

CCS Governing Board Policies

June 2020

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Introduction

Revised December 2018

The following policies have been adopted by the CCS Governing Board. The policies are to inform all members of their rights and responsibilities. They shall be reviewed on a regular basis and revised as deemed necessary, with the dates of revision following each policy title.

Mission and Vision Statements

MISSION: CCS provides access to shared, cost effective library technology and serves as a collaborative learning hub to unveil the future.

VISION: CCS promotes innovation and efficiency among member libraries, and it delivers a reliable, user-friendly experience for library users.

Bylaws and Policies Review

All CCS Bylaws and policies will be reviewed as needed by the Bylaws and Policies Committee or at the request of at least five CCS members.

Changelog

October 2019 – Billing for Lost or Damaged Intra-CCS Loan Items revised

June 2020

- Patriot Act policy based on current status of legislation
- Fiscal Accountability policy updated to conform with November 2019 governance changes
- Public Participation and Comment updated to better adhere to OMA
- Patron Accounts updated to incorporate new practices

Administration

Revised December 2018

Archives

An archival file as stipulated in the CCS Bylaws shall be maintained under the direction of the CCS Executive Director and under the official custody of the CCS Operations Manager.

Record retention

SECTION 1: Definitions.

"Public record" means any book, paper, map, photograph, digitized electronic material, or other official documentary material regardless of physical form or characteristics, made, produced, executed, or received by Cooperative Computer Services ("CCS") or any officer thereof pursuant to law or in connection with the transaction of CCS business, and preserved or appropriate for preservation by CCS, or any successor thereto, or any officer as evidence of the organization, function, policies, decisions, procedures, or other activities of CCS, or because of the informational data contained therein. Reports and records of the obligation, receipt and use of public funds, including certified audits, management letters and other audit reports made by certified public accountants and presented to the Governing Board of CCS are "public records". "Public record" does not include library material made or acquired and preserved solely for reference purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents. Paper copies of registration records, as defined in Section 1 of the Library Records Confidentiality Act (75 ILCS 70/1), shall not be considered public records once the information contained in the paper registration records is transferred into a secure electronic format and checked for accuracy.

SECTION 2: Application of Freedom of Information Act.

Records and reports prepared or received by CCS shall be covered by the provisions of the Illinois Freedom of Information Act.

SECTION 3: Storage of Records.

The records of CCS shall be kept at the official place of business of CCS, or at a designated site for the storage of official CCS records. No records made or received by or under the authority of, or coming into the custody, control, or possession of CCS or any officer thereof shall be mutilated, destroyed, transferred, removed or otherwise damaged or disposed of, in whole or in part, except as provided bylaw.

SECTION 4: Storage of Public Records.

Except as otherwise provided by law, no public records of CCS shall be disposed of by CCS or any officer thereof unless the written approval of the appropriate Local Records Commission is first obtained. The regulations of the Local Records Commission shall be binding on CCS and its officers.

SECTION 5: Disposition of Non-Record Materials.

Non-record materials or materials not included within the definition of public records as set forth in this Policy which are in the possession of CCS may be destroyed at any time without prior approval of the Local Records Commission.

SECTION 6: Disposition of Public Records No Longer Having Administrative, Legal or Fiscal Value and That Have Been Held for the Required Retention Period.

The CCS Executive Director shall submit to the Local Records Commission, in accordance with regulations of the Commission, lists or schedules of public records of CCS in the custody of the CCS Executive Director that are no longer needed in the transaction of current business and that do not have sufficient administrative, legal or fiscal value to warrant their further preservation. The CCS Executive Director shall also submit lists or schedules proposing the length of time each records series warrants retention for administrative, legal or fiscal purposes after it has been received by CCS. Attached hereto and incorporated by reference herein as Exhibit A is the CCS Record Retention Schedule.

Communications Media Management

Media inquiries pertaining to the affairs of CCS should be handled as follows, for the sake of having the appropriate spokespersons comment and the most timely and accurate information provided:

- For questions directed to a library pertaining to that library specifically, the library should handle the inquiry according to local guidelines.
- For questions involving policy, the perspective of a CCS member, etc., the media should be referred to the President or, if unavailable, the Vice President/President-Elect of CCS.
- For questions regarding technology or operations, the media should be referred to the CCS Executive Director.

