Should it Stay or Should it Go?

ILL Record Retention and User Privacy

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Privacy & Records Retention

Why is it important to ensure the privacy of ILL request histories?

Beth Posner

Why Keep ILL Records?

- ○ Librarians can use data for statistical analysis/decisions/customer service
- ○ Vendors want to provide users with customization and convenience
- ○ Library users may want an easy way to see what they have requested

Why Delete/Delink ILL Request Histories?

- ○ Patron Privacy
- ○ Database Size

?

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Data privacy in our lives...and in the news

ALA Library Bill of Rights

Privacy

An Interpretation of the Library Bill of Rights

Introduction

Privacy is essential to the exercise of free speech, free thought, and free association. The courts have established a First Amendment right to receive information in a publicly funded library.[1] Further, the courts have upheld the right to privacy based on the Bill of Rights of the U.S. Constitution.[2] Many states provide guarantees of privacy in their constitutions and statute law.[3] Numerous decisions in case law have defined and extended rights to privacy.[4]

In a library (physical or virtual), the right to privacy is the right to open inquiry without having the subject of one's interest examined or scrutinized by others. Confidentiality exists when a library is in possession of personally identifiable information about users and keeps that information private on their behalf.[5] Confidentiality extends to "information sought or received and resources consulted, borrowed, acquired or transmitted" (*ALA Code of Ethics*), including, but not limited to: database search records, reference questions and interviews, circulation records, interlibrary loan records, information about materials downloaded or placed on "hold" or "reserve," and other personally identifiable information about uses of library materials, programs, facilities, or services.

Protecting user privacy and confidentiality has long been an integral part of the mission of libraries. The ALA has affirmed a right to privacy since 1939.[6] Existing ALA policies affirm that confidentiality is crucial to freedom of inquiry.[7] Rights to privacy and confidentiality also are implicit in the *Library Bill of Rights*' guarantee of free access to library resources for all users.[8]

Rights of Library Users

The *Library Bill of Rights* affirms the ethical imperative to provide unrestricted access to information and to guard against impediments to open inquiry. Article IV states: "Libraries should cooperate with all persons and groups concerned with resisting abridgement of free expression and free access to ideas." When users recognize or fear that their privacy or confidentiality is compromised, true freedom of inquiry no longer exists.

In all areas of librarianship, best practice leaves the user in control of as many choices as possible. These include decisions about the selection of, access to, and use of information. Lack of privacy and confidentiality has a chilling effect on users' choices. All users have a right to be free from any unreasonable intrusion into or surveillance of their lawful library use.

Users have the right to be informed what policies and procedures govern the amount and retention of personally identifiable information, why that information is necessary for the library, and what the user can do to maintain his or her privacy. Library users expect and in many places have a legal right to have their information protected and kept private and confidential by

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New library privacy checklists[ala-publishing.informz.net]

The ALA Intellectual Freedom Committee approved seven new privacy checklists at the 2017 ALA Midwinter Meeting in Atlanta to help libraries of all types and capacities take practical steps to protect patron privacy. The checklists complement the Library Privacy Guidelines[ala-publishing.informz.net] approved by the IFC in 2016. The topics include checklists on ebook lending and digital content vendors.[ala-publishing.informz.net] library management systems.[ala-publishing.informz.net] public access computers.[ala-publishing.informz.net] and students in K[ala-publishing.informz.net]–12 schools.[ala-publishing.informz.net]...

Office for Intellectual Freedom, Feb. 7

Library Privacy Checklist - Overview

Library Privacy Checklist for Library Management Systems/Integrated Library Systems

What happens to ILL user request histories now?

- **OCLC privacy & retention (backups)**
- **WSILL**
- **Tipasa**

Tony Melvyn

Some libraries are very concerned about Patron privacy

- We have lost several ILLiad and WS ILL contracts to federal libraries due to privacy issues
- OCLC is working hard to gain FedRamp compliance
- Our non-US libraries are concerned about their patron's privacy held in the United States
- The Patriot Act of 2001 began OCLC's move to patron privacy

Before there was an OCLC privacy policy

In the early 90's OCLC was contacted by the FBI

- A library had lent a book about a serial killer to another library
- The book came back and it contained several newspaper clippings about a serial killer on the loose in the city from the library that requested the book
- The lending library contacted the FBI
- The lender did not remember the transaction ID
- The FBI subpoenaed OCLC for the request data
- With some work we were able to locate the transaction
- We provided this data to the FBI

