

Fonds de recherche du Québec

COMMON GENERAL RULES

Updated on June 30, 2016 subject to the approval of the Ministre de l'Économie, de la Science et de l'Innovation

Québec 



Fonds de recherche du Québec

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

Updated on June 30, 2016

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PREFACE

The coming into force of Bill 130 on July 1, 2011 signaled, among other things, the restructuring of Québec's research funding agencies. 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 student 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.

Scope and Interpretation

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

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These rules are effective as of July 1, 2016 following their adoption by the Boards of Directors of the three Fonds de recherche du Québec. They apply to all programs offered during the 2016-2017 fiscal year, 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, 2016.

These rules are intended for researchers, students and the managing institutions.

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 subsection applies only to that particular group.

RE

Rules intended for researchers

ST

Rules intended for students

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

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DEFINITIONS

Applicant: A person who has submitted an application for financial support under one of the programs of the Fonds de recherche du Québec.

Award: Financial support awarded to a student following a committee evaluation, for the purpose of allowing students to begin or pursue their training.

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

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

Funding recipient: A person who has been awarded a grant or an award by the Fonds de recherche du Québec.

Grant: Financial support awarded following a peer review, for the purpose of supporting a research project, group or infrastructure within a research institution.

Indirect research costs: Costs incurred by institutions to support research. These cover the institution's general expenditures that are indirectly related to the realisation of research projects. (Also known by the French acronym FIR.)

Managing institution: A postsecondary or research institution in Québec 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 home institution of a funding recipient.

Postsecondary institution: A university, college or university institute established under the legislation in force in Québec that awards graduate diplomas or, in the case of an institution outside Québec, that has been recognized by the Ministère de l'Éducation du Québec for the purposes of financial support.

Program rules: Rules governing a particular program, available on the website of the Fonds concerned.

Research infrastructure: A grouping of facilities and equipment, services and expertise required by a community for the conduct of research, that optimizes resource use and produces an environment conducive to conducting and sustaining research (e.g.: FRQS centres) 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 (e.g.: FRQNT or FRQSC strategic clusters).

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Research institution: An institution with a mandate to conduct research, qualified research personnel and research facilities, recognized by one of the Fonds de recherche for its research activities.

Research program: A set of integrated scientific activities based on a common research theme.

Research project: Scientific activities of a specific duration whose start and end dates usually correspond to the grant period.

Status: The employment or professional or academic qualifications required to be eligible for a FRQ program and receive funding. 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.

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SECTION 1. GENERAL INFORMATION

1.1 Mandate of the Chief Scientist

The Chief Scientist of Québec, who chairs the three Boards of Directors is responsible 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 *Ministre de l'Économie, de la Science et de l'Innovation*. 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.

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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.

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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 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, as set forth in the Fonds de recherche du Québec [Policy for the Responsible Conduct of Research](#).

1.5 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 confidential nature from applicants and funding recipients, and from all individuals involved in the evaluation of funding applications and the administration of grants and awards.

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), in whatever form (digital, paper, etc.). Any personal 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. Funding application forms and other forms used to collect personal and confidential

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information provide details regarding the processing of such information and the privacy policy in effect at the Fonds. It should be noted that the processing of applications, the administration of funding and the handling of cases of breach of responsible research conduct require certain information to be shared between the Fonds de recherche du Québec. 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 required to sign a written privacy agreement.

All persons have the right to access their 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*. Requests for information on access procedures, the protection of personal information and the rights of recourse stipulated in the *Act respecting access* will be forwarded to the person responsible for the *Act respecting access* at the Fonds.

1.6 Liability of the Fonds

The Fonds make all reasonable efforts to ensure optimal service. However, they cannot be held 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 the disclosure of personal or confidential information that was not authorized by the Fonds.

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SECTION 2. ELIGIBILITY FOR FINANCIAL SUPPORT

All 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 Citizenship and Place of Residence

Funded by the government of Québec, the FRQ fulfill their mandate by supporting individuals residing in Québec and who are interested in contributing to the development of Québec research. It is therefore important that applicants and funding recipients hold a legal status and meet the following requirements throughout the term of their funding.

RE

To qualify for a grant (FRONT-FRQS-FRQSC) or a career award (FRQS), researchers must be Canadian citizens or permanent residents of Canada under the Immigration and Refugee Protection Act (S.C. 2001, c. 27) at the time of submission of the grant or career award application.

Otherwise,

RE

- Researchers must demonstrate, at the time of submission of the grant or career award application, that they hold a permit attesting to legal status and the authorization to work in Canada. Furthermore, they 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 researchers have demonstrated that they have applied for a Québec Selection Certificate from the appropriate authorities.
- To qualify for the second year of funding, the researcher must have taken the necessary steps to obtain permanent resident status and provide proof thereof.
- To qualify for the third and subsequent years of funding, the researcher must have obtained permanent resident status and provide proof thereof. The Fonds may authorize a suspension of the grant or career award for a period of six months from the beginning of the third year to allow the researcher to complete the necessary steps. After this time, the Fonds reserve the right to terminate the funding.

