFACE	1
DEFINITIONS	3
SECTION 1. GENERAL INFORMATION	5
1.1 Mandate of the Chief Scientist.....	5
1.2 Mandates of the Three Fonds de recherche du Québec	5
1.3 Support for Public Research	7
1.4 Protection of Academic Freedom.....	7
1.5 Intellectual Property	8
1.6 Confidentiality and Protection of Personal Information.....	8
1.7 Ethics in Research	9
1.8 Liability of the Fonds.....	9
SECTION 2. ELIGIBILITY FOR FINANCIAL SUPPORT	10
2.1 Applicant Citizenship and Place of Residence.....	10
2.2 Applicant Status.....	11
SECTION 3. SUBMITTING AN APPLICATION	12
3.1 Selecting the Appropriate Fonds.....	12
3.2 Instructions for Completing and Transmitting an Application.....	13
3.3 Applicant’s Responsibility	13
3.4 False or Misleading Information.....	13
3.5 Language of Application and Attachments	14
3.6 Confirmation of Receipt.....	14
3.7 Ineligible Application	14
SECTION 4. EVALUATION PROCESS	15
4.1 Composition and Role of the Evaluation Committees.....	15
4.2 Conflict of Interest Management	16
4.3 Integrity of the Evaluation Process	17
4.4 Funding Decisions	17

Fonds de recherche du Québec

Nature et Technologies • Santé • Société et Culture

Version dated June 30, 2014

SECTION 5. COMMUNICATION OF RESULTS	18
5.1 Publication of Results.....	18
5.2 Acceptance or Refusal of Financial Support.....	18
5.3 Research Ethics and Conformity	18
SECTION 6. ADMINISTRATION OF FUNDING AND ACCOUNTABILITY	20
6.1 Amount and Duration of Funding	20
6.2 Funding Manager	20
6.3 Fiscal Year.....	21
6.4 Maintaining Eligibility and Subsequent Instalments.....	21
6.5 Changes during Funding Period	22
6.6 Termination of Activities.....	22
6.7 Departure of the Investigator Responsible for the Grant.....	22
6.8 Property Acquired using Public Funds.....	23
6.9 Transfer of Funds between Institutions, in the Case of a Grant.....	23
6.10 Residual Balance, Unexpended Funds and Overpayments	24
6.11 Audits	24
6.12 Cumulative Funding	25
6.13 Parental or Medical Leave and Other Types of Leave Provided under the <i>Act Respecting Labour Standards</i>	26
6.14 Leave without Pay (FRQNT and FRQSC).....	26
6.15 Sabbatical Leave for Research Scholars (FRQS).....	27
SECTION 7. REPORTS AND PUBLICATIONS	27
7.1 Financial Reports (Grants).....	27
7.2 Final Report.....	28
7.3 Research Benefits and Valorization	28
7.4 Open Access to Research Output.....	29
7.5 Acknowledgement of Funding Received	29
7.6 Complaints Procedure	29

Fonds de recherche du Québec

Nature et Technologies • *Santé* • *Société et Culture*

Version dated June 30, 2014

SECTION 8. ELIGIBLE AND NON-ELIGIBLE EXPENSES	29
8.1 General Principles.....	30
8.2 Indirect Research Costs	30
8.3 Funding of Training Awards and Scholarships.....	31
8.4 Compensation, Training and Professional Fees	31
8.5 Travel and Subsistence Costs (as per the Financial Guidelines of the Québec Institution of the Researcher Concerned)	33
8.6 Materials, Supplies and Equipment (non Information Technology-Related)	34
8.7 Common Research Platforms or Infrastructures	34
8.8 Computer Supplies, Telecommunications and Data Banks.....	35
8.9 Dissemination of Research Outcomes, Reproduction, Publishing, Reprography or Translation	35
8.10 Other Non-Eligible Expenses	36
APPENDIX 1: RESEARCHER STATUS	37
a) FRQNT status definitions	37
b) FRQSC status definitions	39
c) FRQS status definitions	42

Note: the masculine form is employed throughout this document for purposes of legibility. All provisions herein apply equally to persons of either gender.

Fonds de recherche du Québec

Nature et Technologies • Santé • Société et Culture

Version dated June 30, 2014

PREFACE

The coming into force of Bill 130 on July 1, 2011 signaled, among other things, the restructuring of Québec's research funding agencies. Henceforth grouped together under the banner "Fonds de recherche du Québec" (FRQ) and under the leadership of the Chief Scientist, the three Fonds (Nature et technologies, Santé, Société et culture) continue to pursue their mission to promote and financially support research, knowledge dissemination and researcher training in Québec in their respective fields. The reform principally aimed to ensure strong management regarding the support and promotion of Québec research and to foster and enhance synergies and partnerships between different research sectors in order to meet the major challenges facing Québec in the 21st century. The restructuring had the additional goal of improving administrative efficiency in accordance with best practices in governance and the principles of sustainable development. The Common General Rules reflect the will for close collaboration between the three Fonds in every aspect of their mission.

These rules aim to ensure consistency with the values put forward by the Fonds in their strategic plan. As such, they:

- respect academic freedom;
- promote the protection of intellectual property, for the benefit of the community;
- ensure the integrity of the evaluation processes so that funding decisions are made with rigor and fairness;
- emphasize the protection of personal and confidential information received by the Fonds in accordance with the *Act respecting access to documents held by public bodies and the protection of personal information*;
- reaffirm the importance of ethics in research;
- present the terms under which the public funds are to be awarded and managed with the highest standards of rigor and transparency and in accordance with the laws and standards in force;
- specify the conditions for the dissemination and valorization of the outcomes of research funded by the Fonds.

These rules apply to all Fonds programs. However, certain programs may have specific conditions that are presented in the program's rules or description and prevail over the rules contained herein. In all cases, it is indicated in the program rules or description that these specific conditions prevail over the Common General Rules.

These rules are effective as of July 1, 2014 following their adoption by the Boards of Directors of the three Fonds de recherche du Québec. They apply to all

Fonds de recherche du Québec

Nature et Technologies • *Santé* • *Société et Culture*

Version dated June 30, 2014

programs offered starting in fiscal year 2015-2016, from eligibility to accountability. Furthermore, those provisions of these rules relating to eligible and non-eligible expenses (section 8) also apply to funding already underway, starting on July 1, 2014.

These rules are intended for researchers, students and the institutions that administer funding. However, certain specific terms and conditions may apply only to researchers or students. In these cases, this is indicated in the document at the appropriate passage, using the graphic symbols indicated below. If the symbol is found next to a paragraph, this paragraph applies only to that particular group. If the symbol is found next to a subtitle, the entire sub-section applies only to that particular group.



Passages intended for researchers



Passages intended for students

In the event of a discrepancy between the French and English versions of the Common General Rules, the French version shall take precedence.

Fonds de recherche du Québec

Nature et Technologies • Santé • Société et Culture

Version dated June 30, 2014

DEFINITIONS

Applicant: A person who has submitted an application for financial support under one of the programs of the Fonds de recherche du Québec. A grant application may be submitted by one or several investigators. In the latter case, there are one principal investigator or one investigator responsible for the grant and one or more co-investigator(s) or regular member(s).

Career award (FRQS): A program designed to facilitate the recruitment of qualified researchers and clinical researchers seeking to begin or continue an independent career in health research.

Funded researcher or awardee/scholarship holder: A person to whom funding has been awarded.

Funding: Financial support granted by one of the Fonds de recherche du Québec in the form of a grant, scholarship or award.

Managing institution: A postsecondary or research institution that, after being declared eligible by one of the Fonds, receives and administers funding from one of the Fonds de recherche du Québec and, in so doing, acts as a trustee in managing the funds. The managing institution is the host institution of the principal investigator of a grant or career award.

Postsecondary institution: A university, college or university institution established under the legislation in force in Québec that awards graduate diplomas.

Program rules or description: Rules governing a particular program, available on the website of the Fonds concerned. The present document will make reference to 'program rules' for the FRQNT and FRQSC, and 'program descriptions' for the FRQS.

Research infrastructure: A grouping of facilities and equipment, services and expertise necessary for a given research community that optimizes resource use and produces an environment conducive to conducting and sustaining research (FRQS) or that is aimed at organizing a set of research activities within the framework of a research program, a developmental initiative or a major installation (FRQNT-FRQSC).

Research institution: An institution with a mandate to conduct research, qualified research personnel and research facilities, known for its research activities.

Research program: A set of integrated activities based on a common research theme, designed to endure and evolve over time.

Fonds de recherche du Québec

Nature et Technologies • *Santé* • *Société et Culture*

Version dated June 30, 2014

Research project: Activity of a specific duration whose start and end dates usually correspond to the grant period. A research project may be conducted by one or several investigators.

Researcher status: Varies according to the institution and the particular Fonds de recherche du Québec. Refer to Appendix 1 for the definitions used by each Fonds.

