

October 2008

## **Annual Statement of Responsibility and Accountability for Internal Control**

This is to remind each of you of your important responsibilities related to establishing and maintaining an environment that ensures internal control within your unit(s). The importance of setting the appropriate “tone at the top” with respect to these responsibilities cannot be overemphasized. Internal control is an on-going process, involving all employees, with the objective of providing reasonable assurance that the following objectives are achieved:

- Compliance with applicable laws and regulations
- Reliability of financial reporting
- Effectiveness and efficiency of operations

It is important to each of us to understand that we are all responsible for internal control, and we are all considered to be personally accountable (by UT System policy and by state law) for management and internal control within our unit(s). While we may choose to delegate certain internal control activities to other qualified employees in our unit(s), we will be held accountable for their work. Each of us has an obligation to the taxpayers of the State of Texas, the UT System Board of Regents and to UT Arlington to be good stewards of the resources that have been entrusted to use in the management positions we have accepted.

The Management Responsibilities Handbook is available on the UT Arlington website at the [Resource Library](#). The Handbook lists UT Arlington support services departments that can assist each of us in carrying out our important administrative, financial, management, and internal control responsibilities. Additional assistance is available online via the Effectively Controlling Risks training course.

If you would like to discuss the course, contact the Office of Institutional Compliance at extension 2-2080 or email [compliance@uta.edu](mailto:compliance@uta.edu).

The University’s Internal Audit staff performs internal control audits on a cyclical basis based on their annual work plan. More information about [Internal Audit](#) can be found on their website. The University’s Institutional Compliance staff visit each department when there is a change in management to provide Management Leadership Training and perform a quality assurance review once the training is complete. The Management Leadership Tool is available on the [Institutional Compliance website](#). The focus of both of these engagements will be the department’s financial and administrative controls that are in place at either the University or the departmental level. I encourage each of you to cooperate fully with members of both our Internal Audit and Institutional Compliance staff; they are working very hard to help us enhance our systems of internal control and ensure that appropriate accountability is achieved.

If you would like additional information about Institutional Compliance or Internal Audit, please contact Jennifer Chapman at [jchapman@uta.edu](mailto:jchapman@uta.edu) or Ken Schroeder at [kenschro@uta.edu](mailto:kenschro@uta.edu).

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