ST

To qualify for an award, students must be Canadian citizens or permanent residents of Canada under the *Immigration and Refugee Protection Act* (S.C. 2001, c. 2) and must be domiciled in Québec.

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ST

Students who are Canadian citizens or permanent residents but who were not previously domiciled in Québec must provide proof, at the time of submission of the scholarship or award application, that they have been resident in Québec for at least six months within the meaning of Article 5 of the *Health Insurance Act* ([COLR, c. A-29](#)) and the *Regulation respecting eligibility and registration of persons in respect of the Régie de l'assurance maladie du Québec*.

ST

Students who are not Canadian citizens or permanent residents of Canada must provide proof, at the time of submission of the award application, that a) they have been resident in Québec for at least six months within the meaning of Article 5 of the *Health Insurance Act* ([COLR, 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.

ST

To qualify for an award, students must be Canadian citizens or permanent residents of Canada and be domiciled in Québec for at least one year. Otherwise, funding for the first year will not begin until the required status is confirmed. If the student is unable to demonstrate the required status before March 1 of the year following the funding offer, the award will be cancelled.

ST

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 Status Conferring the Right to Apply for Funding

RE

Only applicants with the statuses described in Appendix 1 may apply for a grant or career award, unless otherwise specified in the program rules.

Applicants cannot have researcher and student or postdoctoral fellow status simultaneously.

ST

Only applicants with student or postdoctoral fellow status (refer to Appendix 1 for detailed definitions) may apply for an award.

2.3 Other Conditions

Applicants must have accounts in good standing with the Fonds, including having provided any requested reports and having returned or paid any money owed to the Fonds. The determination of whether or not an account is in good standing is at the sole discretion of the Fonds.

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A person currently declared ineligible to apply for or hold funding from the Fonds or any other public funding agency for reasons of breach of responsible research conduct cannot apply for funding.

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SECTION 3. SUBMITTING AN APPLICATION

Only the points common to all Fonds programs are presented in this section. Please refer to the rules 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.

RE

Researchers may receive funding from more than one Fonds provided that the funding is for different research topics.

RE

Researchers may be members of more than one major funded research infrastructure if they demonstrate the merits of such involvement and divide up to 100% of their research time among the infrastructures (amount of research time spent in the major infrastructures). The percentage participation for each infrastructure is determined by the program rules. For the purposes of this section, the following are considered to be major infrastructures: Research Groups and Centres (FRQS), Strategic Clusters (FRQSC and FRQNT) and IU-CAU Infrastructures (FRQSC).

Applicants are responsible for sending their application to the appropriate Fonds by referring to the lists of research domains of the three Fonds (FRQSC; FRQS; FRQNT). If in doubt, it is the applicant's responsibility to contact the Fonds concerned for further information.

In the interest of ensuring sound management of public funds, the Fonds share information among themselves 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.

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All pages that exceed the maximum page limit will be removed from the application submitted for evaluation.

Some programs require the submission of specific documents in addition to the application form. All necessary documents must be submitted to the appropriate Fonds by the competition deadline at the latest. 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 will be submitted to the evaluation committee, unless authorized by the program rules.

3.3 Applicant's Responsibility

Applicants bear full responsibility for their application 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 or the program manager at the appropriate Fonds.

3.4 Verification of Applications

Applications are submitted electronically. The Fonds reserves the right to verify any documents submitted with the application. This may include asking for a certified copy or to see an original document to confirm its authenticity. In case of doubt, the Fonds may contact the authority that issued the document (for example, the university that awarded a diploma). Applicants must cooperate with all requests for verification without delay; failure to do so may result in the application being deemed ineligible.

3.5 False or Misleading Information

The Fonds presume the good faith of the declaration provided in funding applications or in any other document submitted at any time during the funding cycle, from the initial funding application to the final report. Applicants and funding recipients must be transparent and provide accurate and precise information. They must be conscientious about advising the Fonds of any changes in their situation, where applicable. Such qualities are essential to maintaining the trust of the Fonds in its funding recipients.

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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), any individual who submits an application containing false or misleading information to obtain or procure financial support is committing an offence, is liable to a fine and could be barred from receiving financial support for a period of up to five years. Where a legal person commits such an offence, every director or representative of that legal person who was aware of the offence may be liable to a fine. Furthermore, such a declaration constitutes a breach of responsible research conduct, as set forth in the Fonds de recherche du Québec Policy for the Responsible Conduct of Research, and may be subject to sanctions in accordance with this policy.

The Fonds reserve the right to take immediate measures to stop the use of public funds obtained through false or misleading information, and to take legal action to recover fraudulently obtained funds and claim compensation for damages caused.

3.6 Language of Application and Attachments

Applications for financial support are preferably written in French, but may also be written in English. 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.

3.7 Acknowledgement of Receipt

An acknowledgement of receipt will be sent for all non-electronic applications.