Any of these individuals may designate a surrogate as necessary and appropriate.

When beneficial, CCS will generate a FAQ (Frequently Asked Questions) document and circulate it to members. CCS will note whether the document is intended for distribution within libraries only.

Legal Counsel

The Governing Board of CCS reserves the right to:

- Engage its' own counsel
- Agree to the terms by which legal counsel shall be compensated, and
- Decide under what circumstances legal counsel shall be employed

The CCS Executive Director is empowered to employ the CCS or other legal counsel as operational needs require.

An individual CCS member desiring legal clarification relative to the meaning of any CCS document may use the services of the CCS Attorney or any Attorney of its own choosing. All legal expenses (those of the individual library's own Attorney as well as those, if any, of the CCS Attorney) resulting from such inquiry are the responsibility of the individual library.

Indemnification of Governing Board Members, Officers, Employees and Agents

1. Cooperative Computer Services ("CCS"), an intergovernmental agency formed pursuant to the applicable provisions of the Constitution of the State of Illinois and the Intergovernmental Cooperation Act (5 ILCS 220/ 1 et seq.), may indemnify any person who was or is a party, or is threatened to be made a party, to any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative (other than an action by or in the right of CCS) by reason of the fact that he is or was a member of the Governing Board, officer, employee or agent of CCS, against expenses (including attorneys' fees), judgments, fines and amounts paid in settlement, actually and reasonably incurred by him in connection with such action, suit or proceeding, if he acted in good faith and in a manner he reasonably believed to be in, or not opposed to, the best interests of CCS, and, with respect to any criminal action or proceeding, had no reasonable cause to believe his conduct was unlawful. The termination of any action, suit or proceeding by judgment, order, settlement, conviction, or upon a plea of nolo contendere or its equivalent, shall not of itself, create a presumption that the person did not act in good faith and in a manner which he reasonably believed to be in, or not opposed to, the best interests of CCS, and, with respect to

any criminal action or proceeding, had reasonable cause to believe that his conduct was unlawful.

2. CCS may indemnify any person who was or is a party, or is threatened to be made a party, to any threatened, pending or completed action or suit by or in the right of CCS to procure a judgment in its favor by reason of the fact that he is or was a member of the Governing Board, officer, employee or agent of CCS, against expenses (including attorneys' fees) actually and reasonably incurred by him in connection with the defense or settlement of such action or suit, if he acted in good faith and in a manner he reasonably believed to be in, or not opposed to, the best interests of CCS, and except that no indemnification shall be made in respect of any claim, issue or matter as to which such person shall have been adjudged to be liable to CCS, unless and only to the extent that the court in which such action or suit was brought shall determine upon application that, despite the adjudication of liability but in view of all the circumstances of the case, such person is fairly and reasonably entitled to indemnity for such expenses which such court shall deem proper.

3. To the extent that a member of the Governing Board, officer, employee or agent of CCS has been successful on the merits or otherwise in defense of any action, suit or proceeding referred to in subsections (a) and (b) of this Policy, or in defense of any claim, issue or matter therein, he shall be indemnified against expenses (including attorney's fees) actually and reasonably incurred by him in connection therewith.

4. Any indemnification under subsections (a) and (b) of this Policy (unless ordered by a court) shall be made by CCS only as authorized in the specific case upon a determination that indemnification of the member of the Governing Board, officer, employee or agent is proper in the circumstances because he has met the applicable standard of conduct set forth in subsections (a) and (b) of this Policy. Such determination shall be made (1) by the Governing Board by a majority vote of a quorum consisting of members of the Governing Board who were not parties to such action, suit or proceeding, or (2) if such a quorum is not obtainable, or, even if obtainable, a quorum of disinterested members of the Governing Board so directs, by independent legal counsel in a written opinion, or (3) by the Member Libraries of CCS.

