



Annual Compliance Certificate - FAQs

Q1. What is the Annual Compliance Certificate and why am I required to complete it?

A1. The Annual Compliance Certificate is designed to clarify Researcher/Project Holder accountabilities and confirm that Researchers/Project Holders are in compliance with University and/or granting agency policies and guidelines.

Q2. Does the Annual Compliance Certificate apply to all projects?

A2. The Annual r and is valid until October

of the following year. Project holders are required to complete the certificate annually.

Q4. When is the Annual Compliance Certificate due?

A4. It is due on November 29th, 2024.

Q5. I am on a research and scholarship leave outside Canada and will return to the University of Calgary. Will you accept a scanned, signed version of the compliance certificate?

A5. To enable the ease of completion remotely, the certificate is accessed and completed through an online submission form. If you encounter issues with electronic submission please contact UService. Email: finance@ucalgary.ca Telephone: 403-210-9300.

Q6. I am collaborating on a project with another university. Are colleagues at other universities required to sign the certificate?

A6. a3.10.1Trn6 Colleagues from other institutions are not required to submit this certificate.

Q7. The certificate states that Researchers/Project Holders will be held personally liable for unauthorized over-expenditures. Does this mean I am liable for expenses that have been coded to my grant by mistake?

A7. No, the Researcher/Project Holder is not accountable for over-expenditures resulting from administrative errors that are not your own. Research Accounting will connect with Project Holders whose projects are overspent. If there are errors, Research Accounting will work with the Researchers/Project Holders involved to resolve them.



Q8. Am I responsible for transactions that one of my team members approves?

A8. Yes, assigning a delegate on your project does not relinquish your accountabilities associated with your project. It is important to ensure team members approving transactions have knowledge of the granting agency regulations and/or terms of the contract agreement and are advised of the approved budget, the terms of reference and the general policies and procedures of the University. To delegate a team member please see the link to the instructions:

<https://www.ucalgary.ca/hr/training-development/delegation-help-article>

Q9. I hold several projects. Do I have to sign a certificate for each project?

A9. No, individuals do not have to complete certificates for every project; the completion and submission of the online form covers all projects held by the project holder.

Q10. What if I do not check “Yes” to any of the items on the Financial Compliance and Eligibility Certificate?

A10. It is very important for faculty and administration to know if an individual does not believe they can be compliant with any of the items on the form. If individuals do not check “Yes” in any of the items, they are required to document why they do not believe they can be compliant and speak with their department head, associate dean (research) or dean as appropriate. All faculties and the university administration are committed to working in partnership with any individual who does not believe he/she is or can be in compliance. It is the intent to have all Researchers/Project Holders in a position to answer affirmative to all accountabilities. Note that the on-line certificate cannot be submitted without a response to each question.

Q11. What if I don't complete the Annual Compliance Certificate?

A11. All Researchers/Project Holders of externally restricted and internally restricted projects in funds 11, 12, 18, 19, 60 and 70 must complete the Annual Compliance Certificate. If an individual does not complete and submit the certificate by the set deadline, the Dean/Faculty Leadership will be notified and the Researcher/Project Holder will have his or her project accounts suspended. Demonstrating 100 per cent compliance to Tri-Council and other external agencies is critical to ensuring current and future funding is not at risk.

