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FOR
AUDIT, COMPLIANCE, AND MANAGEMENT REVIEW
COMMITTEE**

Committee Meeting: 11/14/2012

Board Meeting: 11/15/2012
Tyler, Texas

Brenda Pejovich, Chairman
Paul L. Foster, Vice Chairman
Alex M. Cranberg
Wallace L. Hall, Jr.

	Committee Meeting	Board Meeting	Page
CONVENE IN OPEN SESSION TO RECESS TO EXECUTIVE SESSION PURSUANT TO TEXAS GOVERNMENT CODE, CHAPTER 551	<i>10:00 a.m.</i> <i>Chairman Pejovich</i>		
<p>Personnel matters relating to appointment, employment, evaluation, assignment, duties, discipline, or dismissal of officers or employees - <i>Texas Government Code Section 551.074</i></p> <p style="padding-left: 40px;">U. T. System Board of Regents: Discussion and possible action regarding individual personnel issues concerning hiring a U. T. System Chief Audit Executive</p>			
RECONVENE IN OPEN SESSION FOR ACTION, IF ANY, ON EXECUTIVE SESSION ITEM AND TO CONSIDER AGENDA ITEMS			
1. U. T. System Board of Regents: Review of Consent Agenda items, if any, referred for Committee consideration	<i>10:20 a.m.</i> Action	Action	39
2. U. T. System Board of Regents: Approval of the U. T. Systemwide Annual Internal Audit Plan for Fiscal Year 2013	<i>10:21 a.m.</i> Action <i>Mr. Peppers</i>	Action <i>Regent Pejovich</i>	40
3. U. T. System: Report on the Systemwide internal audit activities, including the implementation status of significant audit recommendations, Systemwide 2012 annual audit plan status, and other reports issued	<i>10:30 a.m.</i> Report/Discussion <i>Mr. Peppers</i>	Not on Agenda	43
4. U. T. System: Annual Report on Information Security Compliance Enhancements across the U. T. System and on security of the U. T. Research Cyberinfrastructure	<i>10:45 a.m.</i> Report/Discussion <i>Mr. Burgdorf</i> <i>Mr. Watkins</i>	Not on Agenda	48
ADJOURN	<i>11:00 a.m.</i>		

1. **U. T. System Board of Regents: Review of Consent Agenda items, if any, referred for Committee consideration**

(The proposed Consent Agenda is at the back of the book.)

2. **U. T. System Board of Regents: Approval of the U. T. Systemwide Annual Internal Audit Plan for Fiscal Year 2013**

RECOMMENDATION

Interim Chief Audit Executive Peppers recommends approval of the proposed Fiscal Year 2013 U. T. Systemwide Annual Audit Plan (Audit Plan). Development of the Audit Plan is based on risk assessments performed at each institution. Implementation of the Audit Plan will be coordinated with the institutional auditors. An executive summary is on the following pages. The full Audit Plan was provided to all Regents prior to the meeting, and is available upon request.

BACKGROUND INFORMATION

Institutional audit plans, compiled by the internal audit departments after input and guidance from the U. T. System Audit Office, the Offices of Academic or Health Affairs, and the institution's management and institutional internal audit committee, were submitted to the respective institutional internal audit committee and institutional president for review and comments. Additionally, the institutional audit plans were presented at the U. T. System Administration Internal Audit Committee meeting held on September 5, 2012.

Also, the Interim Chief Audit Executive provided feedback by conducting audit plan presentations with each institution. After the review process, each institutional internal audit committee formally approved its institution's audit plan.

**The University of Texas System
Systemwide Internal Audit Program
Fiscal Year 2013 Annual Audit Plan
Executive Summary**

The University of Texas (U. T.) Systemwide fiscal year (FY) 2013 Annual Audit Plan (FY 2013 Audit Plan) is a blueprint of the internal audit activities that will be performed by the internal audit function throughout the System in FY 2013.

To provide consistency at the Systemwide level, the U. T. System Audit Office provides the institutional audit departments with guidance each June on the audit plan format, content, and development methodology, including the general risk assessment process. The annual audit plans are prepared using a risk-based approach to ensure that areas and activities specific to each institution with the greatest risk are identified to be audited. Individual annual audit plans were prepared at U. T. System Administration and each institution in July and August. The System Audit Office, the Office of Academic or Health Affairs, and the institution's management and internal audit committee provided input and guidance on the annual audit plans. Additionally, the Chief Audit Executive *ad interim* provided direction to the chief audit executives both prior to the preparation of the annual audit plans and through formal feedback through "annual audit plan presentations" with each institution.

The institutional annual audit plans were reviewed for the possibility of assurance work done by external entities during the audit year, such as the State Auditor's Office (SAO), external audit firms, federal auditors, etc. Where appropriate, other assurance work was relied upon to reduce the internal audit resources needed.

After the review process, each institutional internal audit committee formally approved its institution's annual audit plan. The FY 2013 Audit Plan is formally presented to the Audit, Compliance, and Management Review Committee and the U. T. System Board of Regents for consideration for approval at the November 2012 meeting.

The FY 2013 Audit Plan directs internal audit resources on audits and projects allocated among the categories listed below to address the risks of U. T. System. However, with potential changes in priorities that may occur during the fiscal year, institutions may request approval from their respective president and/or internal audit committee to change their budget for audits and projects or reallocate budget hours among the various categories.