5. Expenses (including attorneys' fees) incurred by an officer or member of the Governing Board in defending any civil, criminal, administrative or investigative action, suit or proceeding may be paid by CCS in advance of the final disposition of such action, suit or proceeding, upon receipt of an undertaking by or on behalf of such member of the Governing Board or officer to repay such amount if it shall ultimately be determined that he is not entitled to be indemnified by CCS as authorized in this Policy. Such expenses (including attorneys' fees) incurred by other employees and agents may be so paid upon such terms and conditions, if any, as the Governing Board deems appropriate.

6. The indemnification and advancement of expenses provided by, or granted pursuant to, the other subsections of this Policy shall not be deemed exclusive of any other rights to which those seeking indemnification or advancement of expenses may be entitled under any law or any bylaw, agreement, vote of the Member Libraries of CCS or disinterested members of the Governing Board, or otherwise, both as to action in his official capacity and as to action in another capacity while holding such office.

7. CCS may purchase and maintain insurance on behalf of any person who is or was a member of the Governing Board, officer, employee or agent of CCS, against any liability asserted against him and incurred by him in any such capacity, arising out of his status as such, whether or not CCS would have the power to indemnify him against such liability under this policy.

8. The indemnification and advancement of expenses provided by, or granted pursuant to, this Policy shall, unless otherwise provided when authorized or ratified, continue as to a person who has ceased to be a member of the Governing Board, officer, employee or agent and shall inure to the benefit of the heirs, executors and administrator of such a person.

9. If a claim under this Policy is not paid in full by CCS within ninety (90) days after a written claim has been received by CCS, the claimant may at any time thereafter bring suit against CCS to recover the unpaid amount of the claim and, if successful in whole or in part, the claimant shall be entitled to be paid in addition the reasonable expense (including reasonable attorney's fees) of prosecuting such claim. It shall be a defense to any such action (other than an action brought to enforce a claim for expenses incurred in defending any action or proceeding in advance of its final disposition where the required undertaking has been tendered to CCS, unless such action is based on the claimant having committed an act involving moral turpitude) that the claimant has not met the standards of conduct which make indemnification permissible under this Policy; but the burden of proving such defense shall be on CCS. Neither the failure of CCS (including its Governing Board, independent legal counsel, or its Member Libraries) to have made a determination prior to the commencement of such action that indemnification of the claimant is proper in the circumstances because he or she has met the applicable standard of conduct set forth in this Policy, nor an actual determination by CCS (including its Governing Board, independent legal counsel, or its Member Libraries) that the claimant has not met such applicable standard of conduct, shall be a defense to the action or create a presumption that the claimant has not met the applicable standard of conduct.

10. The provisions of this Policy shall be a contract between CCS and each member of the Governing Board, officer, employee and agent to which this Policy applies. No repeal or modification of this Policy shall invalidate or detract from any right or obligation of CCS with respect to any state of facts existing prior to the time of such repeal or modification.

Patriot Act

Public Law 107-56, commonly known as the “USA Patriot Act,” became law on October 26, 2001. The USA Patriot Act contains a number of provisions intended to expedite law enforcement. Several sections of the USA Patriot Act may implicate information generated and or retained by CCS and its member libraries, particularly in terms of law enforcement access to library records, and the use of library facilities for surveillance and wiretapping purposes.

CCS and its member libraries are subject to the Illinois Library Records Confidentiality Act (75 ILCS 70/1 *et seq.*) This Act forbids publishing or making public, except pursuant to court order, any information contained in the “registration records” or “circulation records.” For purposes of this Act, a valid subpoena or search warrant would constitute a “court order.”

This Policy refers to some of the provisions of the USA Patriot Act and describes the CCS protocols which are to be followed.

1. Required Disclosures of Electronic Communications

Under existing federal law, knowing disclosure of the contents of any transmitted or stored electronic communication may be illegal. A number of statutory exceptions already exist, and the USA Patriot Act has created a further exception for “required disclosures” involving law enforcement. These exceptions expand the scope of obtainable materials and the grounds upon which law enforcement officials may obtain and serve authorizations for their disclosure.

If an individual states to a CCS employee that the individual is a law enforcement agent, and requests the CCS employee to provide the contents of electronic communications or any information about users of library materials or facilities of CCS or any of its member libraries, do not disclose any information. Instead, contact CCS Privacy Officer; and if no CCS Privacy Officer is available, contact both the Attorney for CCS and the CCS President.

