



## Office of Internal Audit

800 W. Campbell Rd. SPN 32, Richardson, TX 75080  
Phone 972-883-4876 Fax 972-883-6846

August 17, 2016

Dr. Richard Benson, President,  
Ms. Lisa Choate, Chair of the Institutional Audit Committee:

Senate Bill 20 of the 84<sup>th</sup> Legislative Session (SB 20) made several modifications to existing requirements and added new requirements for state agencies and institutions of higher education related to purchasing and contracting. These requirements were written into the Texas Government Code and/or the Texas Education Code (TEC) and were effective September 1, 2015. TEC §51.9337 requires that, “*The chief auditor of an institution of higher education shall annually assess whether the institution has adopted the rules and policies required by this section and shall submit a report of findings to the state auditor.*”

To satisfy this requirement, we performed the following:

- Gained an understanding of SB 20 and TEC 51.9337.
- Interviewed responsible parties in Procurement Management and Contract Administration regarding their processes, policies, and procedures.
- Observed documentation, including policies and procedures, supporting compliance with SB 20 and TEC 51.9337. Policies and procedures reviewed included those relating to codes of ethics and conduct; conflicts of interest and outside commitment; fraud policies; and contract management, delegation, and training.

Based on our assessment, we found that UT Dallas has generally adopted all of the policies and procedures outlined in Senate Bill 20 and TEC §51.9337. This certification will be included in the Annual Audit Report to the State Auditor’s Office as required under Texas Government Code §2102.

Toni Stephens  
Institutional Chief Audit Executive

### UT Dallas Responsible Parties:

Mr. Pete Bond, Assistant Vice President for Contract Administration  
Ms. Deborah Reynolds, Executive Director for Procurement Management

### Members of the UT Dallas Institutional Audit Committee:

#### External Members:

Mr. Bill Keffler  
Mr. Ed Montgomery  
Ms. Julie Knecht  
Dr. Hobson Wildenthal, Executive Vice President and Provost  
Dr. Calvin Jamison, Vice President for Administration  
Mr. Terry Pankratz, Vice President for Budget and Finance  
Mr. David Crain, Vice President and Chief Information Officer  
Dr. Bruce Gnade, Vice President for Research  
Dr. George Fair, Vice President for Diversity and Community Engagement; Compliance Officer  
Dr. Gene Fitch, Vice President for Student Affairs  
Dr. Inga Musselman, Senior Vice Provost  
Mr. Timothy Shaw, University Attorney

### The University of Texas System: System Audit Office

State of Texas Agencies:  
Legislative Budget Board  
Governor’s Office  
State Auditor’s Office  
Sunset Advisory Commission