When an application is transmitted electronically to the FRQS from the applicant's electronic portfolio, acknowledgement of receipt will take the form of an automatic message that appears on the applicant's screen confirming successful transmission. In addition, on the "Mes formulaires" page of the applicant's electronic portfolio, the person will see that the status of the application has changed to "Transmis".

In a second step, all applicants will receive an e-mail from the Fonds confirming the eligibility or ineligibility of their application.

3.8 Ineligible Application

An applicant whose application is deemed ineligible will be informed of the reasons for this decision, which is final and cannot be appealed.

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SECTION 4. EVALUATION PROCESS AND FUNDING DECISIONS

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 rank the applications according to merit.

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.

For further details concerning the composition and role of evaluation committees, refer to the *Internal Rules for the Application of the 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

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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. Upon nomination, evaluation committee members sign a Declaration of Interest, and must thereon stay vigilant to identify any real, potential or apparent conflict of interest that may arise during the evaluation process.

A conflict of interest can emerge from the presence of a tension between the duties or responsibilities of a person taking part in the evaluation process and the personal interest of professional, institutional, financial or other nature. The impartiality of the committee could be compromised if the judgement or decisions of one of its members may be influenced by personal interest. For example, there may be a real, potential or apparent conflict of interest when a person taking part in the evaluation process is in one of the following situations:

- a) the person stands to gain a personal benefit (or suffer a personal disadvantage) of a professional, institutional, financial or other nature, resulting from the conduct of an activity in support of research by the Fonds¹ ;
- b) an immediate family member (spouse, child or parent) or person of special interest stands to gain a personal benefit (or suffer a personal disadvantage) of a professional, institutional, financial or other nature, resulting from the conduct of an activity in support of research by the Fonds ;
- c) a friend, extended family member or others with whom the person has a close relationship stands to gain a personal benefit (or suffer a personal disadvantage) of a professional, institutional, financial or other nature, resulting from the conduct of an activity in support of research by the Fonds ;
- d) the person maintains a recent or significant professional relationship that could create a favorable or negative bias (conflictual relationship) with another person who stands to gain a personal benefit (or suffer a personal disadvantage) of a professional, institutional, financial or other nature, resulting from the conduct of an activity in support of research by the Fonds ;
- e) the person has an institutional, organizational or business relationship, or a disciplinary affiliation, that could bias the conduct of an activity in support of research by the Fonds or its outcome ;
- f) any other situation that suggests a real, potential or apparent conflict of interest.

¹ Applicable to any person subject to the Rules: Fonds employees, evaluation committee members, scientific advisers, consultants and Fonds partners.

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Conflict of interest management measures are taken to ensure the integrity and impartiality of the evaluation process, as specified in the *Internal Rules for the Application of the Policy for the Responsible Conduct of Research to Activities in Support of Research* of each Fonds de recherche.

Using the Declarations of Interest signed by evaluation committee members, the Fonds makes every effort to avoid placing evaluators in a conflict of interest situation. Any conflict of interest that comes to light during the application evaluation process must be disclosed by the committee member in question as quickly as possible. Despite this, if an evaluator declares a conflict of interest during the committee session, the committee chair may ask the evaluator to refrain from taking part in deliberations concerning the evaluation of the application. Furthermore, the committee member in conflict of interest must refrain 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, please refer to the *Internal Rules for the Application of the Policy for the Responsible Conduct of Research to Activities in Support of Research* of each Fonds de recherche.

4.3 Integrity of the Evaluation Process

At no time may applicants or their institutional authorities make contact with evaluation committee members, unless such contact is specified as part of the evaluation process. Similarly, evaluation committee members must not make contact with applicants, unless such contact is specifically indicated in the evaluation process. The identities of evaluation committee members are kept confidential to avoid any attempt at collusion. The Fonds reserve the right to withdraw an application from competition if there is any inappropriate intervention, lobby, undue influence or collusion during the evaluation process, as stipulated in the Policy for the Responsible Conduct of Research.

4.4 Evaluation Committee Recommendations

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

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For some programs or in mid-term evaluations, evaluation committees make recommendations regarding the continuation of funding.

The evaluation committee report is final and cannot be appealed. It cannot be modified by the Fonds, except to withdraw applications in the event of ineligibility or breach of responsible research conduct.

4.5 Funding Decisions

The Boards of Directors allocate funding according to the organization's priorities and the available budget. During this decision-making process, the Board of Directors does not know the ranking of applications or the identities of the persons who could be funded. Furthermore, any member of the Board of Directors who is likely to have a conflict of interest shall withdraw from the deliberations, as laid out in the *Règlement de régie interne* adopted by the Boards of Directors. 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, modify or cancel funding without notice.

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

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SECTION 5. FUNDING CONDITIONS

5.1 Publication of Results

The Fonds inform every applicant of the acceptance or refusal of their application for financial support by means of a notice in the applicant's electronic file or by e-mail.

Competition results, including recipient names and their institutions, are published on the website of each Fonds.

At the end of the fiscal year, a final list of funding recipients and funding-related information 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 date of the offer of funding.