2. Emergency Disclosures

The USA Patriot Act added a new voluntary disclosure exception for emergency situations. Under this exception, if a provider of electronic communication services reasonably believes that an emergency involving immediate danger of death or serious physical injury to any person justifies the disclosure of certain information, the provider may disclose that information to a law enforcement agency.

If a CCS employee in the course of CCS business operations reasonably believes that the CCS employee has accessed information about an emergency involving immediate danger of death or serious physical injury, contact the local police immediately. After contacting the local police, report that contact and the underlying information immediately to CCS Privacy Officer; and if no CCS Privacy Officer is available, contact both the Attorney for CCS and the CCS President.

3. Computer Trespass

Under the USA Patriot Act, owners or operators of electronic systems may authorize federal law enforcement agencies to investigate computer trespass. A “computer trespasser” is defined as the person who accesses a protected computer without authorization and, thus, has no reasonable expectation of privacy in any communication transmitted to, through or from the protected computer.

Any CCS employee who knows or believes that the CCS computer system has been compromised by a computer trespasser should first report this information to CCS Privacy Officer. If the CCS Privacy Officer would like to have a law enforcement agency investigate the matter, the CCS Privacy Officer will either contact the law enforcement agency or decide which CCS employee should do so.

4. General Protocols

The following protocols are applicable generally with respect to the USA Patriot Act:

- If anyone claiming to be a law enforcement official approaches a CCS employee to request information, do not disclose any information to that individual. Immediately contact a CCS Privacy Officer.
- The CCS Privacy Officer will ask to see official identification of the alleged law enforcement official, and will make a photocopy of the alleged official’s ID.
- If anyone claiming to be a law enforcement official presents a subpoena or a search warrant, do not provide any information whatsoever. Instead, the CCS employee should direct that person to a CCS Privacy Officer or to the employee’s Supervisor or Department Head.

- The CCS Supervisor, Department Head or Privacy Officer will make a photocopy of the subpoena or search warrant (and of the law enforcement official's ID), and then will contact both the Attorney for CCS and the CCS President.
- CCS Attorney will examine any subpoena or court order for its validity, including the manner it was served on CCS, the breath of its request for information, its form, and whether there was sufficient showing of good cause made to the court. If a defect exists, the CCS Attorney will advise the CCS Executive Director or designee. The CCS Attorney will determine whether it is appropriate to request the court that issued the subpoena or court order to enter its protective order keeping the CCS information confidential and limited to use in the particular case, with access thereto restricted to those law enforcement officials directly involved in such case.
- CCS will provide information strictly in accordance with the terms of the subpoena or court order, and will not provide any information not specifically requested therein.
- CCS's information and materials as identified in a proper subpoena or search warrant will be gathered by CCS staff and presented to the law enforcement official in question, rather than allowing such official go through the CCS database and records.
- If anyone claiming to be a law enforcement official asks for information but does *not* present a subpoena or a search warrant, the CCS Privacy Officer must not disclose any information. Instead, the CCS Privacy Officer will explain the requirements of the Library Records Confidential Act.
- Each CCS employee, including Privacy Officers, must keep a log of his or her contacts by law enforcement officials, including a record of all requests for information and all costs incurred in connection with any search or seizure, or in providing other information (written or oral) to any law enforcement official.
- On or after the scheduled expiration date of Section 215 of the USA Patriot Act, or at such earlier or later time as permitted by law, each CCS employee must deliver his or her log to the CCS Executive Director for review and photocopying.

5. FISA Search Warrants

- The USA Patriot Act provides for issuance of search warrants under the federal Foreign Intelligence Surveillance Act ("FISA"), and also for orders issued as a National Security Letter ("NSL"). If CCS receives a FISA warrant or NSL, it will be presented by an FBI agent. With respect to FISA search warrants and NSLs, they may contain a "gag order" prohibiting CCS and its employees from disclosing that such warrant or NSL has been served on CCS, and from disclosing that CCS records or materials have been produced pursuant to such warrant or NSL. In such circumstances, CCS and its staff must comply with the search warrant or NSL and must not disclose information to any other person (not present at the time the warrant or NSL was served), including CCS member libraries and the library patron in question. Note that a Patriot Act gag order does permit the CCS person receiving the FISA warrant or NSL to inform the CCS

Executive Director and those members of the CCS staff who are needed to produce the records. The gag order does not change CCS's right to legal representation during the search; so CCS can still seek legal advice concerning the warrant or NSL, and request that CCS's legal counsel be present during the actual search and execution of the warrant or NSL.