Student: A person registered at an institution for the purpose of obtaining a degree, diploma or other academic recognition who undertakes research activities. A student may be a college, undergraduate, graduate or postgraduate student, or a postdoctoral fellow.

SECTION 1. GENERAL INFORMATION

1.1 Mandate of the Chief Scientist

The Chief Scientist of Québec, who chairs the three Boards of Directors, was given the responsibility to coordinate efforts on issues that are common to the three Fonds, as well as intersectoral research activities. He works to enhance Québec's position and influence in Canada and internationally. He is also in charge of consolidating and integrating the administrative activities (management of human, material, financial and information resources) of the three Fonds de recherche du Québec in collaboration with their respective Scientific Directors.

1.2 Mandates of the Three Fonds de recherche du Québec

Under the *Act respecting the Ministère de l'Enseignement supérieur, de la Recherche, de la Science et de la Technologie* (CQLR, c. M-15.1.0.1), hereinafter called the MESRST Act, the three Fonds de recherche du Québec report to the Minister. Their respective mandates are as follows:

Fonds de recherche du Québec – Nature et technologies

- To promote and provide financial support for research in the fields of natural sciences, mathematical sciences and engineering.
- To promote and provide financial support for the dissemination of scientific knowledge in fields of research relating to natural sciences, mathematical sciences and engineering.
- To promote and provide financial support for the training of researchers through achievement scholarships for graduate and postgraduate students and to persons who engage in postdoctoral research, through professional development scholarships to persons who wish to re-enter the research community, and through grants that allow the teaching duties of college level professors engaging in research activities to be reduced.
- To create any necessary partnerships, in particular with universities, colleges, and industry, and the government departments and public and private bodies concerned.

Fonds de recherche du Québec

Nature et Technologies • *Santé* • *Société et Culture*

Version dated June 30, 2014

Fonds de recherche du Québec – Santé

- To promote and provide financial support for all areas of research in the field of health, including basic, clinical and epidemiological research, research in the field of public health and research in the field of health services.
- To promote and provide financial support for the dissemination of scientific knowledge in fields of health research.
- To promote and provide financial support for the training of researchers through achievement scholarships to graduate and postgraduate students and to persons who engage in postdoctoral research, through professional development scholarships to persons who wish to re-enter the research community, and through grants that allow the teaching duties of college level professors engaging in research activities to be reduced.
- To create any necessary partnership, in particular with universities, colleges and health care institutions, and the government departments and public and private bodies concerned.

Fonds de recherche du Québec – Société et culture

- To promote and provide financial support for the development of research in the fields of social and human sciences and the field of education, management, arts and letters.
- To promote and provide financial support for the dissemination of knowledge in fields of research relating to social and human sciences and to education, management, arts and letters.
- To promote and provide financial support for the training of researchers through achievement scholarships to graduate and postgraduate students and to persons who engage in postdoctoral research, and through professional development scholarships to persons who wish to re-enter the research community and through grants that allow the teaching duties of college level professors engaging in research activities to be reduced.
- To create any necessary partnership, in particular with universities, colleges and cultural institutions, and the government departments and public and private bodies concerned.

Boards of Directors

Each Fonds is administered by its own Board of Directors. In accordance with the MESRST Act, the Board of Directors is the superior authority of the Fonds and has full power to decide on all matters deemed relevant to fulfilling its mandate. Each Board of Directors is supported by four standing committees: a program committee, a governance committee, an audit committee and an ethics and scientific integrity committee.

1.3 Support for Public Research

Funding awarded by each of the Fonds in the fulfilment of their mandate represents government investments for which the Fonds are accountable. As such, each Fonds has the duty and obligation to protect the public interest, especially regarding management and use of the funds it receives from the Government of Québec.

Whether basic or applied, the Fonds do not directly fund research in the private sector.

1.4 Protection of Academic Freedom

The three Fonds emphasize the importance of protecting academic freedom in the conduct of all research funded through their programs.

Academic freedom is part of the rights and freedoms of researchers and implies the right to carry out research without undue influence aimed at directing the achievement or publication of results¹. UNESCO recalls, and rightly so, that “[...] open communication of the results, hypotheses and opinions—as suggested by the phrase ‘academic freedom’—lies at the very heart of the scientific process, and provides the strongest guarantee of accuracy and objectivity of scientific results”². Complete academic freedom requires that research be carried out in compliance with professional responsibilities and collegiality in addition to the principles of intellectual, scientific and ethic rigour that should apply.

Academic freedom includes “the right, without constriction by prescribed doctrine, to freedom of teaching and discussion, freedom in carrying out research and

¹ Inspired by UNESCO, 1997, Recommendation concerning the Status of Higher-Education Teaching Personnel [http:// portal.unesco.org/en/ev.php-URL_ID=13144&URL_DO=DO_TOPIC&URL_SECTION=201.html](http://portal.unesco.org/en/ev.php-URL_ID=13144&URL_DO=DO_TOPIC&URL_SECTION=201.html).

² Recommendation on the Status of Scientific Researchers, UNESCO, 1974. « (...)that open communication of the results, hypotheses and opinions—as suggested by the phrase ‘academic freedom’—lies at the very heart of the scientific process, and provides the strongest guarantee of accuracy and objectivity of scientific results»

Version dated June 30, 2014

disseminating and publishing the results thereof, freedom to express freely their opinion about the institution or system in which they work, freedom from institutional censorship and freedom to participate in professional or representative academic bodies". All researchers must have the right to conduct research activities, within the framework of best research practices, without discrimination of any kind and without fear of repression by the state, the employer, or any other source.

1.5 Intellectual Property

The Fonds provide financial support through public funding, and any new knowledge, technology and services resulting from these investments are subject to *Québec's Action Plan for Managing Intellectual Property in Universities and Institutions of the Health and Social Service Network Where Research Activities Are Conducted* (MRST, 2002³). Consequently, the Fonds do not claim any ownership of intellectual property and must turn all royalties over to the public host institutions. These institutions must meet their own obligation to claim research benefits on the public's behalf. Researchers, students, universities, colleges and other affiliated institutions receiving funding from the Fonds de recherche du Québec expressly agree to abide by the principles of the Action Plan. In addition, they agree to publish the outcomes of their research and to mention the support received from the Fonds.

1.6 Confidentiality and Protection of Personal Information

In carrying out the activities related to the fulfilment of their mandate, The Fonds must collect information of a personal and scientific nature.

The Fonds are subject to the *Act respecting access to documents held by public bodies and the Protection of personal information* (CQLR, c. A-2.1), hereinafter the *Act respecting access*, and give high priority to protecting the confidentiality of personal and confidential information entrusted with them (for example, funding applications, evaluation reports, names of internal and external evaluators), in whatever form (digital, paper, etc.). Any information obtained by the Fonds is treated in strictest confidence and is disclosed only in accordance with the *Act respecting access* or by court order. Fonds staff members or persons requiring access to this information within the framework of the activities of the Fonds (in particular those who are part of the evaluation process) are held accountable for ensuring its confidentiality and must agree to respect all confidentiality rules.

³ Ministère de la Recherche, de la Science et de la Technologie (MESRST since 2011), 2002, Managing intellectual property in universities and institutions of the health and social service network where research activities are conducted - action plan.
http://www.frsq.gouv.qc.ca/fr/ethique/pdfs_prop_int/plan_pi.pdf.

Version dated June 30, 2014

Every person has the right to access his own personal information held by the Fonds, and may request correction of any personal information that is inexact, incomplete or ambiguous or whose collection, communication or conservation is not authorized by the *Act respecting access*. Applicants can obtain information on access procedures, the protection of personal information and the rights of recourse stipulated in the *Act respecting access* by contacting the person responsible for the *Act respecting access* at the Fonds.

1.7 Ethics in Research

With public funding of research comes responsibilities, which include the adoption of a responsible conduct while pursuing research activities. All persons or institutions receiving financial support from the Fonds are held to the strictest practices governing research ethics and scientific integrity. The funding by the Fonds de recherche du Québec is contingent upon the acceptance and respect, on the part of the researcher and his institution, of the ethical and scientific integrity standards in force. It is the responsibility of the host or managing institution to develop a regulatory research framework in line with these standards and see to its implementation. Any breach of responsible research conduct associated with the use of Fonds funding must be identified and managed by the host institution. It is the responsibility of the researcher and his institution to sought appropriate remedy. If the allegations prove to be founded further to investigation, a copy of the conclusions of the report and the corrective measures adopted must be submitted to the Director of Ethical and Legal Affairs at the Fonds. In accordance with the Fonds de recherche du Québec *Policy for the Responsible Conduct of Research*⁴, the Fonds reserves the right to impose any required sanctions.