ST

FRQSC and FRQNT awards must be accepted or declined within the time indicated in the program rules, using the electronic form provided for this purpose. FRQS awards must be accepted or declined within 30 business days of receiving the award offer.

Any applicant who fails to meet this requirement within the prescribed time is deemed to have refused the offer of financial support.

5.3 Responsible Conduct of Research

In accepting funding from the Fonds de recherche du Québec, applicants, funding recipients, their research teams and their institutions (including research personnel and fund managers) agree to adopt a responsible conduct of research. It is the responsibility of the institutions where research activities funded by the Fonds are conducted to develop a regulatory research framework allowing the implementation of the provisions laid out in the Fonds Policy for the Responsible Conduct of Research, in complete compliance with the principles and requirements set forth therein.

In particular, institutions must be able to receive and manage allegations of breach of responsible conduct of research in accordance with the minimum requirements of the Fonds. This includes the requirement to communicate information to the Fonds concerning allegations management, the complaint's review and the final report, the investigation process and the final investigation report, when the research activity in question is made possible through funding provided by the Fonds. Applicants,

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funding recipients, their research teams as well as research staff accept that such information will be communicated to the Fonds de recherche du Québec.

The Fonds reserve the right to impose sanctions in the event of a substantiated breach of responsible research conduct or to take immediate measures in a situation requiring quick intervention (for example, to stop the inappropriate use of public funds). The same applies when a funding recipient is declared ineligible to receive funding from a public research funding agency. Public funding of research is a privilege that can be suspended, withdrawn or rendered inaccessible in the event of breach of responsible conduct of research. The Fonds de recherche du Québec *Policy for the Responsible Conduct of Research* describes Fonds requirements with regard to scientific integrity, and the procedure for addressing allegations of breach of responsible conduct. Furthermore, in the interest of sound management of public funds, information regarding sanctions imposed by the FRQ against an applicant or funding recipient will be shared between the three Fonds de recherche du Québec.

5.4 Research Ethics and Conformity

Any individual or institution that receives funding must demonstrate the highest standards of research ethics and scientific integrity.

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, usually 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

Institutions with which the Fonds have signed an agreement are responsible for ensuring that the grant-funded research project has obtained an ethics certificate from a research ethics board recognized by the institution before releasing funding to the researcher. However, at the discretion of the managing institution, up to 25% 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.

RE

If the research protocol does not call for the recruitment of human subjects before the second half of the term of the grant, the institution may release the first half of the grant and require ethics approval at the mid-term of the grant before releasing the second half of the funding. In this case, it is recommended that contact be made with the ethics committee from the start of the project. To receive the first half of the grant, the grant recipient must agree in writing not to recruit human subjects or

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use any biological materials (listed in the first paragraph of this section) without the approval of the ethics committee.

Whatever the situation, the institution must demonstrate to the Fonds its compliance with the requirements for obtaining an ethics certificate.

RE

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

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, researchers applying for funding under certain programs must indicate any potential environmental impacts of the proposed research and propose proportionate mitigation measures to minimize them, in particular when the environmental impacts could have serious or significant consequences (for example, in terms of duration or repercussions). The grant recipient 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

Award recipients 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 award recipients whose research project or program involves human subjects are required to receive basic training in research ethics.

5.5 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 (MRST, 2002²). FRQ funding recipients must expressly agree to abide by the principles of the Action Plan. Consequently, the Fonds release any claim to patents and royalties, turning them over to the public

² 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.

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institutions where the research is carried out, in accordance with the agreements made between the institutions and their researchers where applicable. It is up to the institutions to claim on the public's behalf a share of the benefits of the research activities funded by the Fonds. Whatever arrangements are in place with other partners with regard to intellectual property, the institution and the funding recipient must at least be able to use the knowledge acquired for research and teaching purposes.

Moreover, the Fonds do not fund research whose results must remain secret. Research funded in whole or in part by the Fonds cannot be subject to a confidentiality agreement that would preclude the dissemination of the results (subject to a reasonable delay to secure intellectual property rights, such as a patent). For example, intellectual property issues must not prevent or unduly delay the thesis defence. Funding recipients must agree to publish the results of their research and to acknowledge support received from the Fonds.

5.6 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 results³. 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”⁴. 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 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

³ 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).

⁴ 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».

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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. Institutions that host research activities funded by the Fonds must adhere to these fundamental research values.

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SECTION 6. ADMINISTRATION OF FUNDING AND ACCOUNTABILITY

6.1 Amount and Duration of Funding

The duration and amount of funding varies according to program.

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

ST

The conditions relating to the value of awards, eligibility periods and the duration of funding are specified in the program rules. Funding from the Fonds de recherche, recognized granting agencies and foundations that offer awards on a merit basis may cover a maximum period of up to 15 semesters.

RE

6.2 Funding Manager

The Fonds designates the managing institution to act as trustee in administering the funding and allocations for indirect research costs (FIR). In accepting this responsibility, managing institutions agree to ensure compliance with the Common General Rules, individual program rules and any contractual agreements entered into with the Fonds. The managing institution must administer the grants as the property of others.

