

22-118 Epic Security Certification

EXECUTIVE SUMMARY

We have completed our audit of the Epic Security Certification. This audit was performed at the request of the UTHealth Audit Committee and was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing*.

Background

The Epic environment is hosted on infrastructure maintained by Epic. As part of the Hosting Services Agreement (Agreement), UTHealth is responsible for implementing and maintaining controls that meet or exceed the standards set by Epic (Standards) as outlined in the *Your Organization's Responsibilities for Information Security* document attached to the Agreement.

On a quarterly basis, the Chief Information Security Officer (CISO) is required to perform a self-evaluation and attest to meeting the Standards. In addition to the quarterly self-evaluation, Epic requires a yearly audit of compliance with the Standards.

Objectives

We conducted a risk-based analysis in order to determine general compliance with the Standards. For this engagement, our objectives were to determine whether:

- Anti-virus/anti-malware software and patches are installed for UTHealth-managed servers and devices.
- Acceptable use policies are implemented for devices not managed by UTHealth.
- Security incidents are identified, coordinated with Epic, and resolved.
- Software features that enhance/strengthen security of the Epic environment are implemented.
- Network traffic into Epic is analyzed on the UTHealth firewall.
- Third-party vendor contracts and escalation points exist and are maintained.

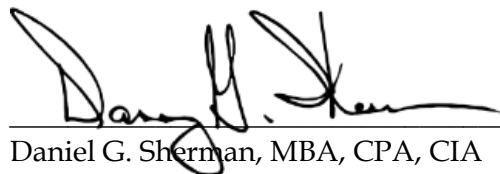
Scope

The Epic environment as of October 1, 2021.

Conclusion

Based on the procedures performed, UTHealth complies with the Standards.

We would like to thank the IT and IT Security staff and management who assisted us during our review.



Daniel G. Sherman, MBA, CPA, CIA
Associate Vice President & Chief Audit Officer

OBSERVATION RATINGS

Priority	An issue that, if not addressed timely, has a high probability to directly impact achievement of a strategic or important operational objective of UTHealth or the UT System as a whole.
High	An issue considered to have a medium to high probability of adverse effects to a significant office or business process or to UTHealth as a whole.
Medium	An issue considered to have a low to medium probability of adverse effects to an office or business process or to UTHealth as a whole.
Low	An issue considered to have minimal probability of adverse effects to an office or business process or to UTHealth as a whole.

NUMBER OF PRIORITY OBSERVATIONS REPORTED TO UT SYSTEM

None.

MAPPING TO AUDITING & ADVISORY SERVICES FY 2022 RISK ASSESSMENT

Reference	Risk
None	Not applicable - This is a required annual audit.

DATA ANALYTICS UTILIZED

None.

AUDITING & ADVISORY SERVICES ENGAGEMENT TEAM

AVP/CAO - Daniel G. Sherman, MBA, CPA, CIA
Audit Manager - Brook Syers, CPA, CIA, CISA, CFE
Auditor Assigned - Tammy Coble, CISA

END OF FIELDWORK DATE

January 26, 2022

ISSUE DATE

February 1, 2022

REPORT DISTRIBUTION

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