1.8 Liability of the Fonds

The Fonds are not liable for any direct or indirect damage resulting from their handling of applications for funding. Furthermore, without limiting the generality of the foregoing, the Fonds are not liable for any direct or indirect damage resulting from unauthorized disclosure of information contained in an application package. For, although the Fonds take every precaution to ensure the confidentiality of private information, the necessary safeguards, i.e. public-key cryptography, encryption and other processes, may not be available in certain countries to which the information is forwarded.

⁴ The Fonds de Recherche du Québec *Policy for the Responsible Conduct of Research* will be made public in the fall of 2014.

SECTION 2. ELIGIBILITY FOR FINANCIAL SUPPORT

To qualify for financial support from one of the Fonds, applicants must meet the general eligibility requirements common to the three Fonds set forth herein, in addition to the special conditions specified for each program.

2.1 Applicant Citizenship and Place of Residence

RE

To qualify for a grant (FRQNT-FRQS-FRQSC) or a career award (FRQS), applicants must be Canadian citizens or permanent residents of Canada under the *Immigration and Refugee Protection Act, 2001, c. 27*. Otherwise, they must demonstrate, at the time of submission of the grant or career award application, that they hold a permit attesting that they have legal status and the authorization to work in Canada.

Furthermore, grant or career award applicants must provide proof that they have an employment relationship (regular, full-time position) with a university, college or research institution located in Québec.

Funding of the first year of a grant or career award will not begin until the researcher has demonstrated that he has applied for a Québec Selection Certificate from the appropriate authorities. Furthermore, to qualify for the second year of a grant or career award, the researcher must have taken the necessary steps to obtain permanent resident status.

ST

At the time of submission of a training award/scholarship application, students must be Canadian citizens or permanent residents of Canada under the *Immigration and Refugee Protection Act, 2001, c. 27* and must be domiciled in Québec for at least six months. They must provide proof of domicile in Québec within the meaning of Article 5 of the *Health Insurance Act (CQLR, c. A-29)* and the *Regulation respecting eligibility and registration of persons in respect of the Régie de l'assurance maladie du Québec*.

Students who are not Canadian citizens or permanent residents of Canada must provide proof, at the time of submission of the training award/scholarship application, that a) they are domiciled in Québec within the meaning of Article 5 of the *Health Insurance Act (CQLR, c. A-29)* and the *Regulation respecting eligibility and registration of persons in respect of the Régie de l'assurance maladie du Québec* and b) they have obtained a Québec Selection Certificate and that a permanent resident application has been submitted to the appropriate authorities.

To qualify for a training award/scholarship (FRQNT-FRQSC-FRQS), students must be Canadian citizens or permanent residents of Canada and must be domiciled in

Fonds de recherche du Québec

Nature et Technologies • *Santé* • *Société et Culture*

Version dated June 30, 2014

Québec for at least one year. Students who are not Canadian citizens or permanent residents of Canada are required to confirm citizenship or resident status before financial support can begin. If the student is unable to obtain citizenship or resident status before March 1 of the year following the offer of financial support, the training award/scholarship will be cancelled.

In the case of certain award programs for foreign students, students are exempt from these requirements. Details are provided in the program rules for each program.

2.2 Applicant Status

Only applicants with researcher status (refer to Appendix 1 for detailed definitions of 'researcher') may apply for a grant as a principal investigator, co-investigator or regular member, unless otherwise specified in the program rules or description.

Applicants cannot have researcher and student or fellow status simultaneously.

ST

Only applicants with student or fellow status may apply for a training award or a scholarship.

SECTION 3. SUBMITTING AN APPLICATION

Only the points common to all Fonds programs are presented in this section. Please refer to the rules or description of individual programs for further details.

3.1 Selecting the Appropriate Fonds

Grant and award applications are submitted to one of the Fonds on the basis of the field and topic of research. Researchers may receive funding from more than one Fonds provided that the funding is for different research topics.

RE

When warranted by their research domain, researchers may be regular members (FRQNT-FRQSC) or regular researchers (FRQS) of two major infrastructures funded by any of the Fonds provided they account for how their time is divided between them. Researchers are deemed to be regular members or regular researchers at a major infrastructure if their level of involvement is at least 50 %. For the purposes of this section, the following are considered major infrastructures: Research Groups and Centres (FRQS), Strategic Clusters (FRQSC and FRQNT) and IU-CAU Infrastructures (FRQSC).

RE

Under exceptional circumstances, researcher may be regular member at more than two major infrastructures. In such a case, he must demonstrate the validity of such involvement, show that he will divide up to 100 % of his research time among the infrastructures (amount of research time in the major infrastructures), specify the time at each of the infrastructures, and obtain authorization from the Fonds concerned.

Applicants are responsible for sending their application package to the appropriate Fonds by referring to the lists of research domains of the three Fonds (FRQSC; FRQS; FRQNT). This information will allow the Fonds to ensure that the application is sent to the appropriate Fonds.

The Fonds may transfer an application for financial support to a different Fonds which it considers more appropriate, after obtaining the applicant's consent. If there is no comparable program offered by a different Fonds, the application is deemed ineligible.

In the interest of ensuring sound management of public funds, the Fonds reserve the right to share information concerning the submitted applications, for example, to avoid double funding.

ST

Students may hold a training award or a scholarship from only one Fonds.

3.2 Instructions for Completing and Transmitting an Application

All requests for financial support must be made on the appropriate application form, which is available on the website of the Fonds to which the application is being submitted. Application forms and attached documents must be completed and transmitted within the prescribed deadlines and in accordance with any specific program requirements. Any application that does not comply with these requirements will be deemed ineligible.

Any part of the application, including the annexes, that exceeds the maximum number of authorized pages will be removed from the application submitted to the evaluation committee.

Some programs require the submission of specific documents in addition to the application form. All necessary documents must be submitted or sent to the office of the appropriate Fonds by the competition deadline. For documents delivered by mail, by messenger or by email, the official postmark, dated messenger receipt or date of reception of the email is proof that the document was sent on time.

No document transmitted after the deadline or document that is not required and which is included with the application will be submitted to the evaluation committee.

3.3 Applicant's Responsibility

Applicants bear full responsibility for their application package and must ensure that it is complete and meets all requirements of the desired program.

Applicants need to be familiar with the programs and their respective requirements. For more information, they should contact their institution's research office or the program manager at the appropriate Fonds.

3.4 False or Misleading Information

Under the *Act Respecting the Ministère du Développement économique, de l'Innovation et de l'Exportation* (CQLR, c. M-15.1.0.1), any applicant who gives false or misleading information to obtain or procure financial support is guilty of an offence and liable to a fine. If found guilty, the individual is barred from receiving financial support for a period of up to five years.

Where a legal entity commits such an offence, any of its directors or representatives who knew about the offence are considered to be parties to the offence and are also subject to a fine, unless they prove to the court's satisfaction that they did not agree

Version dated June 30, 2014

with the commission of the offence. Furthermore, such a declaration constitutes a breach of responsible research conduct. (See the Fonds de recherche du Québec *Policy for the Responsible Conduct of Research*.)

The Fonds reserve the right to impose any penalty or take any additional measures they deem expedient. They may also take legal action to recover fraudulently obtained funds and claim compensation for damages caused.

3.5 Language of Application and Attachments

Applications for financial support may be written in English or French. However, the project title and summary for public dissemination (if applicable) must be submitted in French. If the title and summary are not presented in French, the application will be deemed ineligible.

3.6 Confirmation of Receipt

The applicants will receive an acknowledgement receipt of their funding applications. Applicants who do not receive a confirmation of receipt within 30 days after the competition deadline should contact the Fonds to which the application was submitted.

3.7 Ineligible Application

If an application is deemed invalid or ineligible, the reasons are communicated to the applicant.

SECTION 4. EVALUATION PROCESS

The Fonds receive applications for financial support, check the eligibility of those applications and submit them for evaluation by specially formed committees. The evaluation committees recommend funding for applications judged to be of satisfactory scientific quality.

Certain programs require the presentation of a letter of intent before submission of the application for financial support. The specific conditions relating to the presentation and evaluation of letters of intent are described in the appropriate programs.

4.1 Composition and Role of the Evaluation Committees

Applications for financial support undergo scientific evaluation by evaluation committees composed of experts from the research fields of the different Fonds. The members of the evaluation committees are known for their research skills and their knowledge of the research topics, methodologies and disciplinary basis of the applications under evaluation.

In some cases, the evaluation committees may need to consult outside experts. The evaluation committee members and outside experts may be from Québec, Canada or elsewhere.

The committees examine applications in light of the evaluation criteria for each program. They also assess how well the budget projections fit the proposed scientific activities and make recommendations concerning the amount of funding needed, where applicable.

Committees may meet in person, by telephone conference call or by video conference. Committee members base their evaluation solely on the content of the submitted application and must not, under any circumstances, share any information not included in the application that could in any way affect the outcome of the evaluation.

