UNIVERSITY OF MIAMI

UNIVERSITY OF MIAMI POLICY AND PROCEDURE MANUAL

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Information Security exists to further the mission of the University. The University is comprised of large and diverse populations with evolving needs related to information technology resources and data. University management is committed to safeguarding those resources while protecting and promoting academic freedom. Although intrinsic tension exists between the free exchange of ideas and information security, and can manifest itself in some circumstances, the requirements that follow have been identified to promote the best balance possible between information security and academic freedom.

I. PURPOSE:

This policy defines the process for sending-mail broadcast correspondence.

II. SCOPE:

[Intentionally Omitted.]

III. POLICY:

The University has created a process for sending e-mail broadcast correspondence (as opposed to personal or confidential e-mails) to all employees. For those employees who do not have their own individual e-mail addresses, the correspondence will be sent to generic e-mail address monitored by employees' departments for distribution to the employees. Otherwise, it will be sent to individual e-mail address.

IV. DEFINITIONS:

University: "University" refers to the University of Miami as a whole and includes all units.

IT: University of Miami Department of Information Technology

HRS: Human Resources System

V. PROCEDURE:

E-mail administrators from various units will provide a one-time load of e-mail addresses so IT can update HRS.

- New employees, (both faculty and staff) will be assigned an e-mail address when they are hired so they will be included on HRS in the future and will be aware of the e-mail addresses and how to update it in myUM. Department heads will submit forms requesting e-mail addresses to appropriate e-mail administrators as part of the hiring

process for new employees, with a copy to the Faculty Affairs Office or Human Resources, whichever is relevant. When new faculty processes their I-9 forms, they will be provided a copy of these e-mail request forms and instructions about how to register this address and their e-mail alias on myUM. Non-faculty will be notified as part of the new employee orientation. If appropriate, department heads will also submit e-mail forms in conjunction with inter-department transfers if the new employee needs to switch e-mail systems. The system will be programmed to send e-mails reminding supervisors to send paperwork to terminate an e-mail account when one of their employees leaves the University (and, if necessary, to reassign responsibility for the generic e-mail account described below).

- Supervisor names will be added to the Human Resources System.

- The University will promote the use of e-mail aliases as the primary address used for University communications. Human Resources, Information Technology, and unit heads will endeavor to have employees routinely update myUM whenever they change e-mail addresses (e.g., if they switch jobs, if their e-mail system is discontinued, and if appropriate, when they go to vacation).

- E-mail communications will be sent to faculty and employees who do not have an e-mail address on record using generic e-mail addresses. Generic e-mail addresses will be assigned to each unit and a designated person will be assigned responsibility to check this generic e-mail address on a daily basis. More specifically, each unit will be assigned an "@miami.edu" alias that would direct e-mail to an ACTUAL UNIT e-mail account that would reside on an e-mail system of choice, but most not be a personal account (to avoid unmonitored e-mail when the designated person leaves the department). The designated person would maintain this unit e-mail box or, using the features of the selected e-mail application, forward the messages to an account of choice (although this second method could cause confusion when replying and forwarding). The division head will decide whether this generic e-mail address will be assigned at the division or office level, and each unit head will designate someone to monitor the e-mails sent to the generic address and decide how to distribute them (e.g., print and provide a separate copy to each person in the office who does not have individual e-mail, circulate with a routing slip, or post on bulletin board). IT has a mechanism by which e-mails sent to generic addresses will indicate who should receive them (i.e., a list of individuals in the department without their own e-mail address), which will facilitate distribution within the department.

- Department heads are responsible for ensuring that responses are provided to any request sent to a generic e-mail address (e.g., those generated by the department's web page)just as they are for request send via other media. They must also make sure that if the designated person leaves the department or is on vacation, someone else is assigned responsibility for monitoring e-mail sent to the generic address.

The University has created a policy for determining which e-mails are mandatory (sent to everyone in a target group) and which are optional. In addition, the "Subject "line of emails relating to official announcements (e.g., policies, deadlines, important University wide news) begin with "Notice": and be followed by a short description of the announcement. The "Subject" line of the e-mail for information or "promotional" purposes (e.g., events, rewards) says "Info:" and is followed by a short description. The policy includes the following:

- Mandatory e-mails will be sent to an entire employee category if approved by the data custodian for that category (e.g., Human Resources for employees, Provost's

office for faculty, and all categories of employees if e-mail is from President's office. Third party information will be verified before sending.

- Mandatory e-mails will be sent to all employees in their units if approved by the unit head.

- Mandatory e-mail committees and other groups will be sent if the committee chair creates a distribution list.

- E-Veritas will go to everyone (and all other Exchange announcements will be handled through e-Veritas instead of via separate e-mails). E-Veritas will, for the immediate future, continue to be a text-based email with links to websites.

- Web-based versions of important communications will be archived indefinitely on the University's website so that there is a permanent electronic record in which employees can refer at a later time rather than having to print and file the e-mail communications.

- Opt-in distribution lists and announcements on the UM website will be used for all non-mandatory e-mail communications. It will provide a webpage with a comprehensive list of opt-in distribution list for non-mandatory communications. Individuals who opt to join a distribution list will receive an e-mail confirmation. New voluntary distribution lists will be announced in e-Veritas as they are created.

Information Technology has implemented the following process for distributing e-mail:

- The long-term solution is a single broadcast to a master distribution list of preferred e-mail addresses. This approach has the advantage of avoiding redundancy and supporting generic addresses more easily. The problems with this approach are that distribution lists potentially produced a large volume of e-mails at one time that could create problems for some systems and networks and, until accurate e-mail records are on file for everyone with email accounts, a distribution list would reach everyone except via the generic e-mail route. A timed release of a master distribution list might help solve volume problems, and increasing the number of addresses of HRS and improving accuracy would solve the coverage problem. This approach is the preferred solution, although a transition to this approach may take time.

- In the short term (and the existing solution), IT will continue to mail announcements to all e-mail administrators, who in turn will send them to everyone on their own systems. Problems with this approach include duplicate e-mails, lack of e-mail administrator response (not forwarding messages in a timely manner), and lack of e-mail administrator participation (not registering to participate in this process. This approach does address concerns with network traffic and e-mail system performance.

Sanctions:

Accounts and network access may be administratively suspended with or without notice by the University when, in the University judgement, continued use the University resources may interfere with the work of others, places the University or others at risk, or violates University policy.

Any violation of this policy by a student may lead to disciplinary charges under the appropriate student disciplinary policy. Faculty and staff violations must be reported to the applicable System Administrator, who will report, as appropriate, to Information Technology's Security and Control Department. All such allegations of misuse will be investigated by the appropriate Administrative office with the assistance of the

Department of Information Technology and the Department of Human Resources. Penalties may include:

- Suspension or termination of access to computer and/or network resources;

- Suspension or termination of employment;

- Expulsion, or suspension of student status;

- Breach of contract for computer and/or services; or

- Criminal and/or civil prosecution