



PRINCIPAL INVESTIGATOR

ANNUAL ADMINISTRATIVE ACCOUNTABILITY REPORT

TO: _____
One level up (usually a Principal, Dean or Senior Administrator)

FROM: _____
Principal Investigator

For the past year, this report provides all the relevant information in connection with the financial, ethical and human resource management of my research grants and contracts. 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.

- | | | | | |
|-----|---|-------|------|-------|
| 1.0 | I have received a copy of the University’s policy on ethical conduct in research and the relevant guidelines from my division, read them, and I am in compliance with them. | Yes__ | No__ | N/A__ |
| 1.1 | I have read and agree with the summary of conditions of my research project(s) as presented in the funded research digest(s). | Yes__ | No__ | N/A__ |
| 1.2 | I believe I have complied with the terms and conditions of the grants and contracts I have received. All the expenditures were:

a) for the purpose of the project or program for which the award was made
b) in accordance with the approved budget, and
c) necessary to the research endeavour being undertaken. | Yes__ | No__ | N/A__ |
| 2.0 | 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__ | N/A__ |
| 2.1 | I have put procedures in place to ensure that the faculty and staff who report directly to me have been made aware of the Conflict of Interest Policy relevant to them, and I have received written acknowledgement from Professional & Managerial staff as required. | Yes__ | No__ | N/A__ |
| 3.0 | I have followed all applicable University policies and procedures with respect to employees including, but not limited to, policies related to hiring and termination. All employee attendance-related information (including vacations) has been entered on a monthly basis into HRIS. | Yes__ | No__ | N/A__ |
| 3.1 | I have evaluated the performance of the faculty and staff who report directly to me and have confirmed their evaluations in writing. | Yes__ | No__ | N/A__ |
| 4.0 | 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. | Yes__ | No__ | N/A__ |
| 5.0 | I have followed all applicable University procurement policies and procedures when obtaining goods and services including, where applicable, obtaining quotes, creating purchase requisitions, issuing purchase orders, and abiding by the Procurement Code of Ethics. | Yes__ | No__ | N/A__ |
| 6.0 | 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__ | N/A__ |

- 7.0 I have personally reviewed financial reports for all my FIS accounts, including my grants and contracts, and am satisfied as to the accuracy and completeness of the reports and transactions contained therein. I have indicated my review of the reports by placing my signature or initials on the report along with the date of the review. Yes__ No__ N/A__
- 7.1 I have reviewed the payroll distribution report for legitimacy of payroll expenditures recorded against all of my FIS accounts on at least a quarterly basis. I have indicated my review of the reports by placing my signature or initials on the report along with the date of the review. Yes__ No__ N/A__
- 7.2 I have personally approved all expenditures from all of my FIS accounts, both operating and research (including review of original vouchers, stubs, receipts and other documentation), or have delegated that authority, in writing, to another individual to approve the aforementioned expenditures, describing the necessity for it. The approval has been indicated by my signature/delegate's signature on the original expenditure document. In lieu of my signature, an e-mail from my U of T e-mail account may be attached to the original expenditure document. Yes__ No__ N/A__
- 7.3 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__ N/A__
- 7.4 Uncommitted balances have either been refunded or proposals for alternate uses submitted to sponsors. Yes__ No__ N/A__

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

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

Signature of Principal Investigator _____

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	<p>Procurement Policy / BPS Procurement Directive: http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/Procurement.pdf</p> <p>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/</p> <p>Procurement Services: http://www.procurement.utoronto.ca/</p>
4.	HUMAN RESOURCES	<p>Employment policies, including policies for administrative non-unionized staff, policies for faculty and librarians and policies for research associates: http://policies.hrandequity.utoronto.ca/</p> <p>For all other documentation, refer to Human Resources Home: http://www.hrandequity.utoronto.ca/</p>
5.	RESEARCH	<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.	RECORDS MANAGEMENT	<p>Archives and Records Management Services (UTARMS) https://utarms.library.utoronto.ca/records-management</p>
7.	HEALTH AND SAFETY	<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.	CONFLICT OF INTEREST	<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.	INTERNAL AUDIT – Fraud and Financial Impropriety	<p>http://www.internalaudit.utoronto.ca/Resources/Fraud_and_Financial_Impropriety.htm</p>