

Western University continues to strengthen its accountability framework. As stewards of public funds we have a responsibility to ensure that research funds are utilized effectively and in accordance with the policies and guidelines of the sponsors and of the university. To assist in highlighting the most important areas and to ensure awareness on the part of those with research responsibilities, the annual research accountability report provides a reminder and evidence of our commitment to sound financial management.

The pertinent [policies and guidelines](#) account holders and researchers should be aware of include, but are not limited to:

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| Travel & Expense Reimbursement Policy & Procedures | Employment Policies |
| Travel Policy Supplement as Related to Research | Health & Safety Policies |
| Research Policies and Procedures | Employment vs Contracted Service |
| Account Receivable Policy | Conflicts of Interest Policy |
| University Records and Archives Policy | Internal Audit, Safe Disclosure Policy |

This report is intended to provide assurance that the responsibilities of Account Holders / Researchers, as they relate to the management of research funds, are being fulfilled. The report responses will be reviewed and used to evaluate our current practices and to identify where additional support and/or education may be needed.

The report is completed annually and is electronically distributed to each Account Holder / Researcher. The following is a list of statements contained in the report:

RESEARCH
I have ensured written authorization is documented for all expenditures charged to my research projects or where applicable, provided written delegation of signing authority.
I have ensured that individuals with delegated signing authority on my research projects understand and comply with University and sponsor requirements.
I have used the award only for the designated purposes for which the award was made.
I have ensured that all expenditures comply with University and funding agency policies, procedures and guidelines.
I have ensured that sufficient funds are available to cover all expenditures. Any project in an over-expended position has been resolved in accordance with the University's Administrative Policy 7.11 (Over-Expenditure of Research Accounts).
I have monitored and reviewed on a regular basis all financial transactions that have been charged to my research projects and communicated any discrepancies to my department administrator and/or Research Finance.
I have complied with Western University's Research Policies including the requirement of meeting all regulations regarding the use of animal subjects, human subjects and bio-hazardous materials and other Administrative Policies and Procedures as applicable.
I have submitted any supporting documentation required by University policy or sponsor guidelines, where necessary.
I have reviewed and signed financial reports prepared by Research Finance as required by the sponsor.
I have submitted all technical, scientific and/or progress reports by the prescribed deadlines as required by the sponsor.
I have promptly notified Research Development & Services of any changes in my employment status.
I have co-operated in the investigation of any allegation of research misconduct or misuse of funds as it relates to my research project(s).
I have ensured purchasing card transactions have been reviewed for eligibility, reasonableness as per sponsor guidelines, and the required supporting documentation has been retained.
To the best of my knowledge, I confirm that I have taken reasonable actions to ensure the accuracy and completeness of the statements answered in this report.