The managing institution is the home institution of the funding recipient. The managing institution must advise the Fonds of any change to its affiliation with the grant recipient during the term of the grant.

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 (FIR) that accompanies the grant is kept by the managing institution and applies only to the research projects.

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 funding remaining at the end of the grant term. However, any equipment thus acquired must remain at the disposal of the project for which the grant was awarded.

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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 accordance with the terms specified at the time of the funding. Financial reports must be filed on the proper form and must be signed by the funding recipient 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 Fonds provides the managing institution with a copy of all administrative correspondence with funded researchers as required for the management of the funding.

ST

Award recipients are responsible for managing their award. Funding must be used for the purpose for which it was awarded and thereby contribute to the research training of the funding recipient.

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 specified at the time of the funding or in the rules of the program concerned.

6.4 Maintaining Eligibility and Subsequent Instalments

RE

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.

RE

To receive subsequent instalments of FRQNT and FRQSC grants, at the end of every fiscal year, the persons responsible for the grant must complete a request for instalment ("Demande de versement") form in their electronic file, where applicable.

ST

FRQNT and FRQSC award recipients must claim their award instalment or request its deferral in accordance with the dates indicated in the program rules.

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

ST

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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, terminate funding or request repayment of disbursements.

ST

To make any changes to the conditions of an award or scholarship or research project, the award recipient must first send a request to the Fonds concerned using the form provided for that purpose. In the interest of fairness, prior to authorizing any change, the Fonds must ensure that such a change does not affect the result of the evaluation of the application or its eligibility for the award program. The award will be continued as long as the changes do not affect its eligibility requirements. For further details concerning instalment deferral, suspension of awards and authorized changes, refer to the program rules.

6.6 Termination of Activities

If award- or grant-funded activities are terminated during the funding period, the funding recipient 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 award recipients, the specific conditions relating to project changes, end of a study program, suspension or discontinuation from studies are specified in the program rules.

RE

6.7 Departure of the Funding Recipient

Funding recipients who leave their 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, and must provide the Fonds with complete information on their 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.

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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 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 concerned 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—including indirect research costs or FIR—between Québec institutions. In such cases, the funding recipient, along with the managing institution, remains accountable to the Fonds for use of the funding. 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.

The signing of a transfer of funds agreement prior to the transfer is strongly recommended, to provide the managing institution and the grant recipient with the necessary authority to demand proper financial reporting from the institutions and individuals to whom the funds are transferred. All parties who receive a portion of

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FRQ funding (via the managing institution) are required to fully cooperate with procedures to ensure scientific and financial accountability with regard to the use of the funds. All uses of the funds, both in and outside of the managing institution, must comply with the requirements of the Common General Rules and be for the benefit of the research proposal for which the funding was granted.

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 at the end of the funding period may also be carried over to complete research activities for which the funds were granted, for a maximum period of one year. In this event, supporting documentation must be provided in the appropriate section of the financial report (FRONT-FROSC) or to the program manager (FRQS). At the end of this additional period, any residual funds must be returned to the Fonds.

If the funding recipient 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 funding recipient 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, postsecondary institutions or funding recipients at any time in order to ensure proper management of the funding and compliance of expenditures with the program rules. Managing institutions, postsecondary institutions and funding recipients must cooperate with any such audit process if requested to do so, in the interest of ensuring the appropriate use of funding.

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RE

All grants must be recorded 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 audit in compliance with the *Financial Administration Act* (CQLR, c. A-6.001), and must provide access to accounting records and supporting documents.

Should the audit reveal non-compliance with the program rules or the Common General Rules, or should the institution fail 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 Concurrent Funding

A funding recipient may obtain only one grant or award within one program, unless otherwise indicated in the programs, in any given fiscal year.

Holding concurrent funding for the same research activities within a single project is not permitted. Funding recipients must inform the Fonds if this situation should arise. The Fonds systematically verify the application forms received to avoid double funding of research.

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 involves different research activities.

Applicants who have sought and obtained equal or greater funding from another organization for the same research proposal must decline the offer of funding from the Fonds de recherche du Québec, as soon as it is offered. If the other offer of funding is of a lower value, the conditions governing concurrent funding are set out in the program rules.

ST

In the case of awards and internships, the conditions governing concurrent funding are stipulated in the program rules.

ST

The Fonds encourage internships as part of student training. For information regarding concurrent funding or the deferral of award instalments, award recipients should refer to the individual program rules.

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6.13 Parental Leave

RE

Research project grant recipients who interrupt their research work to take maternity leave or parental leave for a birth or adoption may request an extension of the funding period, without any additional amount, for the leave period stipulated in the Act respecting labour standards (as it applies to their situation) and authorized by the managing institution. This extension period cannot be divided. If the managing institution offers a longer leave, the extension may, at the discretion of the Fonds, be as long as the leave granted by the institution in accordance with its current policies.

