

# Information Technology Guidelines

## Guidelines for the Use of SharePoint

**IT Guidelines Issued:** 5/12/2008

**Supersedes:** These are new guidelines.

**Responsible Executive:**

Holly Shipp Buchanan, MLn, MBA, EDD, Assoc. VP for Knowledge Management  
Ron Margolis, CIO, UNM Hospitals

**Responsible Office:** HSLIC Techs, UNM Hospitals IT

**Contact:** Kevin Wiley, Manager, Systems and Programming, HSLIC TECHS 272-3683

**Summary of Guidelines:** These guidelines include:

- descriptions of appropriate uses for SharePoint,
- a description of who may use SharePoint,
- processes by which users may request a SharePoint site,
- security issues,
- the responsibilities of a SharePoint site owner, and,
- descriptions of other aspects of the HSC SharePoint environment that will impact how users will work with the system.

**Who Are Affected by These Guidelines:** These guidelines affect all faculty, students and staff of the clinical and academic components of the UNM Health Sciences Center.

**Why We Have These Guidelines:** There are two main reasons for these guidelines. First, users must be aware of security and confidentiality issues that impact their use of SharePoint. Second, SharePoint must be used in a manner consistent with the system resources supporting SharePoint at any given time. Additionally, the use of SharePoint is governed by existing UNM and HSC policies and failure to use SharePoint in accordance with UNM policy could result in disciplinary action.

**Responsibilities:**

HSLIC TECHS:

TECHS is responsible for administration of the servers and storage devices that support SharePoint. HSLIC TECHS shares with UNM Hospitals IT the responsibility for SharePoint application administration.

## UNM Hospitals IT:

UNMH IT is responsible, along with HSLIC TECHS, for SharePoint application administration.

## SharePoint Steering Committee

Representatives from UNM Hospitals and HSLIC TEHCS serve on the SharePoint Steering Committee which is responsible for ongoing considerations of all issues surrounding the HSC's implementation of SharePoint, including writing and updating these guidelines.

## Site Owners

SharePoint site owners are responsible for reading these guidelines and for knowing the following.

### 1. What to use SharePoint for

SharePoint works best for collaborative groups in which a number of group members are editing documents, posting items or participating in other online activities. Appropriate uses of SharePoint include:

#### Collaborative Document Development

Development of plans, policies, guidelines, procedures, leases and contracts that require either joint development between two or more people or version control and audit tracking (or both).

#### Project Groups

For centralized storage and access to project plans, charters, task lists, discussions, minutes – all documents involved in project management.

#### Committees

For centralized storage and access to committee notes, agendas, minutes, task lists, discussions, calendars.

#### Departmental Resources

SharePoint can serve as a departmental intranet for information that is not intended for public access.

## 2. Site Owner Guidelines and Responsibilities

### Acceptable Use:

Site owners are responsible for adhering to HSC standards regarding acceptable content and use of their site. Site owners are also responsible for informing their site members of acceptable use policies.

### Membership:

Site owners determine and establish access to their specific sites. They are also responsible for updating and maintaining site access.

### Training:

Site Owners are responsible for attending SharePoint Administrator Training. Training is required for users desiring Administrator access. Administrators are required to train the users they add to their site. It is strongly suggested that users make use of the on-line Help facility, documents on the SharePoint Help webpage and the training SharePoint site. They are also the primary source of training for their users.

### Tools:

Site owners are responsible for selecting the necessary SharePoint tools needed for their sites.

### Security

#### a. Access Levels

Most users will have one of the types of access listed below:

Owner (Full Control):	Has full control.
Member (Contributor):	Can view, add, update, and delete.
View Only:	Read only access.

#### b. Confidential Data

The site owner is responsible for understanding, reviewing, communicating and reporting any violations of UNM, HSC or UNMH confidentiality policy. Content is available only to authenticated users. Files on a SharePoint site must be in compliance with existing policies and standards regarding the security and privacy of personal identity information (PII), protected health information (PHI) and student information. The site owner establishes and maintains access controls and informs site users of the sensitivity of the information contained on the site. Information such as Social Security Numbers, Credit Card numbers, Patient names and diagnosis, Student names and grades have specific regulatory requirements for access control and auditing that the SharePoint service may not support. Sites are subject to review and site owners can be held accountable for uses

not specifically allowed by this document and the UNM and HSC policies cited in the section entitled Related Documents.

#### c. Site Auditing

The site owner is responsible for reporting, reviewing and acting upon any audit finding that indicate unauthorized access. Office SharePoint Server 2007 provides an audit trail of all activity. As such, Office SharePoint Server 2007 automatically logs events and activities performed by Office SharePoint Server 2007, custom solutions, and users. This Auditing feature is available for documents, as well as list items that are not part of a document, such as items in task lists, issues lists, discussion groups, and calendars. The Auditing feature addresses and logs information for events such as the following:

- Each access to an item
- Each view of an item within a list
- Each check-in and check-out of a document
- Any changes to permissions and settings
- The time a specified item was deleted and by whom

#### d. Transfer of Site Owner Role

If an employee will no longer be handling site owner responsibilities, it is the responsibility of that employee's department to determine who will take over the site owner role. If the site is not a strictly departmental site, the group using the site needs to determine who the new site owner will be.

