



The University of Texas Medical Branch
Audit Services

Audit Report

Student Enrollment Management

Engagement Number MBG25AS0019

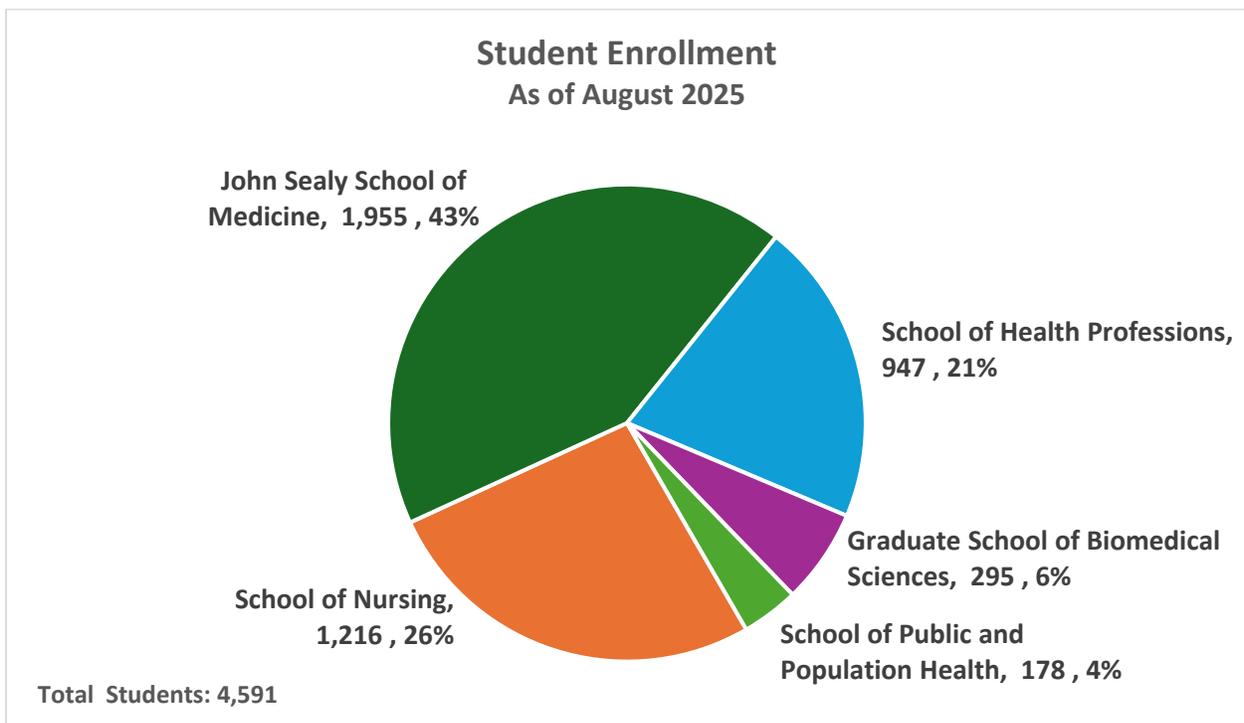
September 2025

The University of Texas Medical Branch
Audit Services
301 University Boulevard, Suite 4.100
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Background

The Student Enrollment Services audit was included in the Fiscal Year 2025 Audit Plan with the goal of evaluating the effectiveness of internal controls within the Office of Enrollment Services. The Office of Enrollment Services, also referred to as “Enrollment Services,” at the University of Texas Medical Branch (UTMB Health) supports students and academic units in the areas of admissions, financial aid, registration, academic records, and scholarships. The office is led by the Associate Vice President for Student Services and Registrar and includes a Director of Admissions and Records, an Associate Director, and an Administrative Operations Manager. The team also comprises four Senior Enrollment Services Specialists, each dedicated to supporting a specific school, and seven Enrollment Services Specialists.

As of August 2025, Enrollment Services provided support to 4,591 total undergraduate and graduate students across five schools.



Each school has its own distinct application requirements, tailored to the specific academic programs it offers. Once a student is accepted, they receive an automated email outlining the steps to accept their admission offer, access Campus Solutions, and activate their UTMB Health email account. Campus Solutions serves as the central platform where students can register for

Student Enrollment Management
Engagement Number: MBG25AS0019



classes, view grades and schedules, manage financial aid, pay tuition, and update personal information. After acceptance, students begin onboarding, which includes orientation sessions where they are officially welcomed and receive their campus badges—essential for access and identification.

