

Financial Certification Form

Certain Leadership Team members, other senior employees, and their Business Managers are required to complete and sign this certification. If you are one of these individuals, please answer the questions below *to the best of your knowledge and belief*. For each question, check Yes or No. If the question does not apply to your area of responsibility, check N/A (not applicable). For additional information in completing this certification, please refer to the **Frequently Asked Questions**. The completed certification must be submitted to the Associate Vice President for Accounting and Business Services (ABS). See **Fiscal Calendar** for actual due date.

#	QUESTIONS	Yes	No	N/A
1	Do you acknowledge your responsibility for the application of University policies and procedures to ensure efficient and effective use of resources and to prevent and detect fraud in the operation of your division or department?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2	Do you acknowledge your responsibility for establishing and maintaining an effective system of internal controls for business practices and systems used in your division or department? See FAQ 5.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3	Are you aware of any instances of fraud affecting the University that have not been reported to the Office of Internal Audit and Tax Compliance, Office of General Counsel, or Whistleblower Hotline? See FAQ 4.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4	Have all material transactions (including payroll transactions), accounts, and agreements, as well as accruals of revenue and expense, related to your division or department been properly recorded in the University's accounting system? See FAQs 6–11.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5	Have you informed ABS of all cash, bank accounts, and other assets maintained by your division or department? See FAQ 12.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6	Have you informed ABS of all liabilities incurred by your division or department on behalf of the University? For the purposes of the financial certification, please consider any item greater than \$10,000 to be material. See FAQ 9.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7	Have all donations been reported to the Office of Development Services and have such donations been deposited and recorded in accordance with University policy?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8	Have you pledged any University assets as collateral, entered into any borrowing arrangements, including credit cards (excluding the University Purchasing Card), or made any changes to existing lease provisions or entered into any new leases? If yes, please provide details in the space below for comments.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

9	Are you aware of any communications from regulatory agencies concerning noncompliance or deficiencies in financial reporting practices? If yes, please provide details in the space below for comments. See FAQ 13.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
10	Have all contractual requirements for which you are responsible been substantially complied with? See FAQ 14.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
11	Are you aware of any violations of laws or regulations that could have a material financial statement impact that have not been reported to the Office of Internal Audit and Tax Compliance, Office of General Counsel, or Whistleblower Hotline? See FAQs 15 and 16.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
12	Have all commitments or guarantees, whether written or oral, been reported to ABS? See FAQ 17.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
13	Are you aware of any known or reasonably suspected use of assets or funds in violation of donor restrictions? If yes, please provide details in the space below for comments. See FAQ 18.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
14	Are you aware of any related-party transactions, including sales, purchases, loans, transfers, leasing arrangements, guarantees, and amounts receivable from or payable to related parties? If yes, please provide details in the space below for comments. See FAQ 19.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
15	Have you read the Document Retention and Destruction Policy , and has your division or department adhered to the respective retention schedule?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

COMMENTS (If additional space is required, please attach additional pages)

Primary Leadership Team/Senior Employee Name

Division

Department

Signature

Date

Updated: 06/22/2022

Clear Form