RE

To request a funding period extension, grant recipients must provide the Fonds concerned with a document from the grant managing institution attesting to the authorized leave duration or a medical certificate confirming their situation. The Fonds reserve the right to verify the situation of the person concerned. At the end of the leave, the researcher must inform the Fonds within the first week of resuming work on the research project.

RE

In the case of a research infrastructure, the funding recipients must make provisions for an adequate replacement during their absence. The grant cannot be extended. The persons must also provide the Fonds with complete information on their replacement including confirmation from the managing institution.

RE

Recipients of a FRQS salary award are entitled to take maternity or parental leave. The award may be deferred for a maximum of two years. The deferral period cannot be divided. The salary award recipients must advise the FRQS in writing of their intention to take parental leave.

ST

Award recipients are entitled to an instalment deferral of up to 12 months during maternity or parental leave. The instalment deferral period cannot be divided. Award recipients must advise the Fonds concerned of their intention to take maternity or parental leave and provide supporting documents in the form of a letter from the postsecondary institution confirming the suspension of the study project or program and the authorized suspension duration, or a medical certificate confirming the applicable situation (birth, adoption, interruption of pregnancy after 19 weeks). The Fonds reserve the right to verify the student's situation. Upon resuming their studies, award recipients must provide the Fonds with proof of enrolment.

ST

Furthermore, during the authorized suspension of the study project for the birth or adoption of a child, students who have already begun at least one semester as an award recipient may request an award supplement for parental leave for a period specified in the program. This supplement cannot be divided. If both parents hold awards from one of the Fonds, only one of them is entitled to the award supplement.

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Upon resuming their studies, award recipients must provide the Fonds with proof of enrolment.

ST

The Fonds reserve the right to refuse any leave requests that contain insufficient justification or that do not comply with the conditions set out in the Common General Rules and individual program rules.

6.14 Medical Leave and Other Types of Leave Provided under the Act Respecting Labour Standards

RE

Research project grant recipients who interrupt their research work to take 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, without any additional amount, for the leave period applicable to their situation and authorized by the managing institution. This extension period cannot be divided. If the managing institution offers a longer leave, the extension may, at the discretion of the Fonds, be as long as the leave granted by the institution in accordance with its current policies.

RE

To request a funding period extension, grant recipients must provide the Fonds concerned with a medical certificate confirming their situation and a document from the grant managing institution attesting to the authorized leave duration. The Fonds reserve the right to verify the situation of the person concerned. At the end of the leave, the researcher must inform the Fonds within the first week of resuming work on the research project.

RE

In the case of a research infrastructure, funding recipients must ensure that provisions are made for an adequate replacement during their absence. The grant cannot be extended. The persons must also provide the Fonds with complete information on their replacement including confirmation from the managing institution.

RE

Recipients of a FROS salary award who interrupt their research work to take sick leave or other types of leave stipulated in the *Act respecting labour standards* (CQLR, c. N-1.1) are entitled to a deferral of their award. The deferral period cannot be divided. Salary award recipients must advise the FROS in writing of their intention to defer the award.

ST

Award recipients who interrupt their research work to take sick leave or other types of leave stipulated in the *Act respecting labour standards* (CQLR, c. N-1.1) can request an instalment deferral and the extension of their funding period.

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ST

To request an award deferral, award recipients must complete and transmit a request (indicating the duration and reason for leave) and provide supporting documents in the form of a medical certificate confirming the applicable situation or a letter from the postsecondary institution confirming the suspension of the study project or program and the authorized suspension duration. The Fonds reserve the right to verify the student's situation. Upon resuming their studies, award recipients must provide the Fonds with proof of enrolment.

RE

6.15 Leave without Pay (FRQNT and FRQSC)

A person who has received funding under the University Researchers Start-Up program (FRQNT) or the Research Creation Support for New Academics program (FRQSC) and who wishes to take an unpaid leave of absence may defer the award for a maximum of one extra year. Researchers must:

- demonstrate that the leave of absence will not jeopardize the success of the research project;
- provide, by email, supporting documentation indicating the nature and length of the planned leave;
- transmit a supporting letter from their institution to the Fonds program officer 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 research project grant recipients. In the case of research infrastructure, funding recipients must provide the Fonds with complete information on their replacement including confirmation from the managing institution.

6.16 Sabbatical Leave for Research Scholars (FRQS)

FRQS salary award recipients may take a sabbatical leave to take part in a complementary training program or a program of activities that will advance the research project. The conditions are specified in the FRQS program rules.

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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 for grants, including indirect research costs (FIR) where applicable, must be completed at the times prescribed by the Fonds in the program rules, as indicated in section 6.2.

Financial reports must be prepared using the appropriate form and must be signed by the principal investigator or, in the case of a research centre or network (FRQS), by the research director and the managing institution's designated administrator.