For further details concerning the composition and role of the evaluation committees, refer to the Fonds de recherche du Québec *Policy for the Responsible Conduct of Research*.

4.2 Conflict of Interest Management

The Fonds require their evaluation committee members to meet the highest standards of integrity, impartiality and confidentiality in carrying out their duties. All persons who are part of the evaluation process are subject to conflict of interest rules. Any breach of these principles constitutes a breach of responsible research conduct and may be subject to sanctions by the Fonds.

Committee members must show great transparency in disclosing any interests that may influence, or appear to influence, their decisions. Evaluation committee members are required to sign a declaration of interest, and must be on the lookout for any real or perceived conflict of interest that may arise during the evaluation process. A conflict of interest is a conflict between a person's duties and responsibilities with regard to the review process, and that person's private, professional or business interests. The impartiality of the committee could be compromised if the judgement or decisions of one of its members are influenced by personal interest. For example, there may be a real or perceived conflict of interest when an evaluation committee member:

- a) would receive professional, personal or financial benefit resulting from the decision made by the committee;
- b) has a spouse, child or person of special interest who could receive professional, personal or financial benefit resulting from the decision made by the committee;
- c) maintains a recent or significant professional relationship with an applicant that could create a favorable or negative bias or affect the committee's decision;
- d) has a friend, an extended family member or a person with a close relationship who might benefit from the committee's decision;
- e) holds ideological views that could influence his judgement;
- f) is affiliated with the applicant's institution, organization or company or has a professional interest in the proposed research.

Conflict of interest management measures are taken to ensure the integrity and impartiality of the evaluation process. (See the Fonds de recherche du Québec *Policy for the Responsible Conduct of Research*.)

If a member is in a conflict of interest at an evaluation committee meeting, the Fonds ensures that the member does not participate in the evaluation of the application with which he is in conflict. Furthermore, the member in conflict must

Version dated June 30, 2014

abstain from all comment on the application in question while the applications are being ranked in order of merit. A committee chair who is in a conflict of interest is replaced by an interim chair during the evaluation of the application in question.

For further information concerning the conditions governing conflict of interest in the recruitment of evaluation committee members and chairs, refer to the Fonds de recherche du Québec *Policy for the Responsible Conduct of Research*.

4.3 Integrity of the Evaluation Process

The evaluation committee produces a ranking of the applications in order of merit, according to predefined criteria. Fonds staff and members of their Boards of Directors do not intervene in the scientific evaluation process.

At no time may applicants or their institutional authorities make contact with the evaluation committee chair or members, unless such contact is specified as part of the evaluation process. Similarly, evaluators must not make contact with applicants, unless such contact is specifically indicated in the evaluation process. The Fonds reserve the right to withdraw an application from competition if there is any inappropriate intervention, lobby, undue influence or collusion. See the Fonds de recherche du Québec *Policy for the Responsible Conduct of Research* for more details.

4.4 Funding Decisions

The Board of Directors allocates funding envelopes to each of the Fonds' programs, according to the organization's priorities and the available budget. During this decision-making process, the Board of Directors does not know the identities of the persons who will be funded. Funding is awarded in accordance with the ranking determined by the evaluation committees, based on the envelopes allocated by the Board of Directors. The initial funding and the commitment to continue funding in subsequent years are subject to decisions made by the Boards of Directors of the Fonds according to strategic priorities and the annual budgetary appropriations voted by the Québec National Assembly. If need be, the Board of Directors may review and modify or terminate funding without notice.

All funding decisions of the Boards of Directors of the Fonds are final and cannot be appealed.

SECTION 5. COMMUNICATION OF RESULTS

5.1 Publication of Results

The Fonds inform every applicant of the acceptance or refusal of their application for financial support. This may be done via mail, email or a notice in the applicant's electronic file.

In addition to this notice, each Fonds publishes a list of funding offers and amounts on their respective websites. At the end of the fiscal year, a final list of competition results including recipient names and other information relating to the funding is made public.

5.2 Acceptance or Refusal of Financial Support

RE

Applicants who are offered financial support are required to give written notice of acceptance within 30 days after the letter of approval has been sent. Note that this period may vary from one program to another. Any applicant who fails to meet this requirement within the prescribed time is deemed to have refused the approved financial support.

ST

FRQSC and FRQNT scholarships must be accepted or declined within ten business days of receiving the scholarship notification, using the electronic form provided for this purpose in the "Scholarship Holder's Guide". FRQS training awards must be accepted or declined within 30 business days of receiving the award offer.

5.3 Research Ethics and Conformity

All projects involving human subjects or biological materials (body parts, products, tissues, cells or genetic material from a human body, of a living or dead person) or administrative, scientific or descriptive data from human subjects, require the approval of the research ethics board of the principal applicant's institution or a research ethics board recognized by this institution. The recruitment of human participants is strictly subject to approval from a research ethics board.

RE

Managing institutions with which the Fonds have signed an agreement are given the responsibility of informing the Fonds that this requirement has been met before releasing funding to the researcher. However, at the discretion of the managing institution, up to 20 % of first-year funding may be released for preliminary work to be carried out before any activities involving the participation of human subjects or the use of personal data or biological materials.

Fonds de recherche du Québec

Nature et Technologies • *Santé* • *Société et Culture*

Version dated June 30, 2014

RE

In the absence of an agreement with the managing institution, the release of funds is contingent upon the submission to the Fonds of the appropriate ethics certificate and any related documents.

RE

Likewise, every project involving animals or animal parts, products or tissues requires the approval of the animal care committee of the principal applicant's institution. The decisions of this committee must comply with the standards and guidelines of the Canadian Council on Animal Care (CCAC) and the institution where animal research is carried out must be certified by the CCAC.

RE

Furthermore, if applicable, researchers must report any environmental impacts of their research and employ reasonable efforts to minimize them, in particular when the environmental impacts could have serious or significant consequences (for example, in terms of duration or repercussions). The researcher and the host institution are responsible for ensuring that the project is carried out in a responsible manner and in accordance with environment standards in effect. To do so, they must obtain any necessary permits, licences and authorizations before starting the project.

ST

Student recipients of training awards and scholarships are required to comply with all laws, policies and standards applicable to their project, especially when it comes to obtaining ethics certification. Furthermore, all FRQS awardees are required to receive basic training in research ethics if their research project or program involves human subjects.

SECTION 6. ADMINISTRATION OF FUNDING AND ACCOUNTABILITY

6.1 Amount and Duration of Funding

The Fonds cannot provide funding over the amount requested in the funding application.

The duration of funding varies according to program.

ST

The conditions relating to the value of training awards or scholarship, eligibility periods and the duration of funding are specified in the program rules or description. Every applicant may receive financial support from the Fonds de recherche or from accredited granting agencies or foundations that offer scholarships or training awards on a merit basis, for a maximum duration of 15 semesters.

RE

6.2 Funding Manager

In the case of a grant, the Fonds designate an institution to act as trustee in administering the funds. In accepting this responsibility, managing institutions agree to ensure compliance with the rules governing the various funding programs and eligible expenses, in addition to the Québec government policy on the management of intellectual property⁵. They must administer the grants as assets not their own.

The managing institution is the host institution of the principal investigator or investigator responsible for the grant. If the designated principal or responsible investigator changes during the funding period, said investigator must advise the program manager of the Fonds.

If the managing institution changes during the funding period, the new institution must undertake to assume responsibility for administering the funding. The new institution becomes accountable for the grant as of the date on which the Fonds authorizes the transfer, or other date as determined by the Fonds and the new institution. It should be noted that an equipment grant may not be transferred between institutions, including any unexpended portion of the grant. However, any equipment thus acquired must remain at the disposal of the project for which the grant was awarded.

The managing institution disburses payments in accordance with expense rules set herein and produces annual financial reports, which it sends to the Fonds within three months after the end of their fiscal year of March 31, i.e. by June 30, or in

⁵ http://www.frsq.gouv.qc.ca/fr/ethique/pdfs_prop_int/plan_pi.pdf

Fonds de recherche du Québec

Nature et Technologies • Santé • Société et Culture

Version dated June 30, 2014

accordance with the terms specified at the time of the funding. Financial reports must be filed on the proper form, using the financial management extranet where applicable, and must be signed by the investigator responsible for the grant and the managing institution's designated administrator. In the case of a research centre or network, reports must be signed by the research director and the managing institution's designated administrator.

The managing institution is responsible for disbursing to the recipient the full amount allocated for direct support of research activities by the Fonds, while verifying the eligibility of all expenses claimed. The amount covering indirect research costs that accompanies the grant is kept by the managing institution and applies only to the funded research projects.

The Fonds provides the managing institution with a copy of all administrative correspondence with funded researchers.

ST

Awardees or scholarship holders are responsible for managing their training award or scholarship. Funding must be used for the purpose for which it was awarded.