In addition, Enrollment Services is responsible for the accurate and timely reporting of student enrollment data to the Texas Higher Education Coordinating Board (THECB) on a term-by-term basis (Fall, Spring, and Summer) as well as through an annual submission. This reporting process requires the verification of each student’s enrollment status every term and the confirmation of any changes in status (e.g., full-time, part-time, leave of absence, withdrawal) from one term to the next.

The Office of Enrollment Services is charged with managing, storing, and safeguarding student data in compliance with the Family Educational Rights and Privacy Act (FERPA). This includes monitoring system access to ensure that only authorized individuals have access to student records and information.

Objective, Scope, and Methodology

The audit was conducted to evaluate the effectiveness of internal controls related to student enrollment for Fiscal Year 2025. As part of this review, Audit Services assessed the control environment surrounding student enrollment reporting, as well as the processes for managing student badge access and revocation. To accomplish this, the following procedures were performed:

- Reviewed and evaluated the internal controls established by the Office of Enrollment Services for reporting student enrollment to external agencies.
- Evaluated the adequacy of controls over student information access by reviewing procedures for granting, revoking, and monitoring user access to Perceptive Content and Campus Solutions.
- Reviewed the student badge distribution and activation process to assess whether internal controls effectively mitigate the risk of unauthorized badge use.

In addition, we utilized data analytics to perform a 100% review of the following areas:

- User access to Perceptive, ensuring it is restricted to authorized personnel responsible for maintaining permanent student records.
- Timely removal of access for inactive or graduated students, as well as former faculty and staff, from Campus Solutions.

Student Enrollment Management

Engagement Number: MBG25AS0019



- Accuracy and appropriateness of hold activation and deactivation access within Campus Solutions.
- Badge access validity for active students and prompt deactivation for those who are inactive or have graduated.

Executive Summary

The audit confirmed effective monitoring and review controls over enrollment reporting to external agencies. Areas for improvement were identified in access management for Perceptive Content and Campus Solutions, and in communication with the Badge Office regarding student status changes—particularly withdrawals and dismissals. Unauthorized access to Perceptive Content and Campus Solutions places the university at risk for FERPA violations.

To address these gaps, management is encouraged to implement routine access reviews, establish timely notification protocols for status changes, and incorporate badge return instructions into the student exit process. These enhancements will strengthen data security, improve physical access controls, and support a more efficient and accountable enrollment management framework.

Detailed Results

Student Enrollment Reporting

The Office of Enrollment Services must report to the Texas Higher Education Coordinating Board (THECB) the status of each student from term to term. This reporting is performed through Campus Solutions, Qlik, and the THECB reporting portal. To ensure compliance with the THECB reporting requirements, Enrollment Services has implemented a process that integrates review, monitoring, and detection controls. These controls are designed to ensure the accuracy and completeness of all reported information each term. The process is structured to support timely identification and correction of discrepancies, contributing to the integrity of institutional reporting to outside agencies. A review of these controls proved the student enrollment reporting process to the THECB is effectively ensuring student data is accurately communicated to the required agencies timely.

Student Withdrawal & Dismissal Communication

The badge access process begins when a school admits a student and notifies the Badge Office of the newly enrolled students along with their expected graduation dates. Using this

Student Enrollment Management
Engagement Number: MBG25AS0019



information, the Badge Office creates student profiles in the Lenel Security System and prepares badges for distribution during orientation. The expected graduation date is critical, as it allows Lenel to automatically deactivate badge access.

To ensure continued accuracy, schools are responsible for updating the Badge Office if a student's graduation date changes or if the student withdraws or is dismissed. However, interviews with management revealed opportunities to improve the timeliness of these updates. Currently, there is no daily report to track student status changes, making it difficult to revoke access in a timely manner for those who graduate early or become inactive due to withdrawal or dismissal.

Additionally, when students submit their intent to withdraw through the Dean of Student Affairs, or when Enrollment Services updates a student's status, the Badge Office is not notified—further delaying badge deactivation. Enhancing communication and reporting to the Badge Office would support more timely and accurate access management.

Recommendation 001 High – Student Withdrawal & Dismissal Communication:

Enrollment Services, the Badge Office, and Information Systems should collaborate to implement a recurring communication protocol to ensure timely updates to the Badge Office when students are dismissed, withdrawn, or have changes to their expected graduation date. This process should include clearly defined roles, a consistent reporting schedule, and system-supported notifications to improve accuracy and efficiency.

