



THE UNIVERSITY OF TEXAS AT DALLAS

OFFICE OF INTERNAL AUDIT
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February 22, 2018

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

We have completed an audit of Social Media, as part of our fiscal year 2018 Audit Plan. The objective of our audit was to determine the effectiveness of management and controls over the University's social media policies and processes. The report is attached for your review.

Generally, social media is effectively managed. Recommendations made include enhancing social media guidelines, access management, and training. Management has reviewed the recommendations and has provided responses and anticipated implementation dates. Though management is responsible for implementing the course of action outlined in the response, we will follow up on the status of implementation subsequent to the anticipated implementation dates.

We appreciate the courtesies and considerations extended to us during our engagement. Please let me know if you have any questions or comments regarding this audit.

Toni Stephens, CPA, CIA, CRMA
Chief Audit Executive



Executive Summary

Audit Objective and Scope

The objective of our audit was to determine the effectiveness of management and controls over the University’s social media policies and processes.

Conclusion

Generally, social media is effectively managed. Implementation of the recommendations will help strengthen the controls over social media processes.

Audit Recommendations by Risk Level

Recommendation	Risk Level	Estimated Implementation Date
(1) Formalize Procedures for Access to Social Media Accounts	Medium	October 31, 2018
(2) Enhance Social Media Guidelines	Medium	October 31, 2018
(3) Enhance Social Media Training	Low	October 31, 2018

Responsible Vice President

John Walls, Interim Vice President for Communications

Responsible Party

Katherine Morales, Director of Communications
Robert Tracy, Senior Web Content Editor

Staff Assigned to Audit

Project Leader: Ali Subhani, CISA, CIA, GSNA, IT Audit Manager

Staff: Chris Robinette, IT Staff Auditor; Student Interns in the Internal Auditing Education Program: Joy Chen, Sagar Bhatia

Report Distribution

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- Mr. Gurshaman Baweja
- Mr. Bill Keffler
- Mr. Ed Montgomery
- Ms. Julie Knecht

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- Dr. Inga Musselman, Provost and Vice President for Academic Affairs
- Mr. Terry Pankratz, Vice President for Budget and Finance
- Mr. Timothy Shaw, University Attorney, ex-officio

Responsible Parties

- Katherine Morales, Director of Communications
- Robert Tracy, Senior Web Content Editor

External Agencies

- 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



Table of Contents

Background	4
Audit Objective	4
Scope and Methodology	5
Audit Results and Management’s Responses.....	5
Conclusion.....	8
Appendices	
Definition of Risks.....	9



Background

Social media refers to the means of interactions among people in which they create, share, and/or exchange information and ideas in virtual communities and networks. Without effective policies and processes over social media, risks can be increased, including the following:

- Reputation of the University
- Security and Privacy of Information
- Legal and Regulatory Compliance
- Governance Issues

At UT Dallas, the Office of Communications manages the official Facebook, Twitter, Instagram, Snapchat, YouTube and Vimeo accounts for the institution. Social Media guidelines are listed on the University’s [website](#). In addition, schools, departments, and clubs across the institution are responsible for managing their own social media accounts. There are over 200 official social media accounts in use. Approximately 200 staff members, faculty and students, whose expertise and job descriptions often do not include communications, manage most of these channels.

Social Media Footprint Fall 2017:

	Facebook	Twitter	LinkedIn	Instagram	Totals
Number of Followers for official UTD account	54,470	20,200	114,029	13,900	148,129
Number of UTD-Affiliated Groups	95	85	23	18	221
Total Number of Followers for all UTD-Affiliated Profiles	189,076	85,705	169,243	30,973	474,997

Audit Objective

The objective of our audit was to determine the effectiveness of management and controls over the University’s social media policies and processes.



Scope and Methodology

The scope of this audit was fiscal year 2018 and our fieldwork concluded on January 5, 2018. To satisfy our objectives, we performed the following:

- Gained an understanding of and reviewed social media policies and processes.
- Surveyed and interviewed individuals involved in social media management.
- Determine if data retention guidelines existed for social media.
- Reviewed training and collaboration processes for social media administrators.
- Determined how social media accounts were being monitored.

We conducted our examination in conformance with the guidelines set forth in The Institute of Internal Auditor’s *International Standards for the Professional Practice of Internal Auditing*. The *Standards* are statements of core requirements 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 based on our audit objectives.

STRENGTHS

OBSERVED DURING THE AUDIT

1 INVENTORY OF ACCOUNTS



The Office of Communications has developed a comprehensive inventory of different social media accounts that were in use across the institution. A current inventory helps ensure that the department is aware of official accounts that must be adequately managed.

2 ACTIVE MONITORING



The Office of Communications actively monitors different portals to remain abreast of current discussions or news stories that may negatively impact the reputation of the institution.

3 TRAINING



Periodic training is offered by the Office of Communications to individuals that are involved in managing Social Media accounts at the institution.

Audit Results and Management’s Responses

Many strengths were observed during the audit. Opportunities exist to enhance current social media processes as outlined in this report.