6.3 Fiscal Year

Funding is made on an annual basis, normally from April 1 to March 31. Occasionally, funding may be awarded for other periods, which are clearly specified at the time of the funding, either in documents provided beforehand, in the rules or description of the program concerned, or in the call for proposals.

RE

6.4 Maintaining Eligibility and Subsequent Instalments

Funding recipients and the institutions involved must comply with all eligibility requirements in effect at the time of submission of the application for financial support, for the entire duration of the grant. These requirements are described in the rules or description of the various programs and are available on the website of each Fonds or on request to the program manager of the appropriate Fonds.

To receive subsequent instalments of FRQNT and FRQSC grants, at the end of every fiscal year, the person responsible for the grant must complete a request for instalment ("Demande de versement") form in his "Dossier du chercheur financé" on the Fonds website.

ST

Awardees and scholarship holders must claim their award or scholarship instalment or request its deferral in accordance with the dates indicated in the program rules or

description. If this is not done within the prescribed time, the Fonds concerned may cancel an instalment or terminate the award.

6.5 Changes during Funding Period

The program manager of the appropriate Fonds must be advised, by email, of any major changes during the funding period as regards research orientation; the composition of a group, network, team or centre; a research journal; etc. The Fonds will analyze any such changes, and may decide to continue funding or, in some cases, reduce, suspend or terminate funding. Such changes may cause the Fonds to request repayment of disbursements.

ST

For awardee or scholarship holder, the terms and conditions relating to deferral of payment and interruption of the award or scholarship are specified in the program rules or description. To make any changes in the conditions of an award or a scholarship, the awardee or scholarship holder must first apply to the Fonds concerned using the form provided for that purpose. For fairness purposes, prior to authorizing any change, the Fonds must ensure that such a change does not affect the result of the evaluation of the scholarship application or eligibility for the award or scholarship program. The award or scholarship will be continued as long as the change does not affect its eligibility requirements. For further details concerning authorized changes, refer to the program rules or description.

6.6 Termination of Activities

If award/scholarship- or grant-funded activities are terminated during the funding period, the student or the researcher responsible for the award/scholarship or grant must immediately advise the program manager at the Fonds concerned via email. The reasons for termination must be included, and will be analyzed by the Fonds. Failure to promptly notify the Fonds may result in ineligibility to apply for future funding, and the Fonds may require repayment of disbursements.

ST

For awardees or scholarship holders, the specific conditions relating to project changes, end of a study program, suspension or discontinuation from studies are specified in the program rules or description.

RE

6.7 Departure of the Investigator Responsible for the Grant

A person responsible for a grant who leaves his host institution or Québec (for an absence of more than three months or permanently) must give prior written notice to the program manager of the appropriate Fonds. He must provide the Fonds with complete information on his replacement including confirmation from the managing

institution. If the Fonds considers that the information does not provide sufficient justification or judges that the departure jeopardizes the successful continuation of the research activities to be carried out under the grant, it will take appropriate measures based on the nature of the information provided. The Fonds may decide to continue instalments or, in some cases, reduce, suspend or terminate funding. This section does not apply in the case of a sabbatical leave.

RE

6.8 Property Acquired using Public Funds

In relation to section 6.7, at the termination of a research project, the managing institution must dispose of all research resources acquired using public funding, in such a way as to benefit Québec's scientific community to the greatest extent possible, and taking into account the useful lifespan of such resources. Should it occur that the managing institution has entered into agreements with other institutions regarding the conduct of research activities, they must determine together the share of the property to be kept by each institution. The Fonds that provided the funding must be advised of any such agreements.

More specifically, upon departure of the person responsible for a data or biological material bank created through a Fonds grant, the institution hosting the bank (normally, the host institution of the principal investigator or investigator responsible for the grant) retains trusteeship of the bank on behalf of the research community, unless an arrangement to the contrary exists between the researchers and the Québec institution(s). The Fonds must be advised of any such agreement and the consent form signed by the participants must allow for this possibility.

Research tools such as books and small equipment purchased directly out of Fonds grants for the benefit of a research network, group or centre must remain at the disposal of the scientific community for which they were acquired, even in the event of the departure of the researcher who is in charge of them or a change of managing institution. The managing institution must assume sound management of the resources for the benefit of Québec's scientific community.

Resources of great monetary or scientific heritage value that have been funded (at one time or another) by the Fonds may not be relocated outside Québec by the researcher or a research group or institution without consulting the Fonds.

RE

6.9 Transfer of Funds between Institutions, in the Case of a Grant

During a fiscal year, it is permitted to transfer funds between Québec institutions. In such cases, the principal investigator or investigator responsible for the grant, along

Version dated June 30, 2014

with the managing institution, remains accountable to the Fonds for use of the appropriations.

A financial report must be produced by the recipient institution in accordance with the instructions in section 6.2, "Funding Manager". This report must be approved by the managing institution.

If the managing institution encounters difficulties obtaining accountability from the institution to which it transferred the funds, appropriate measures could be taken by the Fonds.

RE

6.10 Residual Balance, Unexpended Funds and Overpayments

Balances remaining at the end of one budget year may be carried over to the next year for the duration of the grant. The balance remaining upon expiry of the funding period may also be carried over to complete the research activities for which the funds were granted, for a maximum period of one more year. However, justification must be provided to the program manager of the Fonds concerned. After that time, any residual funds must be returned to the Fonds.

If the principal investigator or investigator responsible for the grant no longer meets eligibility requirements, the Fonds will come to an agreement with the investigator and the institution concerned as to the recovery of any overpayments made from the moment when the investigator became ineligible.

Any disbursements made as a result of a technical error on the part of the Fonds are recovered following agreement between the principal investigator or investigator responsible for the grant and the managing institution, taking into account any harm caused where applicable. Similarly, the investigator and the managing institution must advise the Fonds of any errors that occur.

The Fonds are not responsible for expenses or commitments by the institution that exceed grant funds applied to the account of the principal investigator or investigator responsible for the grant for current and prior fiscal periods. The managing institution is solely responsible of these funds.

6.11 Audits

The Fonds may carry out an audit of managing institutions, awardees or scholarship holders at any time in order to ensure proper management of the funding and compliance with the regulations governing eligible expenses. Managing institutions,

Version dated June 30, 2014

awardees and scholarship holders must cooperate with any such audit process if requested to do so, aimed at ensuring the appropriate use of funding.

All funding must be applied to the accounts held by the managing institution, which also keeps verifiable supporting documents on file enabling their authentication (in the case of technology-based originals, in accordance with CQLR, c. 1.1, *Act to establish a legal framework for information technology*), for a minimum of five years following the end of the funding period. Upon request by one of the Fonds, the managing institution must submit to the procedure for auditing accounts and supporting documents, as defined in the *Financial Administration Act* (CQLR, c. A-6.001).

In the case of non-compliance with the rules or provisions relating to the funding program and eligible expenses, or if the institution fails to justify its expenses by providing the appropriate supporting documents, the Fonds may suspend, reduce or terminate funding and recover any amounts already paid, when applicable.

6.12 Cumulative Funding

In any given fiscal year, a principal investigator or the investigator responsible for a grant may obtain only one grant within one program, unless otherwise indicated in the programs.

Holding cumulative funding of equivalent value for the same project from foundations or other public funding organizations recognized by the Fonds ([table of accredited funders](#)) is not permitted. Applicants must inform the Fonds if this situation should arise. The Fonds systematically verify the application forms received to avoid double funding of research.

Applicants who have sought and obtained an equal or larger grant from another organization for the same research proposal must decline the grant from the Fonds de recherche du Québec, as soon as it is offered.

Where two separate research proposals are involved, but the two project descriptions give reason to believe that there is some overlap, the applicant may accept funding, but must show that the proposal submitted to the Fonds is different.

ST

In the case of training awards and scholarships, the conditions governing cumulation of funding are stipulated in the program rules.

RE

6.13 Parental or Medical Leave and Other Types of Leave Provided under the *Act Respecting Labour Standards*

Principal investigators or investigators responsible for a research project who interrupt their research work to take maternity leave or parental leave for a birth or adoption under the Régime québécois d'assurance parental (RQAP), or sick leave or other types of leave stipulated in the *Act respecting labour standards* (CQLR, c. N-1.1) may request an extension of the funding period up to the maximum time allowed by the applicable law. The project may be extended for the same period as the leave granted by the institution in accordance with its current policies. Applicants must then provide the Fonds concerned with an attestation from the institution specifying the nature and length of the leave. The Fonds reserve the right to verify the researcher's situation.

This extension applies to investigators responsible for a research project. In the case of a research infrastructure, the principal or responsible investigator must provide the Fonds with complete information on his replacement including confirmation from the managing institution.

Holders of a salary award from the FRQS are entitled to take parental (maternity, paternity or adoption) leave. The award may be deferred for a maximum of 2 years. The awardee must advise the FRQS in writing of his intention to take parental leave.

