



CHIEF FINANCIAL OFFICER

ANNUAL ADMINISTRATIVE ACCOUNTABILITY REPORT

TO: _____
President

FROM: _____
Chief Financial Officer

For the past year, this report provides all the relevant information in connection with the financial and human resource management of my portfolio. I have certified with a check mark that each of the following statements is true, or if I have been unable to answer "Yes" to any of them, I have provided an explanation below.

- | | | | | |
|-----|--|-------|------|------|
| 1. | I have reviewed the administrative accountability reports from those who report directly to me and, based on their reports, I am generally satisfied with the overall condition of the financial records of my portfolio. | Yes__ | No__ | NA__ |
| 2. | I am aware of my responsibilities for health and safety as outlined in the Occupational Health and Safety Act and have carried them out to the best of my ability. I am satisfied that a system is in place to manage health and safety issues within my portfolio | Yes__ | No__ | NA__ |
| 3. | I have followed all applicable University policies and procedures with respect to employees including, but not limited to, policies related to hiring and termination. | Yes__ | No__ | NA__ |
| 4. | I have evaluated the performance of the staff who report directly to me and have confirmed their evaluations in writing. | Yes__ | No__ | NA__ |
| 5. | I have received a copy of the University's policy on conflict of interest which pertains to my position, read it, and I am in compliance with it. | Yes__ | No__ | NA__ |
| 6. | I have put procedures in place to ensure that those who report directly to me have been made aware of the conflict of interest policy relevant to them, and I have received written acknowledgment from Professional & Managerial staff as required. | Yes__ | No__ | NA__ |
| 7. | To the best of my knowledge, I have acted upon any irregularities or breaches of University policy and regulations and any potential non-compliance with laws or regulations or other significant issues, which may have financial implications for my portfolio. I have disclosed any significant incidents to you. | Yes__ | No__ | NA__ |
| 8. | I have followed all applicable University policies and procedures, including abiding by the Procurement Code of Ethics. | Yes__ | No__ | NA__ |
| 9. | I have reviewed and approved the annual budgets and long-term operating plans for my portfolio and believe them to be fiscally sound. | Yes__ | No__ | NA__ |
| 10. | I have personally reviewed the FIS Statement of Account and/or Management reports for those units where I maintain direct budget responsibility on a monthly basis and have satisfied myself as to the appropriateness and legitimacy of their contents. I have indicated my review of the reports by placing my signature or initials on the reports along with the date of the review. | Yes__ | No__ | NA__ |
| 11. | I have personally reviewed and approved all requests for personal expense reimbursements and accountable advance settlements for the faculty and staff who report directly to me. The approval has been indicated by my signature or the one-up approval signature on the original request form. | Yes__ | No__ | NA__ |

12. If I have delegated my authority to others, I have done so within the parameters of the Delegation of Authority guidelines and I have documented it in writing and retained the documentation in my files (see: <http://finance.utoronto.ca/policies/gtfm/financial-management/objective-and-responsibilities/delegation-of-authority/>) Yes__ No__ NA__
13. If I hold a University research grant or contract I am in compliance with the questions on the Principal Investigator Annual Administrative Accountability Report. Yes__ No__ NA__

**** Links to key policies and procedures are located on the following pages ****

Comments (if additional space is required, please attach additional pages): _____

Signature of CFO _____

Division or Unit _____

Date _____

**ANNUAL ADMINISTRATIVE ACCOUNTABILITY REPORTS
LINKS TO KEY POLICIES AND PROCEDURES**

1.	GENERAL	Policies and Procedures – Governing Council: http://www.governingcouncil.utoronto.ca/Governing_Council/Policies.htm
2.	FINANCIAL	Guide to Financial Management (GTFM): http://finance.utoronto.ca/policies/gtfm/ Travel and Other Reimbursable Expenses Policy: http://finance.utoronto.ca/policies/gtfm/travel-and-other-reimbursable-expenses/travel-and-other-reimbursable-expenses-policies-and-guidelines/ FIS Management Reports http://finance.utoronto.ca/fast/support-documentation/funds-management/reporting/management-reporting/
3.	PROCUREMENT	Procurement Policy / BPS Procurement Directive: http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/Procurement.pdf GTFM – Procurement Policies and Procedures: http://finance.utoronto.ca/policies/gtfm/purchasing-and-payments-to-vendors/purchasing-usource-and-pcard/purchasing-including-policy-and-regulations/ Procurement Services: http://www.procurement.utoronto.ca/
4.	HUMAN RESOURCES	Employment policies, including policies for administrative non-unionized staff, policies for faculty and librarians and policies for research associates: http://policies.hrandequity.utoronto.ca/ For all other documentation, refer to Human Resources Home: http://www.hrandequity.utoronto.ca/

5.	<p>RESEARCH</p> <p>Policy on Ethical Conduct in Research: http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppmar281991i.pdf</p> <p>Research Policies and Procedures: http://www.research.utoronto.ca/policies-and-procedures/</p>
6.	<p>RECORDS MANAGEMENT</p> <p>Archives and Records Management Services (UTARMS) https://utarms.library.utoronto.ca/records-management</p>
7.	<p>HEALTH AND SAFETY</p> <p>Office of Environmental Health and Safety http://www.ehs.utoronto.ca/</p> <p>Basic Health and Safety Training https://ehs.utoronto.ca/basic-health-and-safety-awareness-training-ehs002/</p> <p>University of Toronto Environmental Health & Safety Policies and Procedures: https://ehs.utoronto.ca/resources/policies-and-procedures/</p>
8.	<p>CONFLICT OF INTEREST</p> <p>Statement of Conflict of Interest and Conflict of Commitment http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppfeb012007iii.pdf</p> <p>Policy on Conflict of Interest – Academic Staff http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppjun221994.pdf</p> <p>Policy on Conflict of Interest – Librarians http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppmar091995i.pdf</p>
9.	<p>INTERNAL AUDIT – Fraud and Financial Impropriety http://www.internalaudit.utoronto.ca/Resources/Fraud_and_Financial_Impropriety.htm</p>