Observation and Risk Level	Risk/Effect	Recommendation	Management's Response and Action Plan
<p>1. Formalize Procedures for Access to Social Media Accounts (medium)</p> <p>There is no formalized process in place to document the access privileges that are assigned to users that have access to university affiliated social media accounts (UASMA). Additionally, a periodic review of individuals that maintain access to social media account is not consistently performed for all UASMA</p> <p>In the survey of social media administrators, the following was noted:</p> <ul style="list-style-type: none"> • Passwords used for the official social media accounts are not always changed on a periodic basis, even when there is turnover. • Most are not aware that they can use a password utility to generate/store/share passwords for official social media accounts, and no guidance exists regarding such utilities. • Most do not have a mechanism to document access and authorization requests to social media accounts. 	<p>Unauthorized personnel could be handling social media, increasing security and privacy risks.</p>	<p>Procedures should be formalized for assigning and removing access to social media accounts, and the guidelines should reflect a requirement for departments to immediately change account passwords or remove admin privileges when an employee leaves. Although privileges should be removed during the employee checkout process, a periodic reminder regarding account access should be sent to the administrators.</p>	<p>Management's Response and Action Plan: Make a stronger effort to promote LastPass as a password manager, and increase regular – email, Facebook group – to remind people to update their access and passwords when people leave the University.</p> <p>Estimated Date of Implementation: October 2018</p> <p>Person Responsible for Implementation: Robert Tracy or designee</p>



Observation and Risk Level	Risk/Effect	Recommendation	Management's Response and Action Plan
<p>2. Enhance Social Media Guidelines (medium)</p> <p>In addition to a lack of formalized guidelines regarding access, existing social media guidelines, which primarily focus on Facebook only, do not include the following items:</p> <ul style="list-style-type: none"> • Record retention requirements • Suggested use of profanity filters • A recommended response to a social media "crisis" in which a profile is being targeted, inflammatory content is posted • Guidance on reviewing content prior to posting. About 63% of administrators who responded to the survey did not have a review process in place for social media posts. <p>Also, although there is a statement regarding personal Facebook profiles on the social media guidelines website¹, there is no periodic guidance or communications to employees on their use of social media relating to the University.</p> <p>Finally, although brand standards are referenced in social media guidelines, a</p>	<p>Without basic guidelines, the risks of unauthorized access and harm to the University's reputation are increased.</p>	<ol style="list-style-type: none"> Social media procedures should be reviewed and include minimum guidelines, including records retention, to assist social media administrators in managing all types of social media. University employees should be periodically reminded about their responsibilities regarding social media. The Office of Communications should develop procedures to periodically monitor compliance with social media guidelines. 	<p>Management's Response and Action Plan: We are currently in the process of updating the Brand standards website, which will include updated social media guidelines. We also will create videos and a Wiki page that detail the guidelines and best practices for creating and maintaining social media accounts.</p> <p>Estimated Date of Implementation: October 2018</p> <p>Person Responsible for Implementation: Robert Tracy or designee</p>

¹ "What about my own Facebook profile? If you self-identify as a faculty or staff member of UT Dallas, you render yourself subject to disciplinary action if you share private information or make derogatory or offensive comments about the University, other faculty or staff, or students. Consider maintaining two separate profiles: one private, personal page and one that you can use in your duties as a Facebook moderator."



Observation and Risk Level	Risk/Effect	Recommendation	Management's Response and Action Plan
<p>review of several websites indicated noncompliance with brand standards.</p>			
<p>3. Enhance Social Media Training (low)</p> <p>Periodic training on social media administration was held by the Office of Communications for the social media account administrators in 2016 and 2017. Only 25% and 36%, respectively, of administrators attended. This may have been due to unavailability of the various administrators during the training meetings.</p>	<p>Without periodic training, the risks of noncompliance with guidelines is increased.</p>	<p>The Office of Communications should enhance social media training, including guidance for new employees regarding UT Dallas social media guidelines.</p>	<p>Management's Response and Action Plan: We are creating training videos. We will continue to offer annual meetings for social media administrators and will consider options such as WebEx for people who aren't able to attend.</p> <p>Estimated Date of Implementation: October 2018</p> <p>Person Responsible for Implementation: Robert Tracy or designee</p>

Conclusion

Based on the audit work performed, we conclude that generally, social media is effectively managed. Implementation of the recommendations above will help strengthen the controls over social media processes. We appreciate the courtesy and cooperation received from the management and staff in Office of Communications as part of this audit.



Appendix

Definition of Risks

Risk Level	Definition
Priority	High probability of occurrence that would significantly impact UT System and/or UT Dallas. Reported to UT System Audit, Compliance, and Management Review Committee (ACMRC). Priority findings reported to the ACMRC are defined as <i>“an issue identified by an internal audit that, if not addressed timely, could directly impact achievement of a strategic or important operational objective of a UT institution or the UT System as a whole.”</i>
High	Risks are considered to be substantially undesirable and pose a moderate to significant level of exposure to UT Dallas operations. Without appropriate controls, the risk will happen on a consistent basis.
Medium	The risks are considered to be undesirable and could moderately expose UT Dallas. Without appropriate controls, the risk will occur some of the time.
Low	Low probability of various risk factors occurring. Even with no controls, the exposure to UT Dallas will be minimal.