ST

Similar conditions apply to awardees or scholarship holders, allowing students to suspend their studies for the types of leave mentioned above. Further details are provided in the program rules or description. Awardees or scholarship holders who wish to apply for leave must complete and transmit a request (indicating the length and reason) and provide supporting documents. The Fonds reserve the right to verify the award or scholarship holder's situation.

FRQS awardees are entitled to a maximum of 6 months of paid parental leave (maternity, paternity or adoption), except in the case of the Postdoctoral Training for Applicants Living Outside of Québec award program. The duration of the award is then extended by a maximum of 6 months.

The Fonds reserves the right to refuse any requests that contain insufficient justification.

RE

6.14 Leave without Pay (FRQNT and FRQSC)

An investigator responsible for a research project who is funded under the New University Researchers Start Up Program (FRQNT)/Start-Up Program for New Research Professors (FRQSC) and who wishes to take an unpaid leave of absence

Version dated June 30, 2014

may defer the award for a maximum of one extra year. The researcher must demonstrate that the leave of absence will not jeopardize the success of the research project and must provide, by email, supporting documentation indicating the nature and length of the planned leave. A supporting letter from his institution must also be transmitted to the program manager concerned, confirming continuation of the employment relationship.

Leave without pay is a privilege. The Fonds reserves the right to refuse any request.

This extension applies to investigators responsible for a research project. In the case of a research infrastructure, the principal or responsible investigator must provide the Fonds with complete information on his replacement including confirmation from the managing institution.

6.15 Sabbatical Leave for Research Scholars (FRQS)

Awardees may take a sabbatical leave to take part in a complementary training program or a program of activities that will advance the research project. Research scholars will receive their full stipend during a sabbatical year as long as they meet the requirements described in the FRQS program document. They must send a written request for sabbatical to the FRQS program manager.

SECTION 7. REPORTS AND PUBLICATIONS

RE

Funding recipients must account for the financial, scientific and ethical use of appropriations made available to them within the deadline prescribed by the Fonds.

RE

7.1 Financial Reports (Grants)

Financial reports must be completed at the times prescribed by the Fonds in the program rules or description, as indicated in section 6.2.

Financial reports must be filled on the proper form, using the financial management extranet where applicable, and signed by the person responsible or, in the case of a research centre or network, by the research director and the managing institution's designated administrator.

Institutions must be able to provide, on request, financial reports and any supporting documents including:

- a list of personnel remunerated using grant: name, category, amount of compensation and length of employment in each case;

Version dated June 30, 2014

- a list of social benefits provided;
- a list of equipment, materials, supplies and diverse items purchased and the price of each item;
- a list of daily travel and accommodation expenses, specifying the nature of each cost;
- a list of conventions, meetings and symposia for which expenses were paid, and proof of participation in each activity.

7.2 Final Report

RE

The principal investigator or investigator responsible for a grant is required to submit a final report within the time prescribed by the Fonds as specified in the program rules, accessible in the “Dossier du chercheur financé” where applicable.

The final research report may be written in English or French. If written in English, it must be accompanied by a title and abstract in French. The conditions governing the submission of the report are set out in the program rules.

The report must be submitted no more than 12 months after the end date of the grant, except under exceptional circumstances. If a final research report is not submitted within the prescribed time, no researcher involved in the grant may receive new funding from the Fonds until the situation has been remedied.

ST

With a few exceptions, scholarship holders must transmit progress reports to the Fonds that provided the scholarship (FRQNT-FRQSC). The conditions relating to the submission of these reports are described in the program rules. Access to future financial assistance under any other program is contingent upon receipt of these reports.

Students who receive financial assistance for an internship must transmit an report to the appropriate Fonds that provided the scholarship. The conditions relating to the submission of this report are described in the program rules (FRQNT-FRQSC). Payment of the last instalment of the reimbursement is contingent upon receipt of this report.

7.3 Research Benefits and Valorization

The financial support provided by the Fonds comes from public funds. For that reason, research outcomes—whether in the form of knowledge, products or services—must be disseminated and new knowledge must be transferred for the benefit of Québec society as a whole. Subject to certain conditions (e.g. reasonable delays for obtaining patents), researchers must have the freedom to publish their

Version dated June 30, 2014

outcomes. Institutions, researchers, awardees and scholarship holders are responsible for the valorization of their research outcomes.

7.4 Open Access to Research Output

The Fonds are committed to fostering the widest possible access to the outcomes of the research they are funding. To this end, they have expressed the wish that such practice be implanted in every research environment and intend to promote this principle through all means at their disposal, including the websites of the three Fonds. Until the development of a global policy for the three Fonds, FRQS-funded students and researchers must continue to respect the *Policy regarding open access to published research outputs (2008)*.

Researchers and students are encouraged to choose publication options that will provide open access to their research outcomes. These include dissemination tools such as institutional repositories and the Érudit platform.

7.5 Acknowledgement of Funding Received

Funding recipients must, in all reports, articles and papers, acknowledge the funding received from the Fonds. Where the funding is obtained under a funding agreement between the Fonds and one or more partners, they must also be mentioned, unless otherwise stipulated.

Researchers and students are solely responsible for the content of their work. The recognition of the financial support of the Fonds in a production resulting from research funded by the Fonds does not constitute an endorsement of the content on the part of the Fonds.

7.6 Complaints Procedure

Complaints relating to services rendered are received and treated in accordance with the *Declaration of Services to the Public*, adopted by each of the Fonds. Complaints relating to responsible research conduct will be dealt with in accordance with this policy (See the Fonds de recherche du Québec *Policy for the Responsible Conduct of Research*.)

SECTION 8. ELIGIBLE AND NON-ELIGIBLE EXPENSES

Obtaining public funds is a privilege given on the basis of merit, and with this privilege comes the responsibility of properly managing the funds. It is the

Version dated June 30, 2014

responsibility of the investigator and the managing institution—in the case of grants—and of awardees and scholarship holders to ensure sound management of the funds they receive, in accordance with generally accepted accounting principles and the rules set forth by the Fonds in this document and in all other documents referred to herein.

Any expenses that are not on the list of eligible expenses provided in these Common General Rules are considered non-eligible unless authorized in the program rules or description. For questions relating to eligibility of expenses, researchers, awardees and scholarship holders should contact their institution's research office or the program manager at the Fonds concerned.

Any use of funding in a manner not in accordance with the Common General Rules or the program rules constitutes a breach of responsible research conduct (See the Fonds de recherche du Québec *Policy for the Responsible Conduct of Research*.) Sums used to pay non-eligible expenses must be reimbursed to the Fonds and the poor management of public funds may be subject to additional sanctions.

RE

8.1 General Principles

The Fonds adhere to the principles of sound management of public funds in determining eligibility of expenses. They require all expenses to be directly attributable to and necessary for the execution of the activities specified in the grant application, and permitted under the program rules or description. The Fonds are committed to ensuring that no expense should serve to provide personal gain for the investigator or his family or be used for a purpose that is not directly related to the funded research activities. Public funds need to be tightly and wisely managed.

Even if the grant amount is lower than the need expressed in the application, investigators must respect the framework set up for each program. Changes may be accepted by the Fonds provided that the investigator responsible for the grant requests prior authorization via email with appropriate supporting documentation.

With the exception of awards and scholarships intended for studies outside of Québec, funding is delivered in Québec. Reimbursement for services that are not available in Québec may exceptionally be eligible following prior authorization by the Fonds concerned.

RE

8.2 Indirect Research Costs

Indirect research costs are paid directly to trustee managing institutions by the Québec government to cover the general expenses directly related to the research

Version dated June 30, 2014

project. As a result, the following indirect research costs (amongst others) are not eligible to be paid out of the amount allocated for the conduct of research:

- basic facilities, including services such as heating, air conditioning, lighting, housekeeping, waste disposal, water consumption and other similar services;
- purchase, leasing, repair or maintenance of office furniture, furnishings and equipment, e.g. fax machines, filing cabinets and shelves;
- special administrative fees including:
 - bookkeeping fees;
 - library fines and additional library fees;
 - personal banking fees;
 - access to information fees;
- archival fees (data storage);
- installation, purchase or monthly rental of landline telephones or fax machines;
- building renovation, layout or expansion;
- insurance, including deductibles;
- regulatory compliance costs.

ST

8.3 Funding of Training Awards and Scholarships

Student scholarships and training awards are intended to directly support the study or research programs identified by students in their award application, in accordance with the conditions set forth in the program rules or description. The financial conditions of each award or scholarship, including conditions relating to concurrent funding, paid work, etc., are specified in the program rules or description.

RE

8.4 Compensation, Training and Professional Fees

Funding must not be used to pay salaries or salary supplements to persons whose salaries are paid out of the regular budget of a government-funded institution such as a university, a college, a government department or its institutions, or any other government agency.

