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The University of Texas at Austin

Texas Education Research Center

June 2023

Office of Internal Audits
UT Austin's Agents of Change



OFFICE OF INTERNAL AUDITS
THE UNIVERSITY OF TEXAS AT AUSTIN

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Executive Summary

Texas Education Research Center Project Number: 23.032

Audit Objective

The objective of this audit was to determine whether the Texas Education Research Center (Texas ERC) complies with the State of Texas Interagency Cooperation Contract (Contract) between The University of Texas at Austin (UT Austin) and the Texas Higher Education Coordinating Board (THECB).

Conclusion

Overall, the Texas ERC complies with the Contract terms, and there were no reportable issues. Several information technology (IT) controls were observed, as follows:

- Policies and procedures were created and updated to ensure confidential information is not removed.
- The IT infrastructure had the necessary controls limiting confidential data to authorized users.
- Workstations required multi-factor authentication (username, password, and security token) for users to log in.
- Remote access controls for authorized users accessing confidential data.

Audit Observations

No recommendations were provided.

Engagement Team¹

Mr. Paul Douglas, CISA, CCSFP, IT Audit Director
Mr. Matthew Stewart, CISA, IT Audit Associate Director
Ms. Samantha Tatum, CISA, IT Audit Senior
Ms. Andrea Rios, Auditor I

¹ This project was co-sourced with EisnerAmper.



Scope, Objectives, and Methodology

This audit was conducted in conformance with The Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*. Additionally, we conducted the audit in accordance with Generally Accepted Government Auditing Standards and meet the independence requirements for internal auditors. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our conclusions on our audit objectives.

In accordance with the Contract, we are required to annually certify that the Texas ERC complies with the Contract terms. In general, the Contract requires the Texas ERC to secure electronic data, restrict and monitor access to electronic data, obtain reviews by the UT Austin Information Security Office and the Texas Department of Information Resources, certify researchers are approved and sign non-disclosure agreements, and submit payments to the THECB for costs necessary to prepare and maintain ERC data. To certify compliance, we reviewed policies and procedures on operations, research, and security; reviewed access and required documentation; interviewed staff; tested data security; and tested limited fiscal year financial transactions.

Report Submission

We appreciate the courtesies and cooperation extended throughout the audit.

Respectfully Submitted,

A handwritten signature in blue ink that reads "Sandy Jansen".

Sandy Jansen, CIA, CCSA, CRMA, Chief Audit Executive

Distribution

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