Audit Area Categories	Budgeted Audit Hours	% of Budgeted Audit Hours
Financial	26,582	17%
Operational	45,285	29%
Compliance	28,985	18%
Information Technology	29,050	19%
Follow-up	5,923	4%
Projects	20,126	13%
Total	155,951	100%

Prepared by: U. T. System Internal Audit Program
Consolidated by: U. T. System Audit Office
Date: November 2012

FY 2013 Total Budgeted Audit Plan Hours by Institution:

	Financial	Operational	Compliance	Information Technology	Follow-up	Projects	Total Hours Budgeted
U. T. System Administration	4,350	6,250	2,050	3,900	800	3,480	20,830
Large Institutions:							
U. T. Austin	1,390	2,950	6,075	2,300	200	2,594	15,509
U. T. Southwestern Medical Center	1,760	2,450	5,100	2,580	1,000	2,414	15,304
U. T. Medical Branch - Galveston	825	4,272	1,360	3,300	500	1,275	11,532
U. T. Health Science Center - Houston	1,695	1,485	2,515	1,875	300	1,184	9,054
U. T. Health Science Center - San Antonio	2,100	4,400	500	1,900	500	620	10,020
U. T. M. D. Anderson Cancer Center	5,760	4,990	1,380	3,930	600	1,179	17,839
Subtotal	13,530	20,547	16,930	15,885	3,100	9,266	79,258
Mid-size Institutions:							
U. T. Arlington	750	1,520	1,490	1,420	200	850	6,230
U. T. Brownsville	940	1,325	920	790	190	691	4,856
U. T. Dallas	1,090	4,688	1,120	2,000	130	925	9,953
U. T. El Paso	2,335	3,730	2,320	1,435	525	590	10,935
U. T. Pan American	950	1,850	900	800	225	1,350	6,075
U. T. San Antonio	940	2,800	1,040	1,500	350	954	7,584
Subtotal	7,005	15,913	7,790	7,945	1,620	5,360	45,633
Small Institutions:							
U. T. Permian Basin	560	650	880	390	80	406	2,966
U. T. Tyler	770	720	750	630	150	1,334	4,354
U. T. Health Science Center - Tyler	367	1,205	585	300	173	280	2,910
Subtotal	1,697	2,575	2,215	1,320	403	2,020	10,230
TOTAL	26,582	45,285	28,985	29,050	5,923	20,126	155,951
Percentage of Total	17%	29%	18%	19%	4%	13%	100%

3. **U. T. System: Report on the Systemwide internal audit activities, including the implementation status of significant audit recommendations, Systemwide 2012 annual audit plan status, and other reports issued**

REPORT

Interim Chief Audit Executive Peppers will report on the following items:

1. Implementation status of significant audit recommendations - The Fiscal Year 2012 fourth quarter activity report on the Implementation Status of Outstanding Significant Findings/Recommendations is set forth on [Pages 44-45](#). Satisfactory progress is being made on the implementation of all significant recommendations. Significant audit findings/recommendations are tracked by the U. T. System Audit Office. Quarterly, chief business officers provide the status of implementation, which is reviewed by the internal audit directors. A quarterly summary report is provided to the Audit, Compliance, and Management Review Committee of the U. T. System Board of Regents. Additionally, Committee members receive a detailed summary of new significant findings and related recommendations quarterly.
2. The Fiscal Year 2012 annual internal audit plan status as of August 31, 2012, is set forth on [Page 46](#).
3. Other audit reports issued by the Systemwide audit program are set forth on [Page 47](#).

THE UNIVERSITY OF TEXAS SYSTEM
Implementation Status of Outstanding Significant Findings/Recommendations

Report Date	Institution	Audit	3rd Quarter 2012		4th Quarter 2012		Targeted Implementation Date	Overall Progress Towards Completion (Note)
			Ranking	# of Significant Findings	Ranking	# of Significant Findings		
U. T. SYSTEM AUDITS								
2012-05	UTA	Employee Check-Out Process Audit				1	12/31/2012	Satisfactory
2012-05	UTB	Audit of Human Resources Fiscal Year 2012		1		1	3/1/2013	Satisfactory
2011-10	UTD	Texas Administrative Code 202		1		1	12/31/2012	Satisfactory
2012-01	UTD	Environmental Health and Safety - Lab Safety		1		1	2/28/2013	Satisfactory
2012-02	UTD	Annual Financial Report for the Fiscal Year Ended August 31, 2011		3		3	11/30/2012	Satisfactory
2012-08	UTD	Payroll Department Operations				2	2/28/2013	Satisfactory
2011-06	UTPA	Employee Assignments		1		1	3/31/2013	Satisfactory
2012-02	UTPA	High School to University Programs & Testing Services		1		0	4/30/2012	Implemented
2012-05	UTPA	Office of International Admissions and Services Programa de Asistencia Estudiantil Solicitud Program		2		0	9/30/2012	Implemented
2012-05	UTPA	Texas Administrative Code 202		1		1	10/31/2012	Satisfactory
2010-12	UTPB	Annual Financial Report for the Fiscal Year Ended August 31, 2010		1		1	11/30/2012	Satisfactory
2012-08	UTPB	Dependent Eligibility Audit				1	1/31/2013	Satisfactory
2010-11	UTSA	Information Security Program		2		2	2/28/2013	Satisfactory
2012-03	UTSWMC	University Hospital Pharmaceutical and Medical Waste Management for the Fiscal Year Ended August 31, 2011		1		0	8/30/2012	Implemented
2012-04	UTMB	Chargemaster Review Process		4		4	4/30/2013	Satisfactory
2012-08	UTMB	Electronic Health Record (Epic) Meaningful Use Compliance				2	3/31/2013	Satisfactory
2012-04	UTHSC - Houston	Faculty Recruitment and Hiring Process		2		2	1/1/2013	Satisfactory
2011-11	UTHSC - San Antonio	Data Center Physical Security Audit		4		2	11/15/2012	Satisfactory
2012-03	UTHSC - San Antonio	Cancer Therapy and Research Center (CTRC) Investigational Drug Section (IDS)		2		1	12/31/2012	Satisfactory
2012-07	UTHSC - San Antonio	Active Directory Audit				2	3/31/2013	Satisfactory
2007-09	UTMDACC - Houston	Maintenance and Security of Biological Research Materials		1		1	9/3/2012*	Satisfactory
2009-03	UTMDACC - Houston	Wireless and Firewall Remote Access Security Assessment		1		1	8/31/2012*	Satisfactory
2009-05	UTMDACC - Houston	Business Continuity Plan Review		1		1	11/30/2012	Satisfactory
2010-12	UTMDACC - Houston	Human Resources Contingent Workforce		1		1	8/31/2013	Satisfactory
2011-06	UTMDACC - Houston	Effort Reporting and Certification		1		1	2/28/2013	Satisfactory
2012-04	UTMDACC - Houston	Dependent Eligibility		2		1	5/31/2012**	Satisfactory
2012-01	UTHSC - Tyler	Financial Statements as of and for the Year Ended August 31, 2011		1		0	6/1/2012	Implemented
Totals				<u>35</u>		<u>34</u>		

* Recommendation deemed to be implemented per management and awaiting verification and validation by audit.