On request, institutions must be able to provide financial reports and any supporting documents including:

- o a list of personnel remunerated using grant: name, category, amount of compensation and length of employment in each case;
- o a list of social benefits provided;
- o a list of equipment, materials, supplies and diverse items purchased and the price of each item;
- o a list of daily travel and accommodation expenses, specifying the nature of each cost;
- o 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 grant recipient for a research project is required to prepare and submit a final report within the time prescribed by the Fonds as specified in the program rules, using the appropriate form.

RE

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, the funding recipient may not receive new funding from the Fonds until the situation has been remedied.

RE

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.

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ST

With a few exceptions, award recipients must transmit progress reports to the Fonds that provided the award (FRONT-FROSC). 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.

ST

Students who receive financial assistance for an internship must transmit a report to the appropriate Fonds that provided the internship. The conditions relating to the submission of this report are described in the program rules (FRONT-FROSC). 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 outcomes. Institutions and funding recipients 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 adoption of a global policy for the three Fonds, FROSC-funded students and researchers must continue to respect the *Policy regarding open access to published research outputs (2008)*.

Funding recipients 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

Award and grant recipients (in the case of research projects) must, in all reports, publications and papers arising from the funded research, acknowledge the funding received from the Fonds concerned, preferably indicating the award or grant number. In the case of a research infrastructure, grant recipients are encouraged to mention, during their scientific activities and on their website where applicable, the name of

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the Fonds that awarded the funding. Where the funding is obtained under a funding agreement between the Fonds and one or more partners, the partners 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.

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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 responsibility of grant recipients and their managing institution, as well as award recipients, 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. For questions relating to eligibility of expenses, researchers and award recipients 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. The Fonds are committed to ensuring that no expense should serve to provide personal gain for investigators or their 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 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.

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RE

8.2 Indirect Research Costs

Indirect research costs (known by the French acronym FIR) are the indirect costs incurred by institutions to support research. They cover the institution's general expenditures that are indirectly related to the implementation of research projects. Since 2014-2015, the Fonds de recherche du Québec are provided with a budget for the funding of the FIR exclusively for projects supported by the Fonds. In the case of research supported by a partnership between the Fonds and one of more partners, only the Fonds share of project funding is taken into consideration in calculating the FIR paid by the Fonds. Each of the other partners assumes its share of the FIR, either through the Fonds or directly to the institution.

The FIR paid by the Fonds may be used for the payment of expenditures that fall within the following categories, as these expenditures are not eligible under the funding provided for research activities:

- Research facilities
- Research resources
- Management and administration of an institution's research enterprise
- Regulatory requirements and accreditation
- Intellectual property and Knowledge mobilization

For detailed list of eligible and non-eligible expenses, please refer to the following link: <http://www.rsf-fsr.gc.ca/administer-administrer/expenditures-depenses-eng.aspx>⁵.

8.3 Funding for Award Recipients

Awards are intended only to support study or research programs, in accordance with the conditions set forth in the program rules. The financial conditions of each award, including conditions relating to concurrent funding, paid work, etc., are specified in the program rules.

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.

⁵ Source : Government of Canada, Research Support Fund, June 2016

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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.
- 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.
- 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.
- Fees for professional artists, consultants, invited speakers and expert advisors as per the financial guidelines used by the managing institution.
- 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.
- The cost of ethics review performed outside Québec, if the review performed in Québec is not recognized outside Québec (where research activities are taking place).

Non-Eligible Expenses

- Compensation of principal investigators, co-investigators or regular members, except in the case of research centre grants (FROS).
- 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.
- Staff bonuses and rewards.
- Paid union leave.

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- 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 recipients or research personnel) if necessary for the research being undertaken.
- The amount of \$230 for the employer compliance fee paid to Citizenship and Immigration Canada under the International Mobility Program (fee for hiring foreign nationals).
- 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).

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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 or the laboratory (purchase or rental of protective equipment, routine vaccinations 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 or laboratory (purchase or rental of protective equipment, essential vaccinations and medications).
- 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.

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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 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.

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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.
- Activities for knowledge transfer (e.g. organization of seminars, study days, symposia or training sessions) and dissemination to the general public (media relations, video production, social media, general public activities, production of popularized content).
- 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.
- Hospitality-related expenses (e.g. benefit evenings).
- Entertainment 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 ethics 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.

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APPENDIX 1: 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 on an ad hoc or occasional basis. This person may join a cluster or a team as a collaborator but not as a regular member. The scientific production of the researcher 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.
CHB	Research scholar	Researcher who holds a research award or salary award from a recognized funding agency. Research scholars are employed by a research institution, and their salary is totally or partially supported by the research or salary award.
CHI	Industrial researcher	Researcher from industry.
CE	Institutional researcher	<p>Researcher who:</p> <ul style="list-style-type: none"> - works in a Quebec research institution other than a university 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; - is afforded the same conditions regarding the protection of academic freedom as Quebec university or college researchers; - is subject to the same requirements concerning research ethics, integrity and intellectual property as Quebec university or college researchers. <p>A CE whose salary is partially or totally supported by a salary award must declare CHB status. The definition of CHB can be found above.</p>
CEN	New institutional researcher	Institutional researcher for less than three years who meets the same criteria as those for an institutional researcher (CE). A CEN whose salary is partially or totally supported by a salary award must declare CHB status.