Management's Response: Enrollment Services will work with Information Systems on a daily notification process to the Badge Office listing students who have been dismissed, discontinued, withdrawn or completed their degree program at UTMB so that the Badge Office can deactivate their badge.

Responsible Party: Associate Vice President Student Services and Registrar, Enrollment Services and Director, Admissions and Records, Enrollment Services

Implementation Date: December 31, 2025

Student Record Management Access

Opportunities to strengthen access management controls were identified within two key systems used by Enrollment Services: Perceptive Content (formerly ImageNow) and Campus Solutions. Perceptive Content is a document management and workflow automation system used for the permanent retention of student records. Current access review processes can be improved to ensure that user roles and business unit affiliations remain appropriately aligned over time. A recent review revealed that an employee who had transferred out of Enrollment Services retained access to the platform, underscoring the need for more robust and routine access validation procedures.

Campus Solutions is used to manage student records and apply service indicators (holds) to student accounts. During the review of Campus Solutions access to employees, it was noted that 32 out of 1,075 users were not listed on either the active roster or the separations listing, and two users retained access to Campus Solutions despite no longer being affiliated with UTMB Health.

It was also identified 3 of 44 users (7%) retained access to the service indicator page despite no longer being employed, posing a potential risk to the Family Educational Rights and Privacy Act which protects the privacy of student education records.

These observations indicate that periodic access reviews may not be consistently applied, presenting an opportunity to reinforce access management practices. Strengthening these reviews will help ensure that system access remains appropriately aligned with user roles, thereby supporting data integrity, enhancing security, and promoting operational efficiency. Access Management has developed a process that notifies all trusted requestors and the Registrar of anyone who is transferring departments or leaving the University so that they may make appropriate modifications to student records access. To further enhance this process, the Registrar should set up an automatic rule that will forward such communication to the Director of Admission and Records and the Administration Operations Manager for appropriate access changes as changes in employee status occur.

Recommendation 002 Medium – Student Record Management Access:

Enrollment Services, in collaboration with Information Security, should implement a recurring access review process to verify that access to Perceptive and Campus Solutions, including the service indicator page, remains appropriate and aligned with job responsibilities. Each review should be formally documented, capturing findings and any

Student Enrollment Management
Engagement Number: MBG25AS0019



corrective actions taken, with records retained to demonstrate continuous compliance and accountability.

Management's Response:

Enrollment Services will work with Access Management to develop a process for Trusted Requestors to review their trustee's access. The Trusted Requestors will need to review access and make any corrective changes or signoff that no changes are necessary.

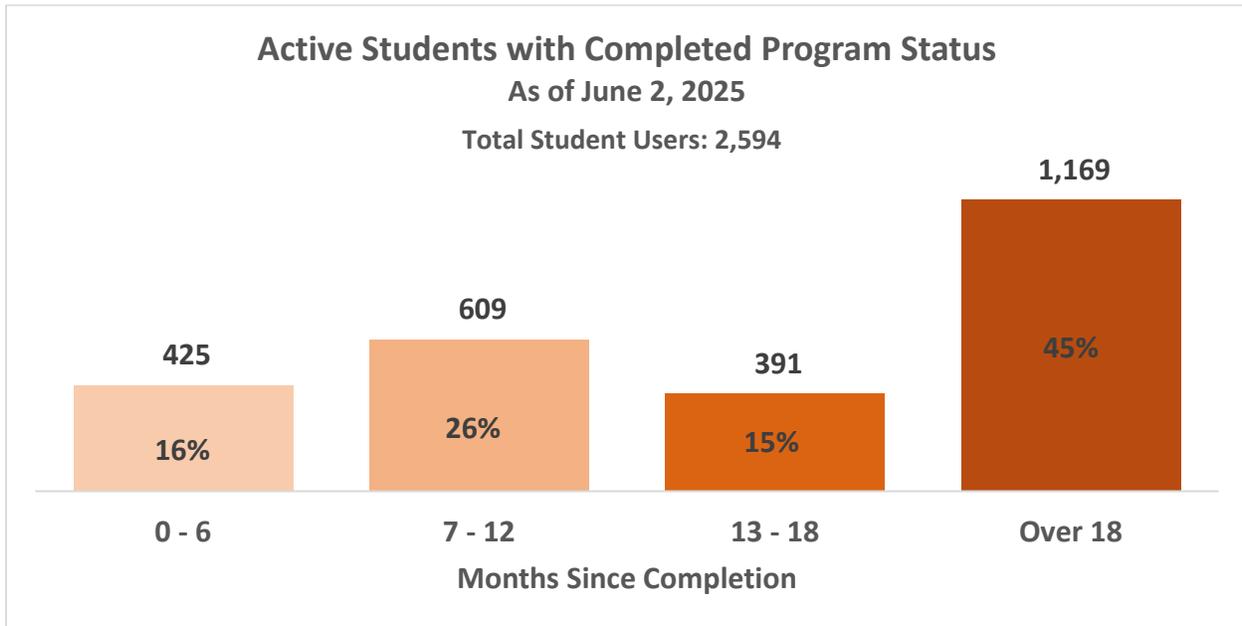
Responsible Party: Associate Vice President Student Services and Registrar, Enrollment Services and Director, Admissions and Records, Enrollment Services