Eligible Expenses

- Compensation and social benefits, where applicable, of personnel (research professionals and associates, project coordinators, clinical research personnel, research technicians, clerical staff, researchers with no institutional affiliation, information professionals, research assistants), are allowed, as per the managing institution's pay scales.

Fonds de recherche du Québec

Nature et Technologies • *Santé* • *Société et Culture*

Version dated June 30, 2014

- Costs associated with releasing the funding recipient from teaching or clinical activities to carry out research or coordination activities, only where authorized in the program rules or description.
- Master's and doctoral awards or scholarships, postdoctoral fellowships and supplements, and, where applicable, salary for graduate students and postdoctoral fellows, only where authorized in the program rules or description.
- Professional artists, consultants and expert advisors as per the financial guidelines used by the managing institution or the public sector.
- Guest speakers' fees.
- Professional fees for website development and maintenance, provided they are justified and related to the grant.
- Training and upgrading for personnel required to use specialized equipment or facilities.
- Sums or compensation paid to research subjects that have been approved by the ethics committee.
- Professional fees for ethics evaluation performed outside Québec.

Non-Eligible Expenses

- Compensation of principal investigators, co-investigators or regular members, except in the case of research centre grants (FRQS).
- Salaries of persons already paid by a postsecondary or research institution or any other source.
- Tuition fees.
- Professional corporation and association dues and practice licence fees.
- Severance pay.
- Consulting fees between colleagues at a Québec university or institution.
- Salaries of students registered in institutions outside Québec.
- Any part of the salaries or social benefits of persons whose university status renders them eligible for Fonds funding.
- Administrative salaries, except when specified in the program rules or description.
- Staff bonuses and rewards.
- Paid union leave.
- Supplementary employment insurance benefits for maternity leave.
- Professional fees for researchers outside Québec.

RE

8.5 Travel and Subsistence Costs (as per the Financial Guidelines of the Québec Institution of the Researcher Concerned)

Eligible Expenses

- Cost of land travel up to the equivalent of economy airfare at the lowest rate available and subsistence costs necessary for the execution of activities related to the grant. These costs are only covered for the researchers, their research personnel, students under their direction, their collaborators, and research subjects where applicable.
- Travel cancellation insurance, seat reservation fees, first checked bag fees.
- Travel health insurance premiums for research personnel who do not receive any such benefits from their organization and/or other sources.
- Entry visa fees (for grant holders or research personnel) if necessary for the research being undertaken.
- Participation in colloquia, science conventions, symposia or seminars, provided the objectives are in line with the funded research objectives, or that the person responsible for the grant or one of the researchers presents a paper or is otherwise actively involved in the event (e.g. chairperson, roundtable participant, facilitator). Proof of participation must be attached to the claim for expenses.
- Caregiver costs for persons with a dependent adult or child (as defined by the Québec taxation system and, more specifically, single parents, nursing mothers, persons with an elderly or disabled dependent, etc.) due to short-term travel undertaken for scientific activities (maximum of \$1,000 per year per grant).

Non-Eligible Expenses

- Selection interviews of students or researchers.
- Travel expenses during a sabbatical or unpaid leave.
- Commuting between home and workplace or between two workplaces.
- Moving expenses, laboratory relocation and transport of personal goods.
- Airline fare for travel in first class or business class.
- Costs associated with passports and immigration, vaccines and medications, insurance and visas.
- Costs unrelated to project safety and security for work in the field (purchase or rental of protective equipment, vaccines and medications).

RE

8.6 Materials, Supplies and Equipment (non Information Technology-Related)

Eligible Expenses

- Materials and supplies directly related to research activities, and transportation expenses where applicable
- Purchase or leasing of research equipment directly related to research activities. (Note that researchers must ensure that any equipment purchased is the most energy-efficient on the market).
- Research equipment maintenance, transportation and repair, and extended equipment warranties.
- Project safety and security for work in the field (purchase or leasing of protective equipment, vaccines and medication).
- Secure disposal of waste.

Non-Eligible Expenses

- Indirect research expenses (see list in section 8.2).
- Purchase, leasing, repair or maintenance of office furniture, furnishings and equipment, e.g. fax machines, filing cabinets and shelves.
- Insurance premiums for equipment and vehicles used for the research.

RE

8.7 Common Research Platforms or Infrastructures

The Canadian Foundation for Innovation (CFI) and a number of other funding organizations have contributed to the installation of common research platforms, some of which are in the research centres and laboratories of researchers funded by the Fonds.

These common research infrastructures are a favoured means of supporting cutting-edge research that contributes significantly to enhancing the competitiveness of Québec researchers. However, these platforms, often consisting of specialized equipment or a specific combination of equipment and resources, not only mean high purchase costs but also hefty operating and maintenance costs.

The FRQS authorizes the use of infrastructure funding to fund the operation of such equipment, or groupings of equipment and resources, to the extent that this use is permitted in the program rules or description and is justified and necessary in the context of the Fonds grant.

8.8 Computer Supplies, Telecommunications and Data Banks

Eligible Expenses

- Computers, tablets, modems, emerging technology and other hardware and/or specialized software required for the research being undertaken and not normally provided by the institution, with adequate justification.
- Monthly charges for the use of the Internet at the institution, only when this service is required for the purpose of the research being undertaken and not normally provided by the institution free of charge, subject to appropriate justification.
- Cellular phones, smartphones or other electronic devices when they are necessary for the research being undertaken (e.g. for data collection) and/or for personnel safety reasons with adequate justification.
- Monthly plan fees for electronic devices when being used for research purposes (e.g. data collection) and/or for personnel safety reasons only.
- Data banks (access or purchase).
- Video conferencing costs.

Non-Eligible Expenses

- Monthly connection or rental costs of telephones.
- Connection or installation of lines (telephone or other links).
- Voice mail services fees.
- Library acquisitions, computer and other information services provided to all members of an institution.

RE

8.9 Dissemination of Research Outcomes, Reproduction, Publishing, Reprography or Translation

Eligible Expenses

- Reproduction and dissemination of funded research.
- Translation of research articles and reports.
- Knowledge transfer activities (e.g. organization of seminars, study days, symposia or training sessions; use of all other suitable means for knowledge transfer and dissemination to the general public).
- Website development and maintenance related to the grant.

Non-Eligible Expenses

- Costs associated with the protection of intellectual property (patents or licences), technology transfer activities or commercial development.
- Printing or reproduction of books.

RE

8.10 Other Non-Eligible Expenses

- Financial contributions that are not directly related to the execution of funded research activities.
 - The transfer of funds to any other account not related to the grant.
 - Costs associated with the submission of a grant renewal application.
 - Entertainment, hospitality and gifts.
 - Alcoholic beverages.
 - Meal costs that exceed the per diem amount of the managing institution, or meal costs that are a part of regular interactions with colleagues (e.g. staff meetings).
 - Education-related costs such as thesis preparation, tuition and course fees
 - Professional training or development, such as computer or language courses.
 - Preparation of teaching materials.
 - Costs associated with regulatory compliance, including ethical review carried out in Québec, biohazard or radiation safety, environmental assessments and provincial or municipal regulations or by-laws (covered by the indirect research costs grant or FIR).
-
- Monthly parking fees for vehicles, unless specifically required for work in the field.
 - Exempted or refundable sales tax.
 - Costs of regular clothing.
 - Banking fees.

APPENDIX 1: RESEARCHER STATUS

a) FRQNT status definitions

CHA	Affiliated researcher	Faculty member or researcher who holds a doctorate or its equivalent and is working in a Québec university but does not belong to its regular staff.
COL	Collaborating researcher	University researcher or a researcher in practice setting contributing to research activities punctually or occasionally. This person may join a cluster or a team as a collaborator but not as a regular member. His scientific production is not evaluated.
CHC	College researcher	Full-time faculty member at a general or vocational college, a private government-approved college, or a government school that offers postsecondary education. A college researcher can also be a part-time or full-time researcher in a college centre for technology transfer.
CHG	Government researcher	Researcher from a government department or agency.
CHI	Industrial researcher	Researcher from industry.
CE	Institutional researcher	Person who works in a Quebec research institution and whose salary is paid out of the regular budget of this institution, holds a doctorate and has a university affiliation allowing him to supervise or co-supervise master's and Ph.D. students for the duration of the grant being applied for. He is afforded the same conditions regarding the protection of academic freedom as Quebec university or college researchers. The institution is also subject to the same requirements concerning research ethics, integrity and intellectual property as Quebec university or college researchers. The institution is also subject to the same requirements concerning research ethics, integrity and intellectual property as Quebec university or college researchers. The researcher's home institution must make a formal commitment to this effect.
CHUN	New university researcher	<p>University researcher at a Québec university who holds a regular full-time position leading to tenure for less than five years at the competition deadline, or before September 1 of the following year at the latest. A new university researcher must meet the same criteria as those of a university researcher.</p> <p>University researcher who satisfies "New university researchers start-up program" (Établissement de nouveaux chercheurs universitaires) eligibility criteria is considered new researcher (CHUN).</p>
STP	Postdoctoral research fellow	Person who performs, full-time and for a pre-determined period, a supervised postdoctoral research fellowship with a researcher, a group, a team, a centre, a cluster or a network, and who contributes actively to their research work.