Governance

Fiscal Accountability Policy

I. Purpose

The purpose of the Fiscal Accountability Policy for Cooperative Computer Services (CCS) is to provide a framework for the Governing Board and CCS Staff for the fiscal operations of CCS, to assure sound fiscal management and to outline responsibilities for management of CCS funds.

II. Scope

This Fiscal Accountability Policy applies to the financial and investment activities of all funds under the direction of CCS. This policy also applies to any new funds or temporary funds placed under the direction of CCS.

III. General

- A. CCS financial policies and procedures shall be in accordance with Illinois law.
- B. As stated in CCS's Bylaws, CCS's Treasurer shall be bonded in an amount and with sureties approved by the Board. The amount of the bond shall be based on a minimum of 50% of the total funds received by CCS in the previous fiscal year or as otherwise required by law. The cost of the surety bond shall be borne by CCS.
- C. The current and past seven years' financial records of CCS shall be maintained and kept at CCS. CCS will maintain records in accordance with the Local Records Act (50 ILCS 205).
- D. CCS shall maintain an inventory of capital purchases.
- E. Roll call action shall be taken by the Governing Board on all financial matters.
- F. CCS Governing Board members with conflicts of interest shall resign from the Governing Board before the vote is taken in accordance with the Public Officer Prohibited Activities Act (50 ILCS 105) and any other applicable statutes. In the event of a common law conflict where the authorized representative is unable to serve as a member of the Governing Board, the Alternate Representative may vote on behalf of the member library.
- G. The total budget by fund shall be approved by the Governing Board.

IV. Deposits

- A. All revenue received by CCS shall be deposited in accordance with internal control procedures.
- B. Deposits in any one institution may not exceed the FDIC insured amount without a signed collateralization agreement (see Section VII. G).

V. Expenditures and Other Financial Transactions

- A. Authorized signatories are the Board President, Treasurer, CCS Executive Director, and designated CCS Manager.
- B. The CCS Executive Director is responsible for carrying out the day to day operations within budget as set by the Governing Board.
- C. The CCS Executive Director is authorized to purchase or lease additional material, goods, equipment, or services, the cost of which is less than \$5,000.

The CCS Executive Director is authorized to purchase or lease additional material, goods, equipment, or services, the cost of which is between \$5000 and \$25,000 with the approval of the CCS Executive Committee. CCS may spend in excess of \$25,000.00¹ only after completing the formal bid process in accordance with Section VIII C.

In case of bona fide emergency, the CCS Executive Director may spend up to \$10,000 with the approval of any two members of the Executive Committee.

- D. CCS Executive Director has the authority to renew annual operating and maintenance contracts .

Contracts for services outside of annual operation and maintenance contracts, such as capital improvements or planning, must be approved by the Executive Committee or Governing Board in accordance with Section V part C. The Executive Committee or the Governing Board may give the CCS Executive Director approval to negotiate and sign the contract documents, as long as the body has approved the service provider and a not-to exceed amount.

- E. Under no circumstances may a signatory sign a document for which that signatory is a payee.
- F. All financial transactions shall be reported to the Executive Committee at its regularly scheduled meeting.

VI. Routine Banking

- A. The CCS Executive Director or his/her designee is authorized to make deposits into appropriate accounts established with the approval of the CCS Governing Board.
- B. The CCS Executive Director or his/her designee is authorized to transfer funds from one CCS account to another CCS account for payment of CCS bills that have been approved by the Governing Board.

¹ The statutory amount is \$20,000 and this entry cannot be any higher than that but can be lower at the discretion of the Governing Board, where it is self-imposing a bidding requirement earlier or at a lower than required amount.