** Awaiting updated implementation status and date from audit client.

THE UNIVERSITY OF TEXAS SYSTEM
Implementation Status of Outstanding Significant Findings/Recommendations

Report Date	Institution	Audit	3rd Quarter 2012		4th Quarter 2012		Targeted Implementation Date	Overall Progress Towards Completion (Note)
			Ranking	# of Significant Findings	Ranking	# of Significant Findings		
STATE AUDITOR'S OFFICE AUDITS								
2011-02	UTSWMC	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2010		1		0	8/31/2012	Implemented
2012-02	UTSWMC	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2011		2		1	8/31/2013	Satisfactory
2012-02	UTMB	Compliance with Federal Requirements for the Research & Development Cluster of Federal Programs for the Fiscal Year Ended August 31, 2011		1		0	8/31/2012	Implemented
2012-02	UTMB	Compliance with Federal Requirements for Selected Major Programs at the Department of Public Safety and The University of Texas Medical Branch at Galveston for the Fiscal Year Ended August 31, 2011		1		0	8/31/2012	Implemented
Totals				<u>5</u>		<u>1</u>		

Color Legend:

- Either a new significant finding for which corrective action will be taken in the subsequent quarter or a previous significant finding for which no/limited progress was made towards implementation.
- Significant finding for which substantial progress towards implementation was made during the quarter that the significant finding was first reported.
- Significant finding for which substantial progress towards implementation was made during the quarter.
- Significant finding was appropriately implemented during the quarter and will no longer be tracked.

Note: **Implemented** - The Chief Audit Executive deems the significant finding has been appropriately addressed/resolved and should no longer be tracked.
Satisfactory - The Chief Audit Executive deems that the significant finding is in the process of being addressed in a timely and appropriate manner.
Unsatisfactory - The Chief Audit Executive deems that the significant finding is not being addressed in a timely and appropriate manner.

**U. T. Systemwide Internal Audit Program
FY 2012 Annual Internal Audit Plan Status
(as of August 31, 2012)**

	Financial	Operational	Compliance	Information Technology	Follow-up	Projects	Credit for Priority Hours (Note 1)	Total Approved Priority Budget Hours (Note 2)	Variance (Hours)	Percentage Completion
U. T. System Administration	3,849	4,615	1,610	3,375	800	1,900	16,149	16,500	351	98%
Large Institutions:										
U. T. Austin	1,115	4,067	2,039	1,029	200	2,131	10,581	12,031	1,451	88%
U. T. Southwestern	1,400	1,392	3,102	1,663	750	1,800	10,107	11,000	893	92%
U. T. Medical Branch - Galveston	1,200	2,350	1,536	1,550	300	1,000	7,936	7,960	24	100%
U. T. HSC - Houston	1,455	1,532	1,465	785	300	854	6,391	7,144	754	89%
U. T. HSC - San Antonio	980	2,150	1,460	1,470	450	466	6,976	7,050	75	99%
U. T. MDA Cancer Center	4,015	4,085	1,800	2,061	600	1,150	13,711	14,100	389	97%
Subtotal	10,165	15,576	11,402	8,557	2,600	7,401	55,701	59,285	3,585	94%
Mid-size Institutions:										
U. T. Arlington	750	700	992	939	300	1,480	5,160	5,320	160	97%
U. T. Brownsville	420	1,171	655	348	250	780	3,624	4,176	553	87%
U. T. Dallas	1,101	1,950	1,086	660	85	275	5,157	5,740	584	90%
U. T. El Paso	1,710	2,720	752	805	550	310	6,847	8,464	1,617	81%
U. T. Pan American	535	1,979	787	975	250	950	5,476	5,825	349	94%
U. T. San Antonio	1,075	2,054	1,520	640	400	1,080	6,768	7,280	512	93%
Subtotal	5,591	10,573	5,791	4,367	1,835	4,874	33,031	36,805	3,774	90%
Small Institutions:										
U. T. Permian Basin	191	-	313	46	30	80	660	1,050	390	63%
U. T. Tyler	280	710	250	423	100	639	2,402	2,415	13	99%
U. T. HSC - Tyler	421	300	1,240	300	180	320	2,761	2,761	-	100%
Subtotal	892	1,010	1,803	769	310	1,039	5,823	6,226	403	94%
TOTAL	20,497	31,774	20,606	17,068	5,545	15,214	110,703	118,816	8,113	93%
Percentage of Total	19%	29%	19%	15%	5%	14%	100%			

NOTE 1:

"Credit for Priority Hours" reflects the priority budgeted hours apportioned based on completion status of the audits/projects as of 8/31/2012. The time period from 9/1/2011 through 8/31/2012 represents 100% of the annual audit plan year.

NOTE 2:

Original Total Priority Budget Hours, approved by the ACMRC for priority projects, was 118,038 hours. However, some institutions may change their Total Priority Budget Hours and/or the allocation of hours among the various categories due to changes in priorities and staffing resources during the fiscal year. These changes have been communicated to/approved by the institution's respective president and/or internal audit committee. The total priority budget hours are approximately 80-85% of total budget hours.

*U. T. Permian Basin's lower percent completion is due to staffing limitations throughout the year. The majority of the audit staff was temporarily assigned to the accounting department in order to complete the Annual Financial Report and other accounting functions when the accounting director and assistant director abruptly left their positions at the start of the fiscal year. The accounting director position was filled in March 2012; however, the employee retired at the end of July 2012. In March 2012, one of the audit staff did resume her audit function but the other staff person remains in accounting.