Fonds de recherche du Québec

Nature et Technologies • Santé • Société et Culture

Version dated June 30, 2014

CHO	Professorial fellow	<p>Researcher who must occupy a position or have received a firm offer of appointment to a position in a Québec university. This may be a position as a regular professor leading to tenure or a position for a period of at least three years.</p> <p>The professorial fellow's nomination must be approved by the person(s) or body responsible for university nominations or their representative(s), in keeping with the regulations of the institution.</p> <p>The position must enable the professorial fellow to carry out research activities without the supervision of another researcher and individually or jointly supervise undergraduate or graduate students and postdoctoral fellows.</p>
CHH	Researcher outside Québec	Researcher in a research environment located outside Québec.
CHS	Researcher without a recognized institutional affiliation	Researcher who lives in Québec and who does not have a position with or is not remunerated by any public or private research or educational institution in Québec or elsewhere.
CHCT	Retired college researcher	Researcher from a general and vocational college, private college declared to be of public interest, government school that provides post-secondary education or college centre for technology transfer. He is no longer employed by the institution but is pursuing his research activities.
CHUT	Retired university researcher	Researcher who must, for the duration of the grant, be visiting, associate or emeritus professor in a Québec university and be authorized by his institution to direct research projects and supervise graduate students.
DS	Scientific director	Person who shows scientific leadership in his field; has the status of university researcher or institutional researcher; and who has been released from at least 50% (university) or 25% (affiliated university centre) of his professional or teaching duties in order to direct research at an institution. A scientific director may be the head of a team that is the recipient of an infrastructure grant.
ET	Student	Person who attends a Québec university, generally full-time.
CHU	University researcher	<p>Regular faculty member in a Québec university, has a Ph.D. or equivalent or has a position equivalent to that of a professor, and is authorized by his institution to direct or co-direct graduate research theses or dissertations. The remuneration of CHU researcher is included in the regular budget of their university.</p> <p>Researcher subsidized by a Canadian or Québec funding agency is also considered CHU researcher.</p>
VIS	Visiting researcher	Researcher from an institution other than the one with which the applicant is affiliated and who takes part in the research activities of a group, team, or centre for a set period.

Fonds de recherche du Québec

Nature et Technologies • Santé • Société et Culture

Version dated June 30, 2014

b) FRQSC status definitions

CHA	Affiliated researcher	Faculty member or researcher who holds a doctorate or its equivalent and is working in a Québec university but does not belong to its regular staff.
COP	Collaborator in a practice setting or Collaborating practitioner	Person who does not occupy a paid position in a research institution, college or university. He comes from practice setting such as public organization, whether governmental or non-governmental, or private enterprise.
CHC	College researcher	Full-time faculty member of a general or vocational college, private college of public interest or government school that provides post-secondary education. A college researcher may also hold a regular full- or part-time position in a college centre for technology transfer. A college researcher-creator also meets these criteria, but his tasks involve creation or performance activities.
CHG	Government researcher	Researcher from the government sector.
CHI	Industrial researcher	Researcher from an industrial sector.
CE	Institutional researcher	Person who works in a Québec research institution and whose salary is paid out of the regular budget of this institution; has a doctorate and a university affiliation allowing him to supervise or co-supervise graduate and postgraduate students, for the duration of the grant being applied for; is afforded the same protective conditions (including the protection of academic freedom) as Québec university or college researchers; is subject to the same requirements concerning research ethics, integrity and intellectual property as Québec university or college researchers. The researcher's home institution must make a formal commitment to ensuring that all of these conditions will be met.
CEN	New institutional researcher	Institutional researcher for less than three years who meets the same criteria as those for an institutional researcher.
CHUN	New university researcher	University researcher at a Québec university who has occupied a regular full-time position leading to tenure for less than five years at the competition deadline, or before June 1 of the following year at the latest. A new university researcher must meet the same criteria as those of a university researcher.
CRUN	New university researcher-creator	University researcher-creator who has occupied a regular full-time position leading to tenure for less than 7 years at the competition deadline, or before June 1 of the following year at the latest. A new university researcher-creator must meet the same criteria as those of a university researcher-creator.

Fonds de recherche du Québec

Nature et Technologies • Santé • Société et Culture

Version dated June 30, 2014

STP	Postdoctoral research fellow	Person who performs, full-time and for a pre-determined period, a supervised postdoctoral research fellowship with a researcher, a group, a team, a centre, a cluster or a network, and who contributes actively to their research work.
ARQ	Professional artist	Artist who creates or performs artworks for his own account, is recognized by his peers in his discipline and signs works which are disseminated in a professional context.
ARH	Professional artist from outside Québec	Artist coming from an artistic environment outside Québec who creates or performs artworks for his own account, is recognized by his peers in his discipline and signs works which are disseminated in a professional context.
PC	Research practitioner	Professional who holds a position as a practitioner in an institution and who is released from all or part of his professional duties to be able to devote time to research activities recognized by the institution: participation in the formulation and execution of research projects, collaboration in the drafting of pedagogical documents for practitioners, collaboration in scientific communication or diffusion activities within the institution or in the network.
CHH	Researcher outside Québec	Researcher who comes from a research environment that is not located in Québec.
CHS	Researcher without a recognized institutional affiliation	Researcher residing in Québec but not holding a position nor being paid by any research or teaching institution, private or public, in or outside Québec.
CHUT	Retired university researcher	Researcher who must, for the term of the grant, be a visiting, associate or emeritus professor in a Québec university and authorized by his institution to supervise research projects and students.
CRUT	Retired university researcher-creator	Researcher-creator who must, for the term of the grant, be a visiting, associate or emeritus professor in a Québec university and authorized by his institution to supervise research projects and students.
DS	Scientific director	Person who shows scientific leadership in his field; has the status of university researcher or institutional researcher; and who has been released from at least 50% (university) or 25% (affiliated university centre) of his professional or teaching duties in order to direct research at an institution. A scientific director may be the head of a team that is the recipient of an infrastructure grant.
ET	Student	Person who attends a Québec university, generally full-time.

Fonds de recherche du Québec

Nature et Technologies • Santé • Société et Culture

Version dated June 30, 2014

CHU	University researcher	<p>Regular faculty member in a Québec university who holds a doctorate or an equivalent status or a researcher who holds a position equivalent to that of a professor and who has been authorized by his institution to supervise or co-supervise graduate and postgraduate students. The salary of the university researcher must be paid out of the university's regular budget.</p> <p>A research fellow who has obtained a grant from a Québec or Canadian funding agency is also a university researcher.</p>
CRU	University researcher-creator	<p>Regular member of the faculty of a Québec university, whose work involves creative or performance activities, who engages in a sustained creative practice and who is authorized by his institution to direct research-creation projects and train students enrolled at the graduate and post-graduate levels. The salary of a university researcher-creator must be paid out of the university's regular budget.</p>
VIS	Visiting researcher or visiting researcher-creator	<p>Researcher from an institution other than the one with which the principal applicant is affiliated and who participates, on a term basis, in the research activities of a team, group or centre.</p>

c) FRQS status definitions

Clinical research scholar	Independent clinical investigator with a professional university degree in a human health sciences and who conducts part-time research (at least 50 % of professional activities) in one of the following fields: 1) basic research, 2) clinical and epidemiological research 3) health and society.
College researcher	Full-time faculty member of a general or vocational college, private college of public interest or government school that provides post-secondary education. A college researcher may also hold a regular full- or part-time position in a college centre for technology transfer. A college researcher must hold a doctorate.
Independent clinical investigator	Independent investigator who has received basic academic training and has a degree in the discipline in which he practises his profession. An independent clinical investigator also needs a valid license to practise in Québec.
Independent investigator	Person who has a doctorate or its equivalent and a university affiliation allowing him to supervise graduate and postgraduate students; is autonomous vis-à-vis his research activities; and who occupies a regular professorial or research position at a Québec university or a regular research position in a Québec health and social services institution. Professional diploma holders must have completed a minimum of two years of full-time research training.
Postdoctoral fellow	Person who performs, full-time and for a pre-determined period, a supervised postdoctoral research fellowship with a researcher, a group, a team, a centre, a cluster or a network, and who contributes actively to their research work.
Research scholar	Independent investigator who conducts full-time research (at least 75% of professional activities) in one of the following fields: 1) basic research, 2) clinical and epidemiological research 3) health and society.
Student	Person registered at an institution for the purpose of obtaining a degree, diploma or other academic recognition at the graduate or postgraduate level and who conducts research.