### **Procedures:**

#### 1. Getting Access to SharePoint

UNM HSC employees with existing Active Directory accounts will be granted access to SharePoint sites on an as-needed basis only. There will be no general access granted to each employee. Access will be granted using employees' AD accounts and passwords. Currently, SharePoint is an internal service for HSC users.

#### 2. SharePoint Site Creation

HSC SharePoint Administration will approve the SharePoint Site Creation Request form. This form will be located on the SharePoint Help page. If the Application Administrator cannot make the approval determination, the request for approval will be escalated to the Executive Director of UNMH IT or Associate Director of HSLIC. The workgroup is then created by the SharePoint analyst within the appropriate part of the SharePoint site hierarchy. A user who is approved with administrator privileges to that site, may, in turn, create sub-sites of the initial site. The user must work with the SharePoint analyst to set up a structure that fits their needs. There will be two SharePoint analysts. The HSC analyst will be responsible for creating and supporting sites for all non-hospital departments. The UH SharePoint analyst will create and support all UH sites.

### 3. Quotas and Limitations

#### a. Quotas

- A 500 MB default storage space will be allotted each site and a request for more space must be submitted to and approved by SharePoint Administration.
- SharePoint usage must comply with existing HSC and/or UNMH policies and standards.

#### b. Size and type of documents

Any type of document may be uploaded into the SharePoint system. Documents must be no larger than 100MB. Larger files require approval by the Application Administrator.

#### c. Site Aging

Site auto expiration: To ensure stale sites are removed and data storage is reclaimed, sites unused for 90 days will be marked for automatic deletion. Site owners will be notified 90 days prior to the actual deletion date and provided with a mechanism to remove their site from the automatic deletion list.

#### d. Backups

SharePoint maintains version control and previous versions of documents can be restored by document owners. Items that have been deleted within SharePoint can be recovered from the SharePoint Recycle Bin by site owners and users. Full system backups are done according to our current Enterprise Standards as defined in the [IT Standards for User](#). Any item emptied from the Recycle Bin will not be restored without appropriate approvals and cost recovery.

#### e. Document Storage and Maintenance

An unlimited number of documents and document versions may be stored in SharePoint for as long as necessary within site quota limits. However, it is requested that site owners and users actively monitor and maintain their sites and remove unneeded documents and document versions in order to preserve storage space. SharePoint is primarily for active storage.

### 4. Authentication and Encryption

Authentication is through the UNM HSC Active Directory. Both the user name and password are encrypted. In addition, during all sessions in SharePoint the communication between the browser and the server is encrypted.

## 5. Remote Access

SharePoint will be accessible from UNM Health Sciences Center facilities. HSC employees wishing to access SharePoint remotely will need to install the HSC VPN client on the workstation they will be using in order to connect to SharePoint. The VPN download page can be found at [http://hsc.unm.edu/library/usersupport/Software\\_Downloads.shtml](http://hsc.unm.edu/library/usersupport/Software_Downloads.shtml) (Logon Required).

**Website Address for these Guidelines:** [Include the URL where the guidelines will be posted.]

### **Related Documents:**

Related UNM Business Policies are listed below and are available online at:

<http://www.unm.edu/~ubppm/ubppmanual/toc2000.htm>

- UNM Business Policy 2560 “IT Governance,”
- UNM Business Policy 2500 “Acceptable Computer Use,”
- UNM Business Policy 2510 “Computer Use Guidelines,”
- UNM Business Policy 2520 “Computer Security Controls and Guidelines,”
- UNM Business Policy 2590 “Access to Administrative Computer Systems.”

Related HSC Policies are listed below and are available online at:

[http://hospitals.unm.edu/policies\\_and\\_procedures/index.cfm](http://hospitals.unm.edu/policies_and_procedures/index.cfm)

- 2,3 Audit Controls – ePHI
- 2,4 Accountability – ePHI
- 4,1 Information Access Management – ePHI
- 4.5 Information Access Authorization, Establishment and Modification – ePHI
- 6,1 Security Awareness and Training – ePHI
- 8,1 Security Incident Procedures - ePHI

### **Glossary:**

**Site:** SharePoint Sites are hosted web sites that are used to provide team-based shared workspaces and documents libraries, as well as specialized applications and tools such as wikis, blogs, task lists, calendars and many other forms of applications.

**Site Owner:** The person charged with the administration of a specific SharePoint site.

**Keyword Index:** SharePoint, collaboration, online, tools.

**Appendices:** [Detailed or supplementary information that may help the user understand the guidelines. Any forms listed in the guidelines should also be included here. If there is more than one appendix, refer the each one by a letter, i.e. Appendix A, Appendix B.]