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CHUN	New university researcher	<p>University researcher at a Québec university who holds a regular full-time position leading to tenure for less than three years at the competition deadline. A new university researcher must meet the same criteria as those of a university researcher (CHU).</p> <p>A CHUN whose salary is partially or totally supported by a salary award must declare CHB status.</p>
STP	Postdoctoral research fellow	<p>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.</p>
CHO	Professorial fellow	<p>Researcher who must occupy a position or have received a firm offer of appointment to a position with an annually renewable contract in a Québec university.</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	<p>Researcher in a research environment located outside Québec.</p>
CHS	Researcher without a recognized institutional affiliation	<p>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.</p>
CHCT	Retired college researcher	<p>Researcher from a general and vocational college, a private college declared to be of public interest, a government school that provides post-secondary education or a college centre for technology transfer. The researcher is no longer employed by the institution but is pursuing research activities.</p>
CHUT	Retired university researcher	<p>Researcher who must, for the duration of the grant, be a visiting, associate or emeritus professor in a Québec university. Researchers must also be authorized by their institution to direct research projects and supervise graduate students.</p>
DS	Scientific director	<p>Persons who show scientific leadership in their field; have the status of university researcher or institutional researcher; and who have been released from at least 50% (university) or 25% (affiliated university centre) of their 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.</p>

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ET	Student	Persons registered at an institution for the purpose of obtaining a degree, diploma or other academic recognition requiring that they engage in research activities.
CHU	University researcher	Regular faculty member in a Québec university, has a Ph.D. or equivalent or has a position equivalent to that of a professor. Researchers must be authorized by their 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. A CHU whose salary is partially or totally supported by a salary award must declare CHB status.
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.

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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. This person 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, a private college of public interest or a government school that offers post-secondary education. A college researcher may also hold a regular full- or part-time position in a college centre for technology transfer. College researchers-creators also meet these criteria, but their tasks involve creation or performance activities.
CHG	Government researcher	Researcher from a government department or agency.
CHB	Research scholar	Researcher who holds a research award or salary award from a recognized funding agency. Research scholars are employed by a research institution, and their salary is totally or partially supported by the research or salary award.
CHI	Industrial researcher	Researcher from industry.
CE	Institutional researcher	<p>Researcher who:</p> <ul style="list-style-type: none"> - works in a Québec research institution other than a university 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. <p>A CE whose salary is partially or totally supported by a salary award must declare CHB status.</p>
CEN	New institutional researcher	<p>Institutional researcher for less than three years who meets the same criteria as those for an institutional researcher (CE).</p> <p>A CEN whose salary is partially or totally supported by a salary award must declare CHB status.</p>

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CHUN	New university researcher	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 June 1 of the following year at the latest. A new university researcher must meet the same criteria as those of a university researcher (CHU).
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.
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	Artists who create or perform artworks for their own account, are recognized by their peers in their discipline and sign works which are disseminated in a professional context.
ARH	Professional artist from outside Québec	Artists coming from an artistic environment outside Québec who create or perform artworks for their own account, are recognized by their peers in their discipline and sign works which are disseminated in a professional context.
PC	Research practitioner	Professionals who hold a position as a practitioner in an institution and who are released from all or part of their 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 in a research environment located outside 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 duration of the grant, be a visiting, associate or emeritus professor in a Québec university. Researchers must also be authorized by their institution to direct research projects and supervise graduate students.
CRUT	Retired university researcher-creator	Researcher-creator who must, for the duration of the grant, be a visiting, associate or emeritus professor in a Québec university. Researchers-creators must also be authorized by their institution to direct research projects and supervise students.

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DS	Scientific director	Persons who show scientific leadership in their field; have the status of university researcher or institutional researcher; and who have been released from at least 50% (university) or 25% (affiliated university centre) of their 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	Persons registered at an institution for the purpose of obtaining a degree, diploma or other academic recognition requiring that they engage in research activities.
CHU	University researcher	Regular faculty member in a Québec university, has a Ph.D. or equivalent or has a position equivalent to that of a professor. Researchers must be authorized by their institution to direct or co-direct graduate research theses or dissertations. The salary of the university researcher must be paid out of the university's regular budget. A CHU whose salary is partially or totally supported by a salary award must declare CHB status.
CRU	University researcher-creator	Regular member of the faculty of a Québec university, whose work involves creative or performance activities, who engages in a sustained creative practice. Researchers-creators must be authorized by their 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.
VIS	Visiting researcher or visiting researcher-creator	Researcher or researcher-creator 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.

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c) FRQS status definitions

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 investigators who have received basic academic training and have a degree in the discipline in which they practise their 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. Independent investigators are also autonomous vis-à-vis their research activities and occupy 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. Note: the notion of "institution" does not apply to persons who supervise students outside Québec.
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.