OTHER U. T. SYSTEM AUDIT REPORTS RECEIVED BY SYSTEM AUDIT 6/2012 through 8/2012	
Institution	Audit
UTA	National Collegiate Athletic Association Compliance - Recruiting
UTAUS	National Collegiate Athletic Association Bylaws 11 & 17
UTAUS	Time and Effort Reporting, Office of Sponsored Projects
UTAUS	Education Research Center
UTAUS	Child Development Center
UTD	Housing Operations
UTD	School of Natural Sciences and Mathematics
UTD	Dependent Eligibility
UTD	Library File Transfer Protocol and Encryption Process
UTD	Student Health Center
UTEP	College of Liberal Arts Change in Management
UTEP	Miner Mall Procurement System
UTEP	Payroll Office
UTEP	Contracts and Grants
UTEP	Information Resources and Planning (Selected Accounts)
UTEP	Human Subject Research
UTPA	National Collegiate Athletic Association Compliance - Recruiting
UTPA	National Collegiate Athletic Association Compliance - Rules Education
UTPA	National Collegiate Athletic Association Compliance - Playing & Practice Seasons
UTPA	Facilities Audit
UTPA	Project Management Office
UTPA	College of Social & Behavioral Sciences - Dean's Office
UTPA	College of Health Sciences & Human Services - Dean's Office
UTPA	Office of Student Engagement & Experiential Learning
UTSA	Dependent Eligibility
UTSA	Research Compliance
UTSA	National Collegiate Athletic Association Compliance Audit
UTT	Dependent Eligibility
UTT	Annual Follow-Up #2
UTT	Account Reconciliation Review
UTSWMC	Epic Security Administration
UTSWMC	Managed Care Contracting (Medical Service, Research and Development Plan)
UTMB	Ambulatory Registration Process
UTMB	Research Contracts and Grants Financial Status Report Filing Process
UTMB	Information Systems - Problem Management Review
UTMB	Faculty Group Practice Coding Management Operations
UTMB	Virtual Server Review
UTHSC - San Antonio	Body Donation Program
UTHSC - San Antonio	Dental School AxiUm Software
UTHSC - San Antonio	Cancer Therapy & Research Center Change In Management
UTMDACC	Charge Capture - Diagnostic Imaging
UTMDACC	Molecular Carcinogenesis Department Review
UTMDACC	Centricity Drug Catalog Pricing and Maintenance
UTMDACC	Grants and Contracts Administration - Gastroenterology, Hepatology and Nutrition
UTMDACC	Application Review - Cirius Prebill
UTMDACC	Project Management Review - Research Station III
UTMDACC	MedAptus Application Review
UTHSC - Tyler	UT System Policy UTS166 Cash Handling and Transport of System Assets
UTHSC - Tyler	Research Compliance Audit of the Institutional Review Boards
UTSYS ADM	The University of Texas Investment Management Company - Long Term Fund Internal Controls
UTSYS ADM	Follow-Up for Oil & Gas Audits
UTSYS ADM	Follow-Up Audits for Non-Major Areas
UTSYS ADM	Follow-Up for Information Technology Audits
UTSYS ADM	Office of Technology and Information Services

STATE AUDITOR'S OFFICE AUDIT REPORTS ISSUED 6/2012 through 8/2012	
Institution	Audit
UT System	Full-time Equivalent State Employees for the Quarter Ending May 31, 2012

4. **U. T. System: Annual Report on Information Security Compliance Enhancements across the U. T. System and on security of the U. T. Research Cyberinfrastructure**

REPORT

Vice Chancellor and General Counsel Burgdorf and Chief Information Security Officer Watkins, will report on Information Security Compliance Enhancements across the U. T. System and on security of the U. T. Research Cyberinfrastructure.

A PowerPoint presentation is set forth on the following pages.

BACKGROUND INFORMATION

Following a November 2011 report to the Board by Deloitte & Touche LLP on its comprehensive information security compliance effectiveness review of the U. T. System, the Board approved the allocation of \$34,872,000 of Available University Funds to invest in information security compliance enhancements across the U. T. System and to secure the U. T. Research Cyberinfrastructure.

The Vice Chancellor and General Counsel was authorized to administer the investment of these funds through a centrally managed program and to submit annual reports on progress to the Chancellor and to the Board. This is the first Annual Report.

ANNUAL REPORT ON INFORMATION SECURITY COMPLIANCE ENHANCEMENTS

**Audit, Compliance, and Management Review Committee
U. T. System Board of Regents' Meeting**

November 2012

Mr. Lewis Watkins, Chief Information Security Officer

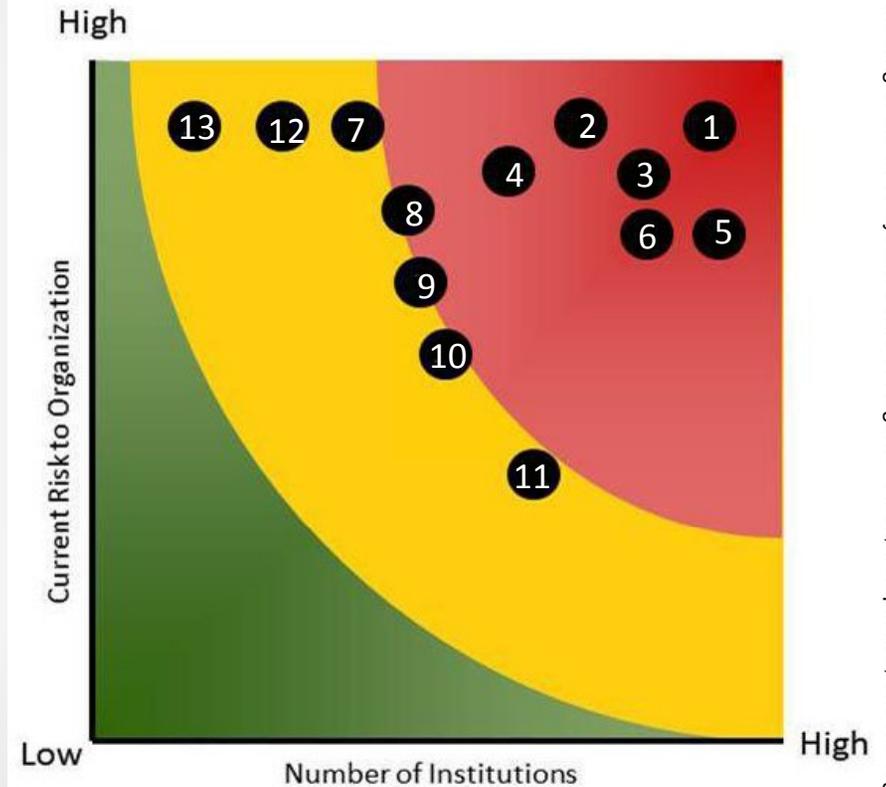


THE UNIVERSITY of TEXAS SYSTEM
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U. T. System Common Risks

