

University of Oregon Libraries
University Library Committee (ULC)
Winter Meeting, 2014–2015 Academic Year
Tuesday, February 24, 2015
3:30–5:00 p.m.
Rowe Conference Room, 115H, Knight Library

MEETING MINUTES

Present: Jack Boss (Music and Dance), Denise Gigliotti (East Asian Languages), Mark Horney (Center for Advanced Technology in Education), Tim Jenkins (Physics), Adriene Lim (Dean of Libraries), Debra Merskin (Journalism and Communication), Jimmy Murray (UO Libraries), Gordon Sayre (English), Christopher Sinclair (ULC Chair; Mathematics), Richard Chartoff (Chemistry)

Guests: Andrew Bonamici, Sara Brownmiller, Jennifer O’Neal, Nancy Slight-Gibney, Shane Turner, Mark Watson

Absent: Amy Lobben (Geography)

Records Retention Schedule

Adriene Lim provided an overview of UO’s record retention schedule

- The [UO Records Retention Schedule](#) is very extensive, with numerous categories and subcategories of records. The retention period of a record can be permanent or non-permanent, and among those, there can be records that are exempt from disclosure and non-exempt from disclosure.
- Oregon public records law defines whether a document is exempt or not.
- At many institutions, the library/archives may not even receive any non-permanent or exempt records. Instead, they receive only the public, permanent, non-exempt records from the non-library Public Records Office. This is the way that records are handled at PSU, for example.
- At other institutions, the library/archives receives all permanent records, but the archives will only make direct access available to permanent, non-exempt records. Any exempt, private, or sensitive records must be accessed by going through the Public Records Office. This is the way that records are handled at OSU, for example. It relieves the Libraries from having to make what could be legal or political decisions that need to be made at a higher level in the institution.
- At UO, the model used at OSU is what has been used in the past and what will be used in the future.
- UO records management policies and practices are currently being reviewed, but in the process, the Libraries would want to ensure that historical documents remained with the Archives.

Jennifer O’Neal provided an overview of Special Collections and University Archives (SCUA) records:

- The University Archives only takes in permanent, non-exempt files.

- They create inventories for these files, which then become part of the Libraries' collections.
- Patrons can search SCUA's collections on the [Northwest Digital Archives](#) website.
- SCUA currently has a processing/digitization backlog, so not every collection has a link on the site, but each collection does have a description. SCUA is working to make files more available in digital format.

Discussion:

- Are records exempt forever or for only a limited amount of time? Some records are exempt for a limited time, but this timeframe is determined by public records law. The status is decided when the record is created, and then again when there is a request for the document.
- The UO Libraries tries to expose the existence of permanent records even when they are exempt. For example, some authors give their documents to the library but with the understanding that they are not to be released until a later date. Patrons would still see that the Libraries have these types of records, i.e., that the records exist, even if the public is currently unable to access it directly or immediately through the Libraries.

Records Release Update

Aдриене gave an update regarding the records release incident:

- The personnel related information continues to be something that cannot be discussed.
- The external investigation concluded last week and University Administration is reviewing it.
- Approximately 20,000 records were released, without an appropriate review process. Estimates are showing that the majority of the records are non-permanent and never would have been added to the archives, had they been reviewed.
- The records include protected student information, protected faculty personnel records (faculty grievances, promotion and tenure cases, discipline), parents' correspondence about their children, and classified staff member grievances, to provide a few examples.
- The University's information security policies/procedures were followed in reporting the breach. (See in-force OUS information security policy 56.350.) If employees become aware of a breach of sensitive or protected data, they must report this to the designated data owners and formal incident-response procedures will then be followed.
- An extensive review of the returned documents is ongoing. The non-permanent documents will be handled according to the Records Retention Schedule; the custodian of those documents is the originating office. The permanent documents will be added to the University Archives, as usual.
- Andrew Bonamici added that reviewers are working on the analysis of the documents themselves, some of which require individual disclosures and notifications to the individuals whose privacy and confidentiality were compromised. They are working with the Registrar's Office regarding student records.