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Patron Privacy efforts at OCLC

- Started after 911 and the Patriot Act of 2001
- Many non-US libraries concerned about their patron data held in Dublin, Ohio
- Many US libraries also concerned about patron privacy
- OCLC Legal and OCLC Security began to audit our privacy policy
- There were no policies

Patron privacy initiative started in early 2000 for WCRS/WS ILL

- Started with purging any patron data that could identify a patron
    - Patron ID
    - Patron Name
    - Patron Address
    - Patron phone
- These data fields were purged when the request went from active to closed
- Only Patron Department and Status remained

Patron privacy initiative started in early 2000 for WCRS/WS ILL

- Next initiative was to purge these patron fields from the Archive (completed ILL transactions)
- Five years worth of data over 40 million transactions
- The purge took place over a weekend and took several hours to complete

Patron privacy initiative started in early 2000 for WCRS/WS ILL

- We then moved to stop sending patron data to the lender
- Finally we removed the patron identifiable fields in OCLC Usage Stats

Patron privacy ILLiad

- ILLiad maintains a local patron database
- The library determines if and how to deal with patron privacy
- Even OCLC hosted server libraries set their policy
- Only when ILL transactions are sent to OCLC is the patron data purged

Patron privacy Tipasa

- Tipasa follows all patron privacy requirements that WS ILL follows
    - Completed requests
    - Stats
- Tipasa patron account however is not purged
    - Tipasa patrons will have access to their own requests regardless if they are active or closed
    - Five years or 500 requests whichever comes first

OCLC and Patron Privacy

- OCLC continues to monitor and review security and privacy issues for the membership.

How can we delete/delink ILL user request histories in ILLiad?

Our experiences
- OCLC hosted? Just ask!
- ILLiad's Database Manager

Beth Posner & Christine Sisak

How to Start: OCLC and Delinking Records

The Graduate Center's Project Timeline

•Library blog post: "Keep your ILL History Private", October 6, 2015

•Alert on ILLiad login page: October 22, 2015

•Mass email to ILLiad customers: November 17, 2015

•Sent parameters and desired execution time to OCLC: December 8, 2015 (Keeping last three years)

•Library blog post: "Save your History… by Dec 31, 2015", December 15, 2015

•Confirmed with OCLC the SQL script was ready to go: December 16, 2015

•Decoupling script executed: January 12, 2016

- We did this again in January 2017 and by June 2017 we will be keeping one year of requests.

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Communication is key!

Dear

In order to keep ILL request information as private as possible, this January we will be "decoupling" ILL requests in our ILLiad database. This means that we will be separating information about request titles from information about who requested them. (This policy change is motivated by the idea that libraries should not keep more information about their users' requests than necessary.)

Previously, you could find a list of everything you ever requested through ILL by logging into your ILL account and clicking on View > All Requests (which includes items currently checked out) or View > Request History. While this can serve as a useful record, in the future, if you want to keep a copy of your request history, then please download your requests using the instructions below. We will continue to keep all requests from **2013** forward until further notice; eventually we will only keep a rolling history of one year or less, though, in order to help ensure that ILL requests remain confidential.

If you do want to save a list of all your ILL requests, though, just follow these simple steps…by **December 31, 2015**.

1. Login to your GC ILL account.

2. Click on View > Request History on the left, which will give you all your finished ILL requests. (OR click on "All Requests" which gives you current requests, as well.)