1. Mobile Device Security
2. Decentralized IT
3. Network Segmentation
4. Logging and Monitoring
5. Disaster Recovery
6. Inconsistent Risk Assessment
7. Unencrypted Backup Tapes
8. Third-party Risk Management
9. Software Development & Configuration Mgt.
10. Physical Security
11. Identity and Access Management
12. Training and Awareness
13. Chief Information Security Officer Authority and Culture



1. Mobile Device Security

- Policy and Technology to address:
 - Laptop Encryption
 - iPad, iPhone, Android Encryption
 - Encrypted Thumb Drives
- Aligns with technology goals within the Framework for Advancing Excellence throughout The University of Texas System



2. Decentralized IT

- Where most security gaps and incidents occur
- Technology Consolidation
 - U. T. Austin centralizing 1000+ servers
 - UTHSC-San Antonio centralizing 177 servers



3. Network Segmentation

- U. T. San Antonio Network Upgrade to Enable Encryption
- U. T. System Research Cyberinfrastructure Perimeter Security



4. Logging and Monitoring



- Patient Privacy Monitoring
 - Working Group led by UTMDA Cancer Center
- Security Incident and Event Monitoring
 - Working Group led by UTHSC-Houston



5. Disaster Recovery

- Backup for Shared PeopleSoft Applications
 - Systems are used by multiple institutions
 - Arlington Data Center failover capabilities



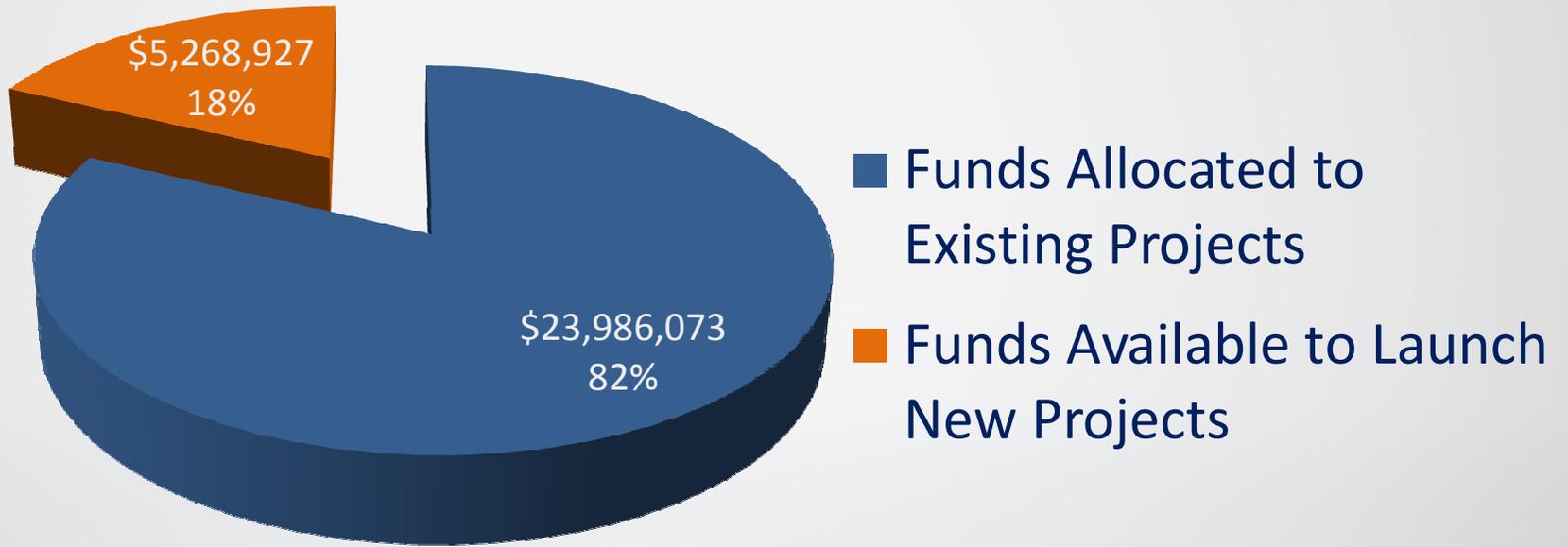
6. Risk Assessment



- Risk Assessment Consistency:
 - U. T. System adopting National Institute of Standards and Technology (NIST) Risk Assessment Framework
- Third-Party Risk Assessment:
 - Important for outsourcing and collaborations (e.g., Coderyte, MyEdu, etc.)



