

CHAIR, DIRECTOR OR MANAGER

ANNUAL ADMINISTRATIVE ACCOUNTABILITY REPORT

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

FROM: _____
Chair, Director or Manager

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 | N/A |
| 2. | I have received and reviewed annual activity reports from all faculty who report directly to me, and satisfied myself that there are no issues that need to be addressed in my administrative accountability report. | Yes | No | N/A |
| 3. | 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. The H&S Coordinator for each unit within my portfolio has been made aware of the H&S Accountability Report. All supervisors in my portfolio have been made aware of the EHS Supervisor Due Diligence Checklist, Toolkit and other H&S resources for supervisors. | Yes | No | N/A |
| 4. | I have followed all applicable University policies, collective agreements and procedures with respect to employees including, but not limited to, policies related to hiring, vacation approvals and termination. I have also put procedures in place to ensure that all attendance-related information (including vacations) is entered on a monthly basis into HRIS. | Yes | No | N/A |
| 5. | I have evaluated the performance of the faculty and staff who report directly to me and confirmed their evaluations in writing. | Yes | No | N/A |
| 6. | 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 |
| 7. | 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 | N/A |
| 8. | I have disclosed any irregularities or breaches of University policy and regulations that I am aware of, which may have financial implications for my unit, involving myself, my faculty members, or administrative staff. | Yes | No | N/A |
| 9. | I have disclosed any potential non-compliance with government legislation or regulations or other significant issues that I am aware of, which would have a financial impact on my portfolio. | Yes | No | N/A |
| 10. | 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 and The Accessibility for Ontarians with Disabilities Act (AODA). | Yes | No | N/A |

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| 11. | I have personally reviewed the FIS Statement of Accounting and/or management reports for my units 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 | N/A |
| 12. | 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 |
| 13. | 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 | N/A |
| 14. | If I hold a University research grant, I am in compliance with the questions on the Principal Investigator Annual Administrative Accountability Report. | 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 Chair, Director or Manager

College, Faculty or Division

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.	<p>PROCUREMENT</p> <p>Procurement Policy / BPS Procurement Directive: https://governingcouncil.utoronto.ca/secretariat/policies/procurement-policy-april-4-2011</p> <p>GTFM – Procurement Policies and Procedures: https://finance.utoronto.ca/policies/gtfm/purchasing-and-payments-to-vendors/purchasing-usource-and-pcard/purchasing-including-policy-and-regulations/</p> <p>Procurement Services: https://www.procurement.utoronto.ca/</p>
4.	<p>HUMAN RESOURCES</p> <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.	<p>RESEARCH</p> <p>Policy on Ethical Conduct in Research: https://governingcouncil.utoronto.ca/media/4402/view</p> <p>Research Policies and Procedures: https://research.utoronto.ca/engaging-research/research-administration-policy-guidelines</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 https://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> <p>Supervisor Health and Safety Resources and Toolkit: https://ehs.utoronto.ca/home/i-am-a-supervisor/</p>
8.	<p>CONFLICT OF INTEREST</p> <p>Statement of Conflict of Interest and Conflict of Commitment https://governingcouncil.utoronto.ca/secretariat/policies/conflict-interest-and-conflict-commitment-statement-february-1-2007</p> <p>Policy on Conflict of Interest – Academic Staff https://governingcouncil.utoronto.ca/secretariat/policies/conflict-interest-policy-academic-staff-june-22-1994</p> <p>Policy on Conflict of Interest – Librarians https://governingcouncil.utoronto.ca/secretariat/policies/conflict-interest-policy-librarians-march-9-1995</p>
9.	<p>INTERNAL AUDIT – Fraud and Financial Impropriety https://governingcouncil.utoronto.ca/resources/fraud-financial-impropriety</p>