3. Highlight the fields from "Transaction Number" to "Status" and drag down to highlight your entire list

4. Right click to Copy

5. Open an Excel worksheet

6. Click on the first cell, then right click to Paste, choosing the second icon (Match Destination Formatting).

7. Adjust your column widths, save your file, and you're done!

And, if you have any questions, please contact us at ill@gc.cuny.edu

Thank you,

Beth Posner
Head of Library Resource Sharing
The Graduate Center, CUNY

Download and Storage of Targeted Records

1. Run a Custom Query in ILLiad to gather all past transaction data.
2. Click Save
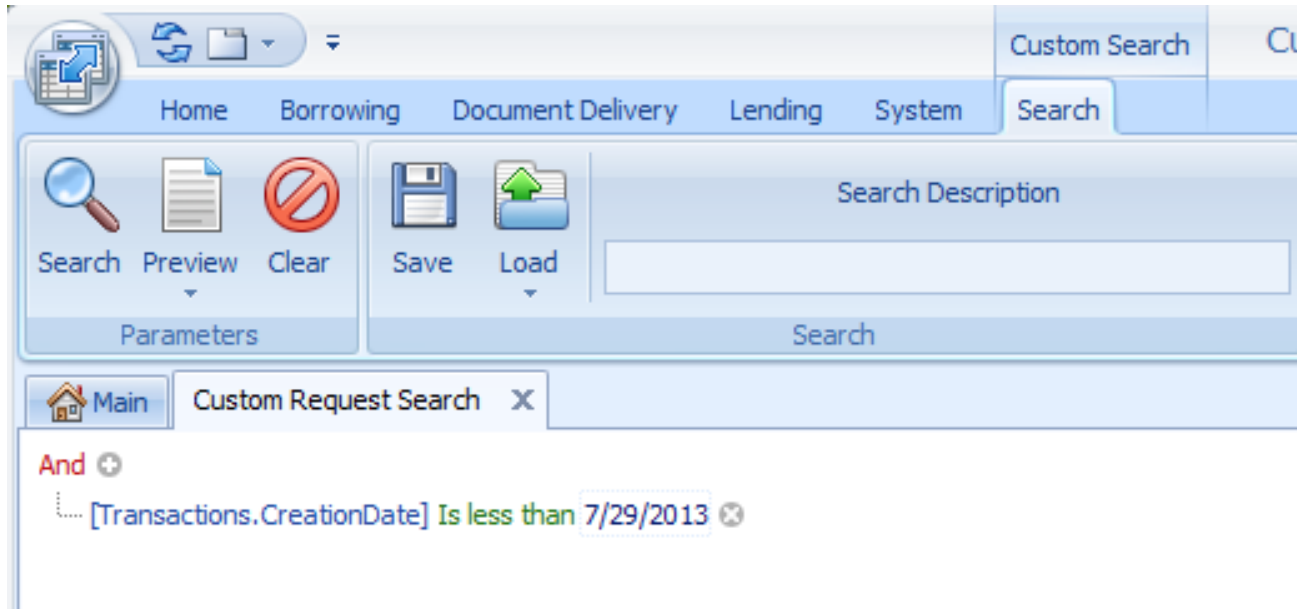
Script options and their implementation

De-linking

We create a dummy username, and give OCLC the parameters (status of transactions to be deleted, age of the request, etc).

OCLC runs the script in the database. They require about 2 weeks to:

-construct the query;

-test in backup database;

-run in production database.

Service is not affected during this period.

Deleting Old Transactions...
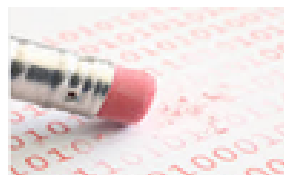
We specify the age of the completed requests to be deleted.

The GC runs the *delete* function for Borrowing Requests in ILLiad Database Manager.

(+ Deleting Old Usernames)
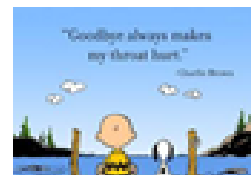
As a further step, we can delete usernames that don't have a transaction associated with it in the Database Manager.

As we use LDAP authentication, we'd need a masterlist of LDAP usernames to run a matching query in the ILLiad database.

Project implementation: Steps with OCLC

- Created dummy username and deletion parameters:
  - Status of transactions to be de-linked:
    - Request Finished
    - OR, Cancelled by ILL Staff
  - AND, Creation date < January 1, 2013.

- Sent the above to OCLC on Dec 8, 2015, along with desired 2-week span for project (January 4th-January 15th).

- OCLC had written, tested and submitted the SQL script by Dec 16;

- Script ran on January 12, and it took a half hour (without us even noticing).

DYI - The Database Manager

If I go there will be trouble
And if I stay it will be double

ILLiad-8.7.0.0_DatabaseManager

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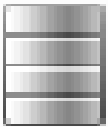
What is the Database Manager?

