

CHIEF FINANCIAL OFFICER

ANNUAL ADMINISTRATIVE ACCOUNTABILITY REPORT

TO: _____
Vice-President, People, Finance & Digital Services

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.

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|-----|--|-----|----|----|
| 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 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 |

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|-----|--|-----|----|----|
| 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. | 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: https://governingcouncil.utoronto.ca/secretariat/policies
2.	FINANCIAL	Guide to Financial Management (GTFM): https://finance.utoronto.ca/policies/gtfm/ Travel and Other Reimbursable Expenses Policy: https://finance.utoronto.ca/policies/gtfm/travel-and-other-reimbursable-expenses/travel-and-other-reimbursable-expenses-policies-and-guidelines/ FIS Management Reports https://finance.utoronto.ca/fast/support-documentation/funds-management/reporting/management-reporting/ Delegation of Authority https://finance.utoronto.ca/policies/gtfm/financial-management/objective-and-responsibilities/delegation-of-authority/
3.	PROCUREMENT	Procurement Policy / BPS Procurement Directive: https://governingcouncil.utoronto.ca/secretariat/policies/procurement-policy-april-28-2020 Procurement Services - University of Toronto Procurement Policy: https://www.procurement.utoronto.ca/about-procurement/uoft-procurement-policy Procurement Services: https://www.procurement.utoronto.ca/
4.	THE DIVISION OF PEOPLE STRATEGY, EQUITY & CULTURE	Employment policies, including policies for administrative non-unionized staff, policies for faculty and librarians and policies for research associates: https://people.utoronto.ca/policies/ For collective agreements for administrative unionized staff: https://people.utoronto.ca/agreements/ For all other documentation, refer to Human Resources Home: http://www.people.utoronto.ca/

5.	RESEARCH Policy on Ethical Conduct in Research: https://governingcouncil.utoronto.ca/secretariat/policies/research-policy-ethical-conduct-march-28-1991 Research Administration Policies and Guidelines: https://research.utoronto.ca/engaging-research/research-administration-policy-guidelines		
6.	RECORDS MANAGEMENT University of Toronto Archives and Records Management Services (UTARMS) https://utarms.library.utoronto.ca/		
7.	<table border="1"> <tr> <td data-bbox="267 430 544 898">HEALTH AND SAFETY</td><td data-bbox="544 430 1511 898"> Office of Environmental Health and Safety https://ehs.utoronto.ca/ Basic Health and Safety Training https://ehs.utoronto.ca/basic-health-and-safety-awareness-training-ehs002/ University of Toronto Environmental Health & Safety Program – Policies, Procedures and Guidelines: https://ehs.utoronto.ca/resources/policies-and-procedures/ Supervisor Health and Safety Resources and Toolkit: https://ehs.utoronto.ca/home/i-am-a-supervisor/ Workplace Violence Risk Assessment http://ehs.utoronto.ca/wp-content/uploads/2021/02/Workplace-Violence-Risk-Assessment.pdf </td></tr> </table>	HEALTH AND SAFETY	Office of Environmental Health and Safety https://ehs.utoronto.ca/ Basic Health and Safety Training https://ehs.utoronto.ca/basic-health-and-safety-awareness-training-ehs002/ University of Toronto Environmental Health & Safety Program – Policies, Procedures and Guidelines: https://ehs.utoronto.ca/resources/policies-and-procedures/ Supervisor Health and Safety Resources and Toolkit: https://ehs.utoronto.ca/home/i-am-a-supervisor/ Workplace Violence Risk Assessment http://ehs.utoronto.ca/wp-content/uploads/2021/02/Workplace-Violence-Risk-Assessment.pdf
HEALTH AND SAFETY	Office of Environmental Health and Safety https://ehs.utoronto.ca/ Basic Health and Safety Training https://ehs.utoronto.ca/basic-health-and-safety-awareness-training-ehs002/ University of Toronto Environmental Health & Safety Program – Policies, Procedures and Guidelines: https://ehs.utoronto.ca/resources/policies-and-procedures/ Supervisor Health and Safety Resources and Toolkit: https://ehs.utoronto.ca/home/i-am-a-supervisor/ Workplace Violence Risk Assessment http://ehs.utoronto.ca/wp-content/uploads/2021/02/Workplace-Violence-Risk-Assessment.pdf		
8.	CONFLICT OF INTEREST Statement of Conflict of Interest and Conflict of Commitment https://governingcouncil.utoronto.ca/secretariat/policies/conflict-interest-and-conflict-commitment-statement-february-1-2007 Policy on Conflict of Interest – Academic Staff https://governingcouncil.utoronto.ca/secretariat/policies/conflict-interest-policy-academic-staff-june-22-1994 Policy on Conflict of Interest - Administrative Staff https://governingcouncil.utoronto.ca/secretariat/policies/conflicts-interest-administrative-staff-policy-june-20-2023 Policy on Conflict of Interest – Librarians https://governingcouncil.utoronto.ca/secretariat/policies/conflict-interest-policy-librarians-march-9-1995		
9.	INTERNAL AUDIT – Fraud and Financial Impropriety https://governingcouncil.utoronto.ca/internalaudit/report-fraud/reporting-incidents-suspected-financial-impropriety-procedure		