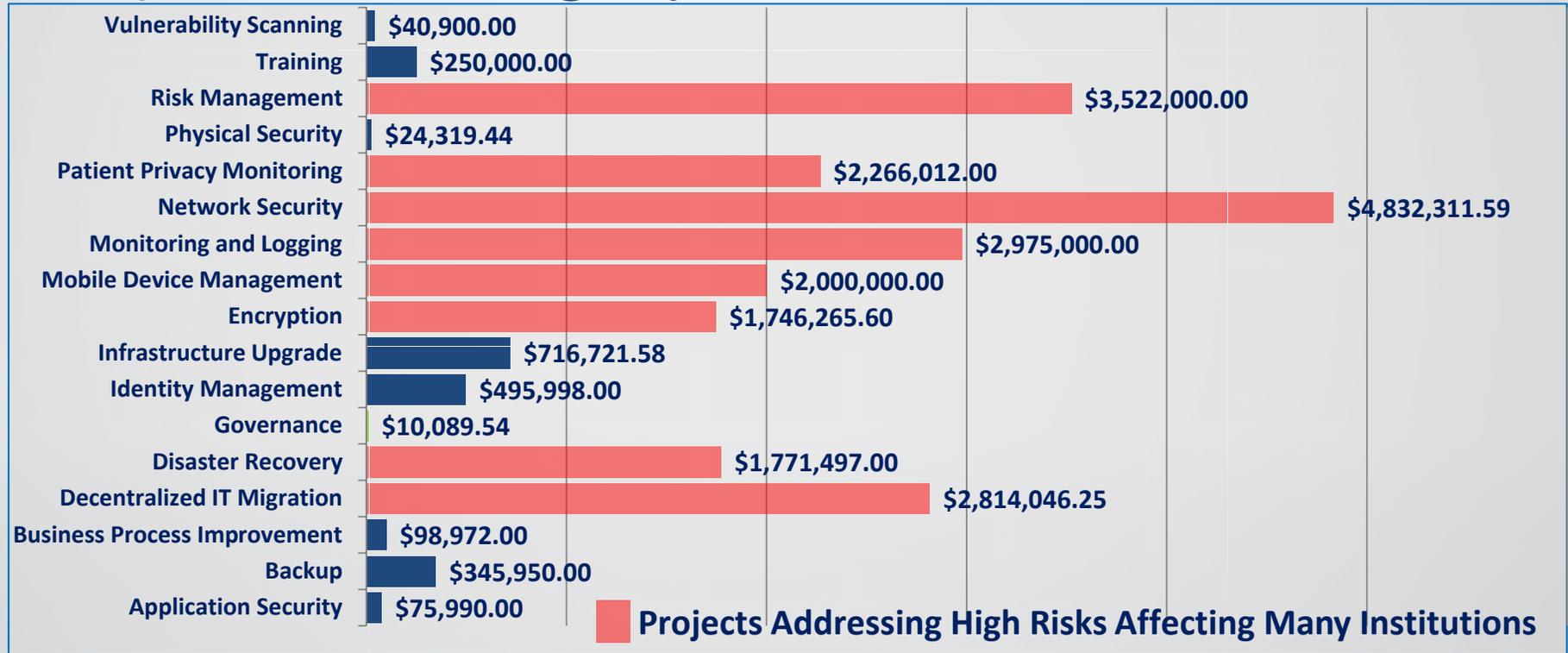
Funds Allocation to Date



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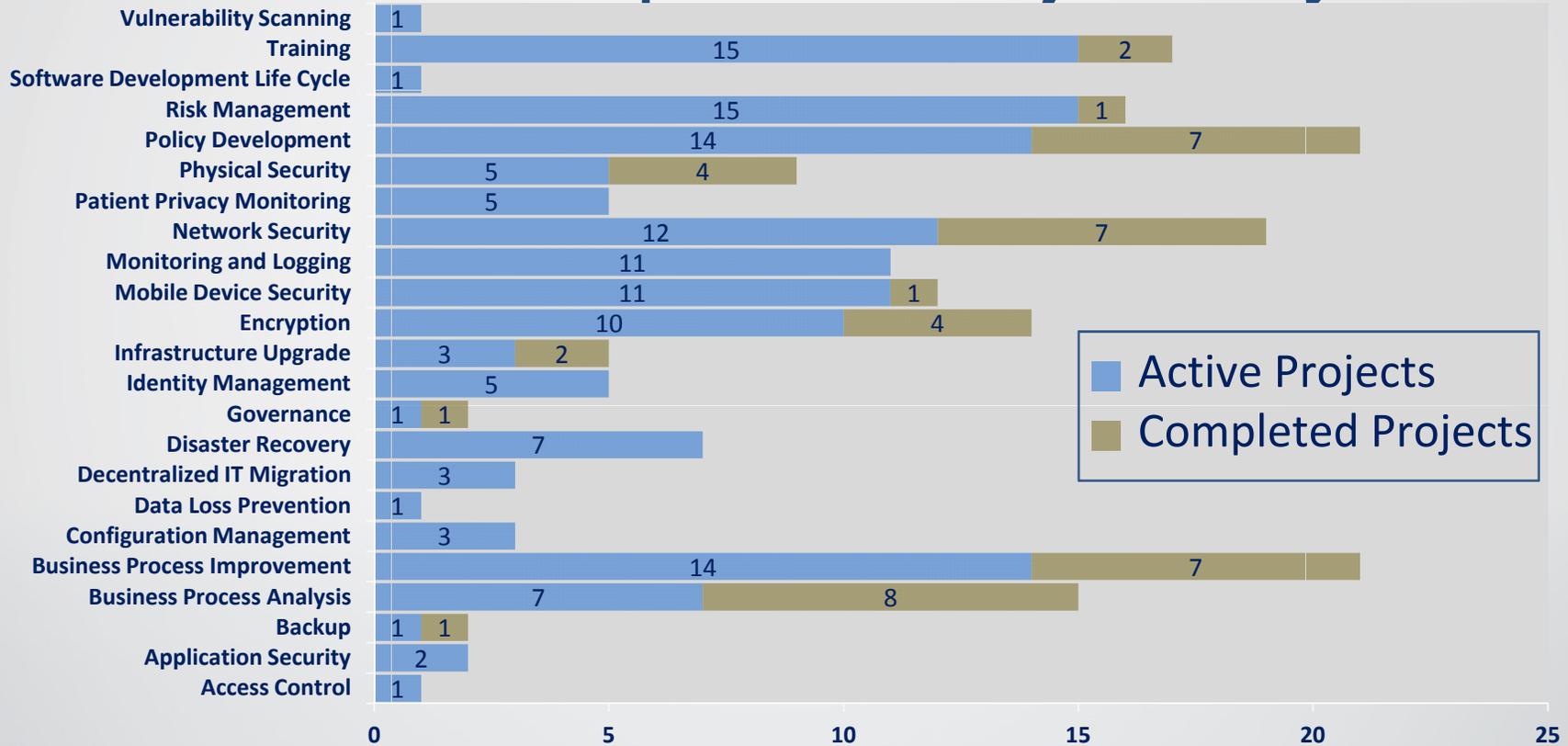
Project Funding by Theme



