

# Texas Education Research Center

*August 2021*



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**The University of Texas at Austin  
Office of Internal Audits  
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**OFFICE OF INTERNAL AUDITS**  
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August 5, 2021

President Jay C. Hartzell  
The University of Texas at Austin  
Office of the President  
P.O. Box T  
Austin, Texas 78713

Dear President Hartzell,

We have completed our audit of the Texas Education Research Center (Texas ERC) as part of our Fiscal Year 2021 Audit Plan. The objective of the audit was to determine whether the 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). The report is attached for your review.

Overall, the Texas ERC complies with the Contract terms, and there were no reportable issues.

Please let me know if you have questions or comments regarding this audit.

Sincerely,

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

Sandy Jansen, CIA, CCSA, CRMA  
Chief Audit Executive

cc: Dr. Celeste Alexander, Director, Texas Education Research Center  
Ms. Monica Horvat, Director of Administration, Office of the President  
Dr. Charles Martinez, Jr., Dean, College of Education  
Dr. Pedro Reyes, Executive Director, Texas Education Research Center  
Dr. Victor Saenz, Department Chair, Educational Leadership and Policy  
Dr. Catherine Stacy, Chief of Staff, Office of the Executive Vice President and Provost  
Dr. Sharon Wood, Executive Vice President and Provost



## Executive Summary

### Texas Education Research Center

Project Number: 21.037

#### 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.
- Workstations restricted access to the internet (via Group Policy Objects).

#### Scope and Methodology

In accordance with the Contract, Internal Audits is 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 current policies and procedures on operations, research, and security; reviewed current access and required documentation; interviewed staff; tested data security; and tested limited Fiscal Year 2020 financial transactions

#### Audit Observations

No recommendations were provided.



## Engagement Team<sup>1</sup>

Mr. Jeff D. Bennett, CISA, CISSP, CCSFP, IT Audit Associate Director  
Mr. Paul Douglas, CISA, CCSFP, IT Audit Director  
Ms. Madelyne Puyau, CISA, IT Audit Senior  
Mr. Matt Stewart, CISA, IT Audit Manager

## Report Distribution

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<sup>1</sup> This project was co-sourced with Postlethwaite & Netterville, APAC (P&N).