Implementation Date: December 31, 2025

Campus Solutions Student User Access

Student access to Campus Solutions is automatically granted upon admission. Once a student graduates, they continue to retain access to Campus Solutions for 18 months solely to retrieve their 1098-T tax documents. When students are moved to inactive status due to dismissal or expiration of the 18-month period, access to Campus Solutions and email is automatically revoked within 24 hours. Despite these automated processes, there are limited controls in place to evaluate their effectiveness or ensure access remains appropriate throughout the student lifecycle.

Review of student access indicated 47% (2,594 of 5,556) of students with active access to Campus Solutions had previously completed their program. While Campus Solutions is designed to revoke access within 24 hours after the 18-month post-graduation period, a review of the 2,594 students who had completed their programs as of June 2, 2025, showed 45% retained access beyond the designated timeframe. This indicates a control weakness and inconsistent enforcement of access removal procedures.



To address these issues, Enrollment Services has transitioned to TouchNet, a third-party platform that enables graduates to access their 1098-T forms without logging into Campus Solutions. This shift eliminates the need for the 18-month post-graduation access period and is expected to reduce operational costs associated with maintaining active student accounts.

Recommendation 003 Medium – Campus Solutions Student User Access:

Enrollment Services, in collaboration with Information Security, should implement a recurring student access review process to ensure access aligns with current enrollment status. Additionally, controls should be established to validate that automatic provisioning and deprovisioning processes function as intended. Any discrepancies identified during these reviews should be promptly addressed, and documentation of the review process and outcomes should be retained for accountability and compliance purposes.

Management’s Response: Enrollment Services will work with Information Security to implement a process to revoke student access one month after completion of a student’s program. The Director of Admissions and Records will review completed students’ access quarterly to ensure access has been turned off one month after completion.

Responsible Party: Associate Vice President Student Services and Registrar, Enrollment Services and Director, Admissions and Records, Enrollment Services

Student Enrollment Management
Engagement Number: MBG25AS0019



Implementation Date: December 31, 2025

Retrieval of Student Badges Post Graduation

Currently, students are responsible for returning their badges upon graduation, dismissal, or withdrawal; however, collection is often difficult and frequently requires follow-up by the Badge Office or Police Department. Additionally, physical badge return instructions are not integrated into the student exit process, resulting in low compliance. This gap poses a security risk, as unreturned badges could allow unauthorized access to campus facilities.

Recommendation 004 Medium – Retrieval of Student Badges Post Graduation:

Enrollment Services and the Badge Office should collaborate to integrate physical badge return instructions into the student exit process. Additionally, Enrollment Services and the Badge Office should work with Information Technology to develop a reporting tool for outstanding badges and utilize the reporting tool to develop a monitoring process that assists in timely retrieval of badges.

Management’s Response: Enrollment Services will develop automatic communication to students in their graduating semester reminding them to return their badge and will add badge return to a graduation checklist for students. Additionally, Enrollment Services will collaborate with each school so that they develop a process to collect badges from their graduating students.

Responsible Party: Associate Vice President Student Services and Registrar, Enrollment Services and Director, Admissions and Records, Enrollment Services

Implementation Date: December 31, 2025 for communications to students; June 1, 2026 graduations for the school collection of badges.

Conclusion

We greatly appreciate the assistance provided by The Office of Enrollment Services and hope that the information presented in our report is beneficial.

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. 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 findings and conclusions on our audit objectives.

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 the University 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 the University 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 the University as a whole.
Low	An issue considered to have minimal probability of adverse effects to an office or business process or to the University as a whole.

Report Date:

September 11, 2025

Report Distribution:

To: Susanna Chubinskaya, Senior Vice President and Provost (Interim)
Cc: Dr. Jochen Reiser, MD, PhD
UTMB Health Institutional Audit Committee