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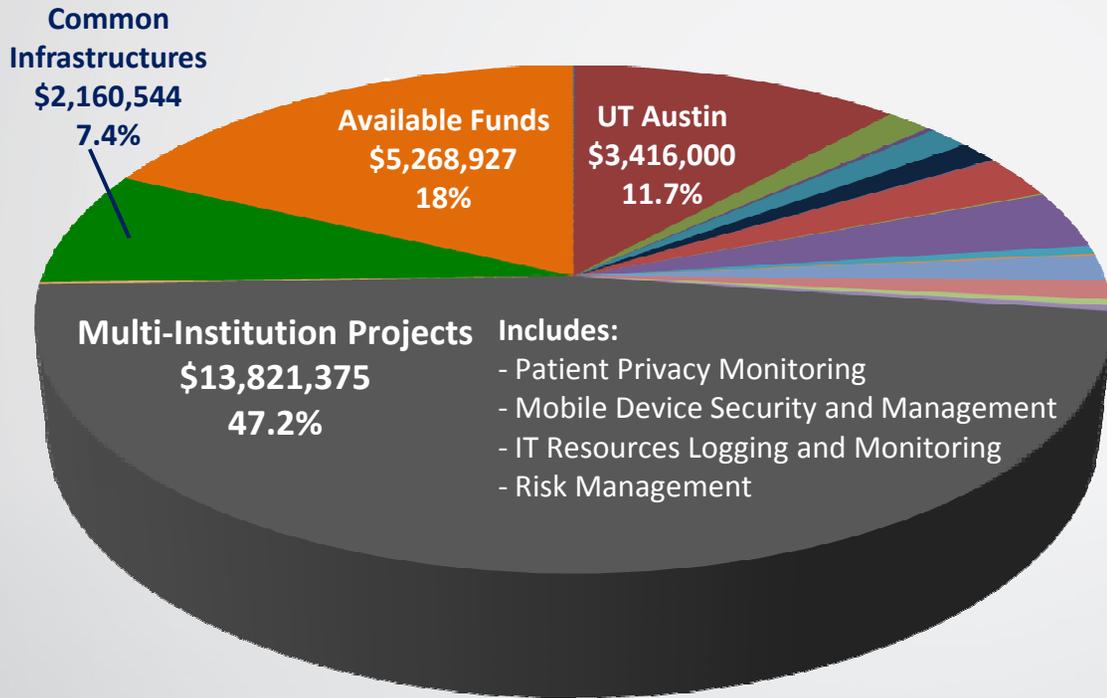
Active and Completed Projects by Theme



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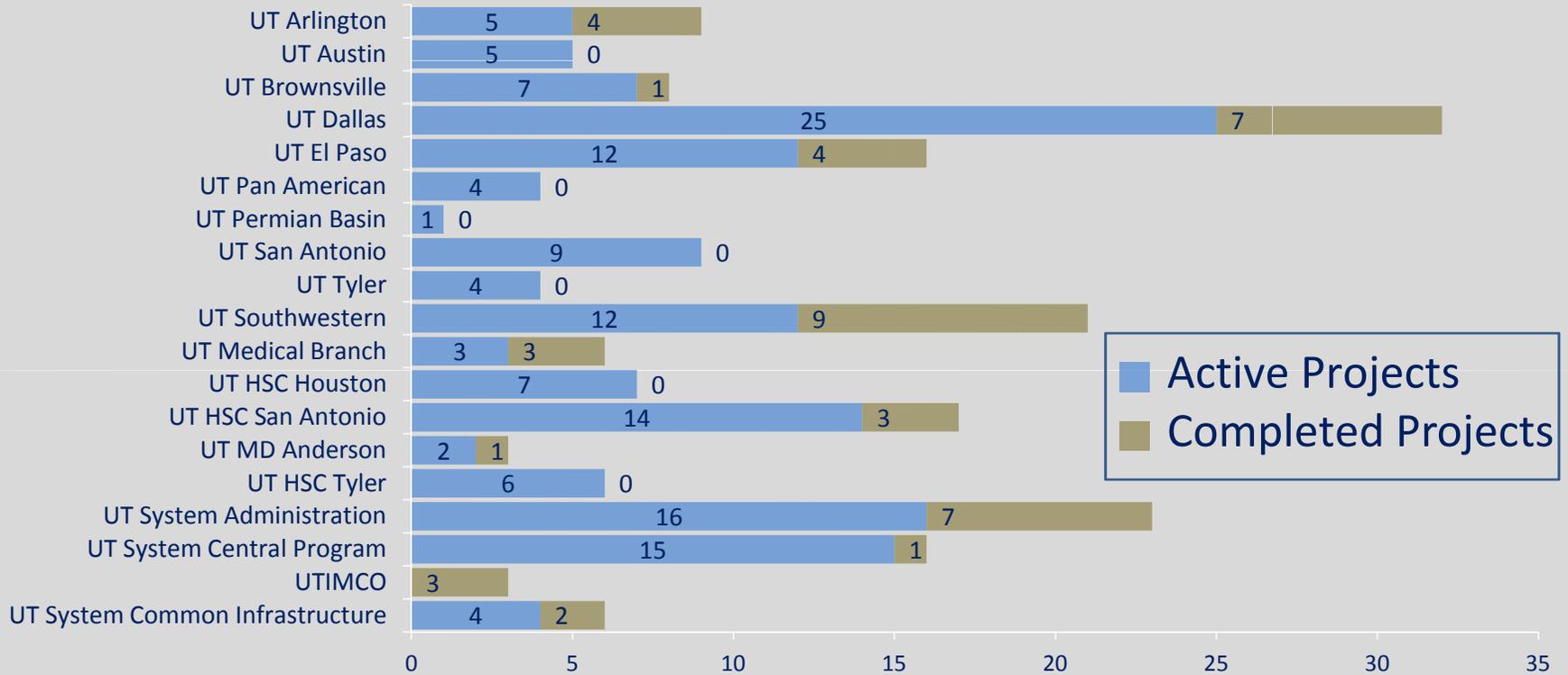
Funding by Institution