- C. ACH payments may be made on a monthly basis for vendors approved by the Executive Committee at amounts no higher than \$5,000. ACH payments shall be reported in the monthly financials.
- D. Two signatures will be required on regular checks payable by CCS. The signatories shall be any two (2) of the CCS President, CCS Treasurer, Executive Director, and designated CCS Manager.
- E. A credit card will be maintained for CCS use.

VII. Investments

- A. All investment policies, procedures, and practices of CCS shall be in accordance with Illinois law. The general authority of the Governing Board to control and invest public funds is defined in the Illinois Public Funds Investment Act [30 ILCS 235].
- B. Management Program, Internal Controls, and Delegation of Authority
 - i. Responsibility for—and management of—the investment policies, procedures, and practices are delegated to the Executive Committee’s Treasurer—hereby designated the Chief Investment Officer of CCS—acting under the general oversight and authority of the Executive Committee. The Treasurer, as Chief Investment Officer, and CCS Executive Director are responsible for establishing, implementing, and administering CCS’s investment program.
 - ii. In addition to the guidelines contained in this policy, the Treasurer shall establish, implement, oversee, and periodically review a system of internal controls and written operational procedures designed to prevent loss, theft, or misuse of funds. Such procedures shall include explicit delegation of authority to persons responsible for execution of financial activities under the direction of the Treasurer, including: investment transactions; check signing; check reconciliation; deposits; report preparation; and wire transfers.
- C. Prudent Person Standard
 - i. The standard of care applicable to investment of CCS funds is the “prudent person” standard of care. Using this standard, investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the possible income to be derived.
 - ii. When acting in accordance with this standard of care and exercising due diligence, the Treasurer and others authorized to act on his or her behalf, shall be relieved of personal responsibility for an investment credit risk or market price and value changes, provided that deviations from expectations are reported in a timely fashion, and appropriate action is taken to control adverse developments.
- D. Objectives and Guidelines

- i. It is the Board’s policy to place idle funds in relatively risk-averse assets that will provide the highest return possible while meeting the cash flow demands of CCS.
- ii. When selecting financial institutions and investment instruments for CCS funds, the following general objectives and guidelines should be considered in the order listed:
 - a) Legality and Safety — Investments shall be made only in securities guaranteed by the United States Government or in institutions insured by the Federal Deposit Insurance Corporation (FDIC). Accounts in banks will not exceed the amounts insured under FDIC coverage, unless they are adequately collateralized.
 - b) Liquidity — The types and lengths of investments should be managed to ensure that CCS is able to meet the cash flow requirements for ongoing operations and capital expenditures.
 - c) Return on Investment — Within the constraints imposed by considerations of legality, safety, and liquidity, every effort should be made to achieve a maximum returns on investments. All available funds shall either be invested or kept in interest bearing deposit accounts.
 - d) Simplicity of Management — The Treasurer, CCS Executive Director, and other designated administrative staff must be able to manage CCS investments effectively and efficiently within the time constraints imposed by other responsibilities and the limitations imposed by their respective levels of financial expertise.

E. Investment Instruments

Authorized investments shall be limited to the instruments listed below:

- i. Treasury bills, bonds, or other securities issued and guaranteed by the United States Government, its agencies or instrumentalities.
- ii. The Illinois Funds.
- iii. Interest bearing NOW (Negotiable Order of Withdrawal) accounts, time deposits, or any other investments constituting direct obligations of any bank as defined by the Illinois Banking Act; and Certificates of Deposit with federally insured institutions that are collateralized or insured at levels acceptable to CCS in excess of the current FDIC coverage limit.
- iv. Other investments that are permitted under Illinois law and satisfy CCS’s investment objectives provided any such investment is specifically approved and authorized in advance by the Executive Committee.
- v. Investments may be made only in those savings banks or investment certificates of which are insured by the FDIC.
- vi. Investment products that are considered to be derivatives are specifically excluded from approved investments.