- Delete Transactions
  - Imported OCLC data
  - Associated emails - receipt notifications, overdues, fines, etc.
- Delete Patrons
- Block Patrons

ILLiad-8.7.0.0_Dat
abaseManager

Where is it?

https://prometheus.atlas-sys.com/display/illiad/ILLiad+8.7+Downloads
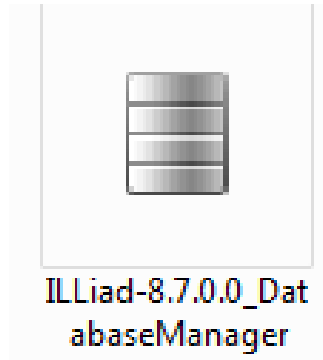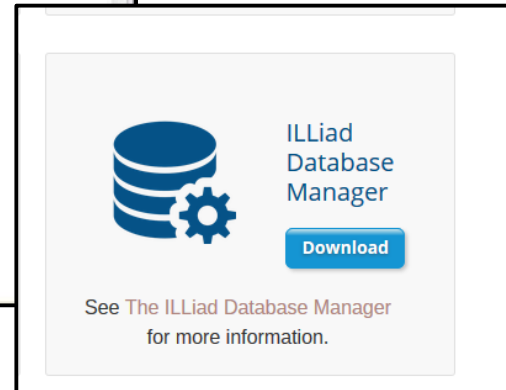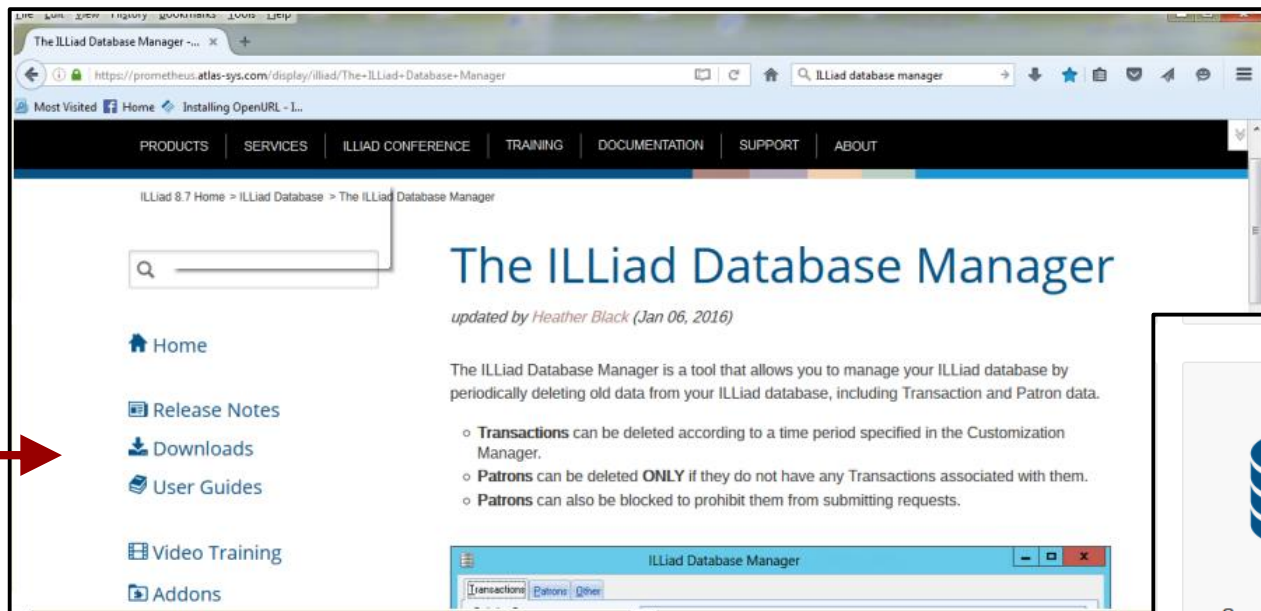
Back-up your database!

1. Hosted
2. Self-Hosted

https://prometheus.atlas-sys.com/display/illiad/Scheduling+Regular+Backups+of+your+ILLiad+Database

You clicked the icon and then this happened...

ILLiad Database Manager

⚠ The ILLiad Database Manager can permanently remove data from the database. Please use caution when using this tool.
Backing up the database before you begin is HIGHLY recommended.