UT Arlington	\$ 18,000	0.1%
UT Austin	\$ 3,416,000	11.7%
UT Brownsville	\$ 473,500	1.6%
UT Dallas	\$ 62,000	0.2%
UT El Paso	\$ 435,000	1.5%
UT Pan American	\$ 402,295	1.4%
UT Permian Basin	\$ 13,000	0.0%
UT San Antonio	\$ 810,000	2.8%
UT Tyler	\$ 20,654	0.1%
UT Southwestern	\$ 1,077,688	3.7%
UT Medical Branch	\$ 156,992	0.5%
UT HSC Houston	\$ 30,000	0.1%
UT HSC San Antonio	\$ 471,025	1.6%
UT MDACC	\$ 360,000	1.2%
UT HSC Tyler	\$ 116,000	0.4%
UT System Administration	\$ 105,000	0.4%
Multi-Institution Projects	\$ 13,821,375	47.2%
UTIMCO	\$ 37,000	0.1%
Common Infrastructures	\$ 2,160,544	7.4%
Funds Balance	\$ 5,268,927	18.0%



Active and Completed Projects by Institution



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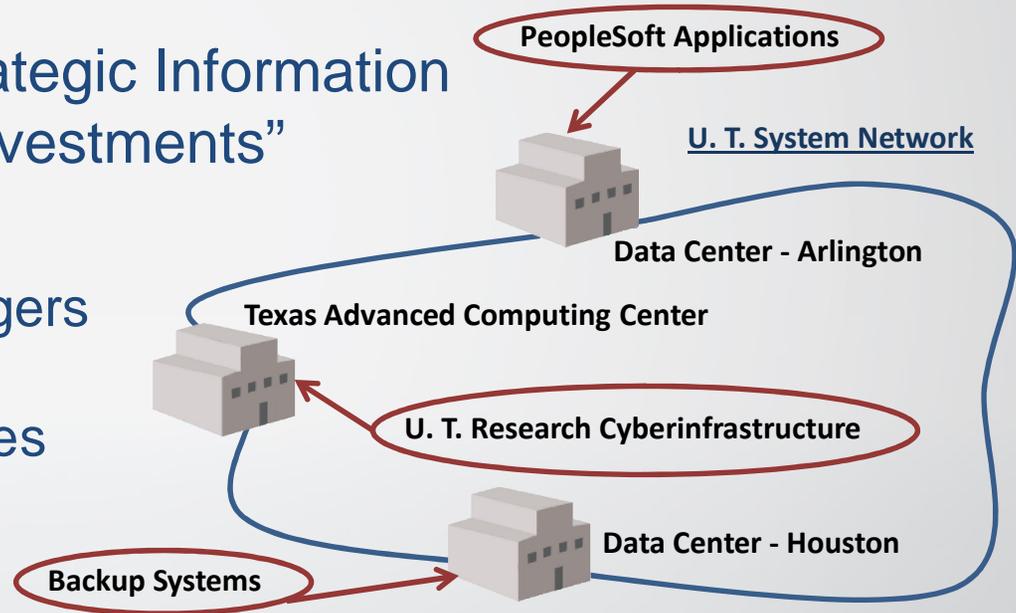
Multi-Institution Projects

- Mobile Device Management
 - Laptop Encryption
 - Encrypted Thumb Drives
 - iPhones, iPads, Androids
 - Network Access Control
- Risk Management
 - IT Risk Assessments
 - Third-Party Assessments
- Training
 - Technical Training
 - User Training
- Logging and Monitoring
 - Patient Privacy
 - Security Events



New Information Security Officer (ISO) to Address U. T. System Common Infrastructures

- Aligns with Framework “Strategic Information Technology Infrastructure Investments”
- ISO Duties:
 - Work with Resource Managers
 - Identify control gaps
 - Define compliance strategies
 - Establish program metrics



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Time Line

Initiative is managed with monthly updates to executive management.

Planning:

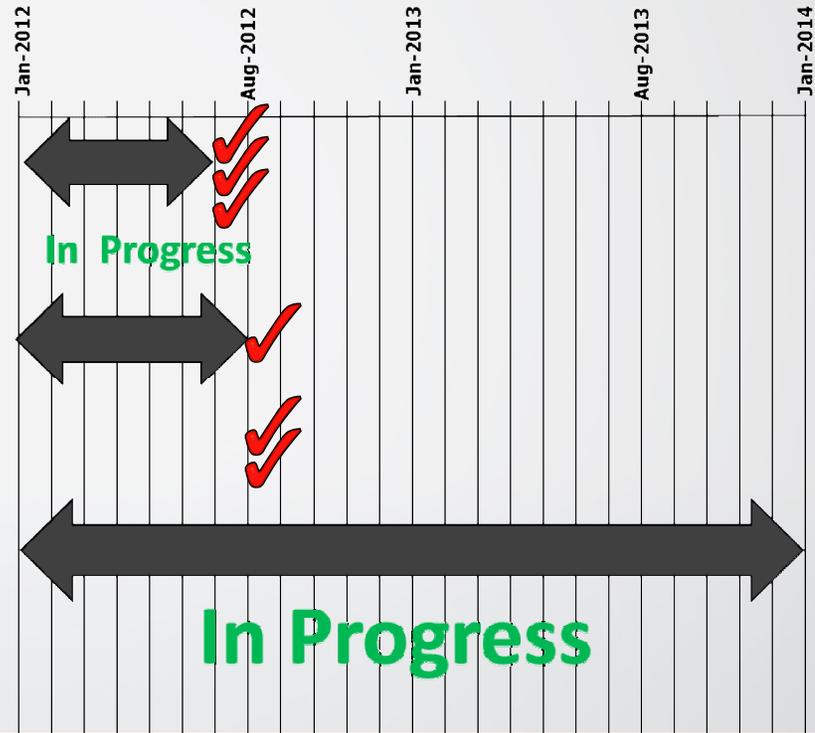
- Organize & hire staff
- Define Projects
- Establish processes
- Develop initial RFPs

Phase 1 Short-term Projects:

- SANS Securing the Human Training
- Confidential Data Location Tool
- Encrypted USB Drives
- Laptop encryption licenses

Phase 2 Long-term Projects:

- Mobile Device Management
- Risk Management
- Disaster Recovery
- Logging and Monitoring
- Many Others



Benefits

- **Improved Security** – Significant immediate and long-term impacts
- **Alignment** – Projects support the Framework for Advancing Excellence
- **Cultural Shift** – Incentives to reward collaboration and shared strategies to address security
- **Efficiency** – Savings through selective centralized purchases and deployments

