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 Compliance Certificate applies to all externally restricted and internally restricted projects (i.e. projects in Funds 11,12, 18, 19, 60 and 70).

Q3. What time period does the Annual Compliance Certificate cover?

A3. The annual compliance certificate is completed in November of each year and is valid until October of the following year. Project holders are required to complete the certificate annually.

Q4. 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?

A4. 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.

Q5. I am collaborating on a project with another university. Are colleagues at other universities required to sign the certificate?

A5. No. University of Calgary Researchers/Project Holders who currently hold active or suspended projects are required to complete the compliance certificate. Colleagues from other institutions are not required to submit this certificate.

Q6. 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?

A6. 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.

Q7. Am I responsible for transactions that one of my team members approves?

A7. 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

Q8. I hold several projects. Do I have to sign a certificate for each project?

A8. 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.

Q9. What if I do not check "Yes" to any of the items on the Financial Compliance and Eligibility Certificate?

A9. 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.

Q10. What if I don't complete the Annual Compliance Certificate?

A10. 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.

Q11. Can I delegate the completion and submission of the Annual Compliance Certificate to a member of my research staff?

A11. No, the completion of the certificate cannot be delegated. All Researchers/Project Holders must complete the Annual Compliance Certificate themselves.

Q12. From the list of the policies on the form, will I be able to easily tell which of the policies and procedures have changed or if there are any new policies that I should be aware of?

A12. Yes, these have been identified on the form. The word "NEW" or "UPDATED" is noted beside the reference item to identify the policies/guidelines that have been updated since the completion of the last Annual Compliance Certificate. A Summary of Changes document has been created to provide an overview of changes that have been made to an updated policy, procedure or guideline.

- **NEW** means the reference item was not present in last year's form.
- **UPDATED** means the reference item was present in last year's form but had updates since.

Q13. How do I access and submit my Annual Compliance Certificate?

A13. The Annual Compliance Certificate is completed through an online form. The form can be accessed through the My UCalgary portal and is located under the Research tab. You must answer all questions and click SUBMIT on the form. Once you have submitted the on-line certificate you will receive an email notification confirming your submission.

Q14. Why don't I see the Annual Compliance Certificate on MyUCalgary portal under the Research tab, or I don't have a Research tab?

A14. If you do not see the Annual Compliance Certificate under your portal, it means you don't have any active projects under fund codes 11, 12, 18, 19, 60 and 70. It also means you are not required to complete the Compliance Certificate.

Q15. I don't see the Annual Compliance Certificate on MyUCalgary portal under the Research tab, or I don't have a Research tab but I am certain that I have active projects under fund codes 11, 12, 18, 19, 60 and 70. How do I complete the Annual Compliance Certificate?

A15. The link to complete the Annual Compliance Certificate can also be accessed by going directly to the finance website noted below. Click on Annual Compliance Form under the Annual Compliance Certificate section and then select the Annual Compliance Certificate 2023-2024 on the Form Available for Submission.

https://www.ucalgary.ca/finance/accounting-budgeting/research-accounting