OK
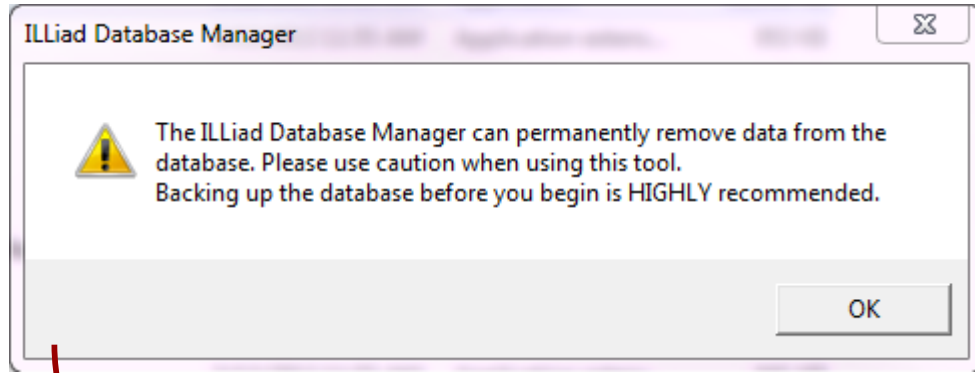
Database Manager
Version 8.6.0.0

Username
Password
Site: ILL

OK   Cancel

Logon Error

❌ Access Denied

OK

NOOOPE
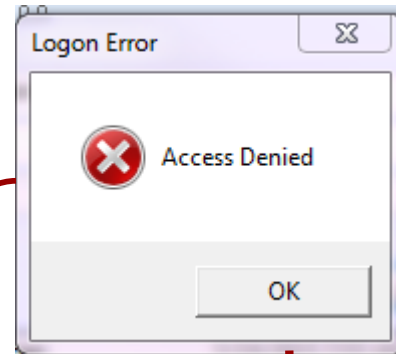
Access denied? No Problem! Staff Manager!

THE DM - From Left To Right

Transactions:

Deleting from 20 Tables!
- Billing
- BillingDetails
- BorrowingInvoices
- BorrowingPayments
- BorrowingRequests
- Citation
- EMailCopies
- ESPUpdate
- History
- Invoices
- ISOBillingInfo
- ISOControl
- ISOExchange
- LendingInvoices
- LendingPayments
- Notes
- OriginalRequest
- Resubmission
- Tracking
- Transactions

Transactions:

Transactions:

Example

Patrons:

Blocking
Deleting

Deleting from Tables:
- Users(ALL)
- UserAccounts
- UserAccountsLink
- UserNotes

Choose your filters

Export the list. Delete the list!

Get your list of patrons

Other:

Connector Sessions & Details
Copyright Sessions Information
Downloaded OCLC Borrowing Screen
Downloaded OCLC Lending Screen
E-Mail Copies
Eventlog information
Invoice Sessions/Invoice Details
Print Sessions/Print Details
Web Sessions Information

Billing Manager Mode

Customization Keys Affecting the Database Manager

1. DataManDeleteNonFinishedItems
2. DataManMinOtherDeleteDays
3. DataManMinTransDeleteDays
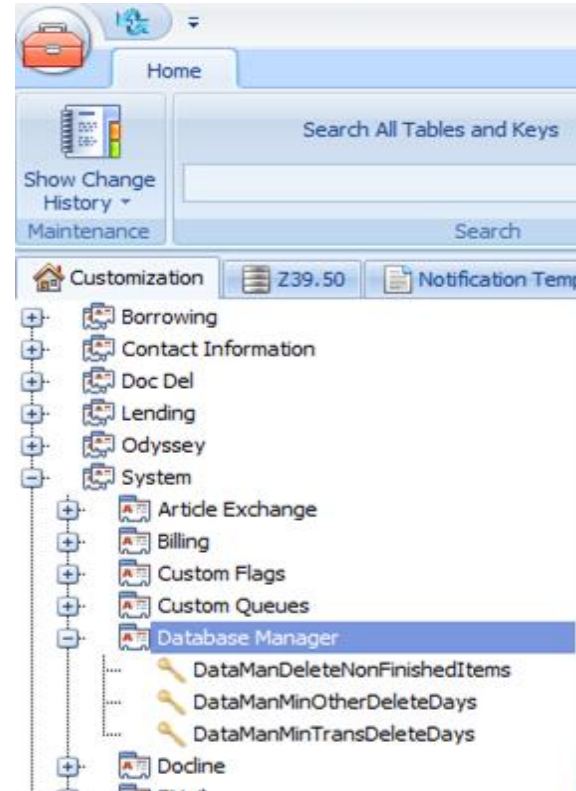
Questions?

Sharing Breakthroughs

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thank you

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