F. Diversification

- i. It is CCS's policy to diversify its investment portfolio in order to minimize the risk of loss resulting from over concentration in a specific maturity, issuer, or class of securities. Diversification strategies shall be determined and revised periodically by the Treasurer, with the advice and counsel of the Budget and Finance Committee.
- ii. The principle of diversification shall be applied in accordance with the following parameters:
 - a) Treasury bills, bonds, or other securities issued and guaranteed by the United States Government, its agencies or instrumentalities—Up to 100% of the investment portfolio.
 - b) The Illinois Funds—Up to 75% of the investment portfolio.
 - c) Interest bearing NOW (Negotiable Order of Withdrawal) accounts, time deposits, or any other investments constituting direct obligations of any bank as defined by the Illinois Banking Act. Up to 75% of the investment portfolio;
 - d) Certificates of Deposit with federally insured institutions that are collateralized or insured at levels acceptable to CCS in excess of the current FDIC coverage limit—Up to 75% of the investment portfolio.
 - e) Other investments that are permitted under Illinois law and satisfy CCS's investment objectives, provided any such investment is specifically approved and authorized in advance by the Board —Up to 15% of the investment portfolio.

G. Collateralization and Safekeeping

- i. Time deposits in excess of FDIC insurable limits must be secured by collateral or private insurance. Eligible collateral instruments are any investment instruments acceptable under the Illinois Public Funds Investment Act. The collateral must be placed in safekeeping at or before the time CCS makes the investment(s).
- ii. Third-party safekeeping is required for all collateral. To accomplish this, the securities serving as collateral must be held at one or more of the following locations: [1] a Federal Reserve Bank or its branch office; [2] another custodial facility in a trust or safekeeping department through book-entry at the Federal Reserve; [3] an escrow agent of the pledging institution; or [4] the trust department of the issuing bank. Safekeeping shall be documented by an approved written agreement that complies with FDIC regulations. Substitution or exchange of collateral held in safekeeping for CCS can be approved exclusively by the Treasurer, and only if the market value of the replacement collateral is equal to or greater than that of the collateral being replaced.

H. Authorized Financial Institutions

- i. Financial institutions shall be considered and authorized only by action of the Executive Committee, upon the recommendation of the Treasurer.

- ii. The Treasurer shall maintain a list of institutions authorized to provide investment services to CCS.
 - iii. Demand Deposits: Any financial institution selected by CCS shall provide normal banking services, including, but not limited to: NOW accounts, wire transfers, and safekeeping services. CCS will not keep funds in any financial institution that is either not a member of the FDIC or a credit union covered by NCUSIF.
 - iv. Certificates of Deposit: Any financial institution selected to be eligible for CCS's certificate of deposit purchase program must: [1] provide wire transfer and certificate of deposit safekeeping services; and [2] be a member of the FDIC and be willing to and capable of posting the required collateral or private insurance for funds in excess of FDIC insurable limits.
- I. Financial and Investment Services Providers
- i. Investment advisors, money managers, and similar service providers may be engaged on an as-needed basis by action of the Executive Committee. This process will be designed and coordinated by the Treasurer and the Budget and Finance Committee.
- J. Performance
- i. The Treasurer shall seek to earn a reasonable rate of return on investments consistent with the objectives stated in this policy.
- K. Reporting and Review
- i. Investments, fund balances, and the status of such accounts shall be reported at each regularly scheduled Executive Committee meeting. At least quarterly, reports shall include information regarding securities in the portfolio by class or type, book value, income earned, and market value as of the report date.
 - ii. The Treasurer shall review this Policy annually and report annually to the Governing Board on the investment portfolio and the portfolio's compliance with this Policy.
- L. Ethics and Conflicts of Interest
- i. Officers and employees involved in the investment process shall not engage in personal business activity that could conflict with the proper execution and management of this policy, or that could impair their ability to make impartial decisions.
 - ii. Employees and investment officials shall disclose any material interests in financial institutions with which they conduct business. They shall further disclose any personal financial/investment positions that could be related to the performance of the investment portfolio.
 - iii. Except as permitted under the Public Officer Prohibited Practices Act, no officer or employee involved in the investment process shall have any interest in, or receive any compensation from, any investments in which CCS invests, or the sellers, sponsors, or managers of those investments.

