

PREVENT DETECT REPORT

"Our decisions impact the individuals around us and the University"

Each year the University is entrusted with funding from governments, external agencies, donors, students and other partners. This funding keeps the University operating; it allows us to pursue the University's mission to create, communicate and apply knowledge while providing supports to students, faculty and staff.

As a publicly funded institution, we each have a role in the management of University assets and in demonstrating our commitment to the University's shared values.

Through prevention, detection and open communications we can practice appropriate financial stewardship and make sound financial decisions that contribute to the ongoing success of our University.

Prevent

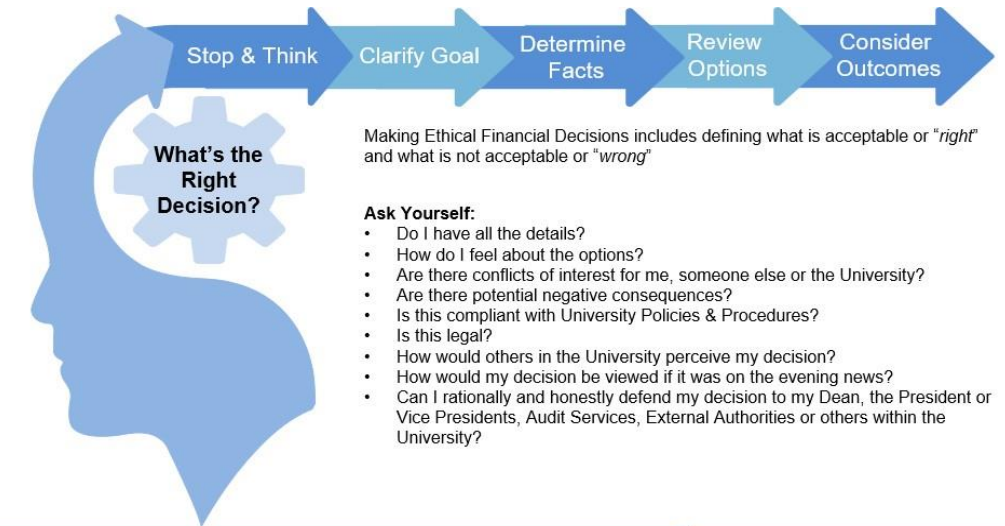
Prevention helps stop unwanted outcomes before they occur. Some steps you can take to prevent improper financial activity include:

- Ensure financial controls are practiced in your Faculty or Unit.
 - * For example, lock rooms & buildings, keep passwords secure, review financial reports, lock up cash & cheques, review pay authorizations, ensure approvals are obtained from authorized individuals etc.
- Segregate financial duties and responsibilities so that the same person is not solely involved in all aspects of a transaction from start to finish.
- Monitor financial transactions on regular basis.
- Read the University Policies and Procedures to understand the right way to do something.

Detect

Using a decision process that focuses on financial ethics helps us detect a problem before it grows.

The following is a guide to making ethical financial decisions and includes questions we should all ask when making financial decisions at the University.

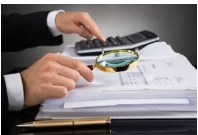


Report

Safeguarding the assets and reputation of the University requires a team effort.

Through prevention and detection, improper financial activity can be limited from occurring but when you suspect something is amiss and have concerns reach out for support.

Do you Suspect Fraud, a Financial Irregularity or other Improper Financial Activity?



- Contact your Supervisor or Faculty/Unit financial contact to discuss concerns. **This important step may offer clarifying information that they are aware of that can provide an immediate resolution.
- If there is no clear resolution, the concern should be reported to a central unit that you are comfortable approaching (Financial Services, Audit Services, and Human Resources staff are examples).
- The Audit Services [online disclosure tool](#) is available to provide your report discretely.

Do you Suspect a Conflict of Interest?



- Remember the [Conflict of Interest Policy](#) recognizes that conflicts may exist and sets out practices to disclose and manage them.
- Contact your supervisor if you suspect that a conflict has not been disclosed to report your concerns. **If there is no clear resolution, you should contact your Human Resources Consultant or Audit Services.

Do you Suspect a Break & Entry or Theft of Assets?



- Report the incident immediately to [Security Services](#)

If you have concerns or reason to be fearful of reprisal, remember the University's policies provide protection to individuals reporting good faith concerns. Reports of concerns of fraud and financial irregularities can be made under the [Fraud and Financial Irregularity Reporting](#) Policy. Reports can also be made under the University's [Safe Disclosure \(Whistleblower\)](#) and the [Responsible Conduct of Research](#) policies directly to the designated officers.