UO Libraries Privacy Policy – Review of Draft

- The draft policy was derived from a template produced by the American Library Association (ALA).
- The UO Libraries subscribes to the code of ethics of the ALA for its core library functions.
- The Libraries increasingly has used cloud-based systems. We have contractual agreements with those vendors, but we do not control everything related to them. There was a review by General Council to ensure privacy is protected in these agreements.
- A member expressed frustration with having to log in to the library site using a Duck ID. Some people do not like this because it excludes the non-UO community. But, it appears that people can continue as guests, so why do UO affiliates have to log in? Reason: If you do not log in, you do not have access to Summit and other premium content. With our new discovery system, some web content is only available to users (for example, JSTOR). Suggestion: the log in needs to be more seamless, perhaps once a month instead of each use. It also needs to be more obvious the reasons for requiring patrons to log in, that we are not implementing this as a “walled garden.”
- Records management and archives: There are differences between the ARMA and Society of American Archivists codes, so these areas of work are separated into two sections in the policy draft.
- LMS is subject to a lot of institutional policies, e.g., student records, acceptable use, etc., so this area of work is also represented in a separate section.
- There are rare circumstances in which the Libraries might release patron information to internal or external authorities, and that is mentioned in the section on “violations of established policies and laws.” For example, if a user is downloading massive quantities of licensed database content in violation of our contract with the vendor, we might work internally with UO Information Services to put an embargo upon the user’s account to stop the violating activity; otherwise access for the whole campus to the e-resource might be jeopardized. As another example, if a thief took 50 books off our shelves, we might work with law enforcement to get our books back. On the other hand, if a law enforcement officer came in asking for information about a person's circulation history, we would not provide that information unless a warrant or subpoena were presented and we had consulted with General Counsel.
- A member expressed his view that the draft needed a section describing what the Libraries do to make sure the policy is in force. Everyone has lots of statements, but what you *do* to make them happen is important. A document that lists those might be useful. Transparency also can be a deterrent: people know what will happen if they violate a policy. The Libraries does have procedures on the Intranet, but does not have them on our public website. Adriene will add a section to the draft that will address this concern.
- The policy draft will next be reviewed by the Library Faculty and Officers of Administration (LFOA) body. It is also being reviewed by ALA’s Office of Intellectual Freedom, just to make sure that all bases are covered.
- Library colleagues noted that although the policy content on our website is a bit sparse, privacy was and is being respected in the Libraries. There was a need to have

our policies reviewed and enhanced anyway, but our practices were not in violation of the principles described, in Adriene's perspective.

Summit Update

Sara Brownmiller provided an update on Summit, the service used to request items from other libraries in the Orbis Cascade Alliance Consortium:

- Summit moved to a different software program for requesting items. The new Summit software provides a much easier interface for faculty and students to place a request for Summit items.
- The transition occurred in January following the migration of all Alliance libraries to a common software for all staff functions.
- There was a very rapid development timeline for the resource sharing software used for Summit borrowing. Because of the quick timeline, Alliance libraries were not able to test this new software as thoroughly as we would have liked before the go live, resulting in a temporary decline in service.
- The vendor, Alliance staff, and staff in member libraries, including the UO, are actively working on improvements. A re-indexing of the entire system is being performed, and we should see improvement once it is completed (takes about 80 hours).
- Follow-up after the ULC meeting: the re-indexing was completed in the expected timeframe. Library staff saw an immediate reduction in problems encountered in the software, resulting in improved service to faculty and students.

Business and Economics Journals

- The Libraries have worked with the Business School and with the Economics department to come up with a list of print business and economics journal titles that could be removed from library stacks. This will result in approximately 4000 volumes being taken off the shelf to help relieve overcrowding.
- What should our next step be regarding this process?
 - A study on how many people using print versus electronic versions of journals: This would be difficult because, until very recently, the Libraries has not had a re-checking policy for journals used in-house, so there is no way to check on use of print volumes.
 - Share a final list with other faculty of what exactly would be removed. Any next departments in particular? Maybe some of the social sciences, psychology.
- Electronic journals: Mark Watson noted that if we stop subscribing to an electronic journal, we still have access to the ones we purchased and can also access print volumes through our participation in consortium-based efforts.