VIII. Purchasing and Bids

- A. Unless otherwise provided for in this policy, the CCS Executive Director shall have the authority to purchase or lease products and services, provided that the amount expended for any expense line of the annual budget shall not exceed the amount budgeted without the prior approval of the CCS Governing Board. Staff will act to procure quality products and services at the lowest possible cost, consistent with the needs of the user departments with regard to durability, performance, delivery, and service.
- B. All purchases for goods and services for CCS shall be authorized by CCS Executive Director through established procedures.
- C. When the cost is in excess of \$25,000, the Governing Board shall advertise for bids and award the contract to the lowest responsible bidder. Bidding is not required in the following cases:
 - Contracts for goods or services that are economically procurable from only one source;
 - Contracts for the purchase of magazines, books, periodicals, electronic databases, and similar articles of an educational or instructional nature;
 - Contracts for the services of individuals possessing a high degree of professional skill, where the ability or fitness of the individual plays an important part;
 - Contracts for the maintenance or servicing of equipment that are made with the manufacturers or authorized service agents of that equipment;
 - Goods or services that are procured from another governmental agency;
 - Contracts which by their nature are not adapted to award by competitive bidding, and contracts for utility services such as water, electricity, gas, internet, or telephone;
 - Involving public health, public safety, or in the event of a bona fide emergency;
 - Purchases of less than twenty thousand dollars (\$20,000) except when a lower amount is established at the discretion of the Governing Board in accordance with Section V C.
- D. For other purchases for services, materials, equipment, or supplies, other than professional services, with a value greater than \$5,000 whenever feasible, of three or more competitive quotations will be sought.

IX. Disposal of CCS Surplus Property

- A. For purposes of this Policy, “surplus property” is any asset owned by CCS that is no longer needed or useful for the provision of CCS services.

- B. The Executive Committee has the authority to determine assets of CCS that are surplus and no longer necessary or useful for CCS purposes, and to provide that such assets may be disposed of in accordance with this Policy.
- C. The CCS Executive Director is authorized to declare as “surplus property” any CCS asset that the CCS Executive Director, as designated agent of the Executive Committee, determines (a) is no longer necessary or useful for CCS purposes and (b) whose market value as reasonably estimated by the CCS Executive Director is less than \$500. At the discretion of the Executive Director, such surplus property can be: a) discarded; b) traded in on new equipment; c) sold; or d) given to local philanthropic, educational, cultural, governmental, or other not-for-profit organizations.
- D. The Executive Committee retains the sole and exclusive right to declare as surplus any CCS materials with a market value of \$500 or more.
- E. If there appears to be significant value or benefit (over \$500), the assets first must be offered at the determined market value to the CCS libraries that funded its purchase.
- F. If no CCS library bids and the value is over \$500, other means to sell the assets such as ads, eBay or other auction outlets should be considered, taking into account the final revenue after seller’s fees are paid. Other options include trading in on new equipment or given to local philanthropic, educational, cultural, government, or other not-for-profit organizations.

X. Credit Cards/Accounts

- A. CCS may maintain a credit card account for use by CCS Executive Director and designated staff. Such business must be documented with receipts to support all purchases.
- B. CCS may maintain credit accounts with suppliers to meet regular operating needs, with authorization of CCS Executive Director.

XI. Governing Board and Executive Committee

- A. CCS Governing Board and Executive Committee Members shall serve without compensation.

XII. CCS Staff

- A. Employees shall be reimbursed for reasonable authorized and approved expenses incurred by them in the performance of their duties. All such expenses must be approved in advance by the CCS Executive Director. Purchases made without the appropriate advance approval shall not be considered reimbursable.
- B. Mileage for automobile travel shall be reimbursed at the current Standard Mileage Rate as determined by the Internal Revenue Service.

- C. Expense reports must be supported by original receipts that document travel expenditures and all approved expenses.

XIII. Budget and Reserves

- A. The CCS fiscal year shall be July 1 through June 30.
- B. CCS may maintain a Development Fund.
- C. The CCS Governing Board shall review all fund balances not less frequently than on an annual basis in conjunction with the annual budget review.
- D. The goal of CCS is to maintain not less than 25% and not more than 50% of the prior year's operating expenditures as operating reserves in the Operating Fund.
- E. Annually, the Budget and Finance Committee shall review and update a list of potential uses (e.g. projects, emergencies) for the Development Fund.
- F. Annually, the Treasurer shall review the financials of the previous fiscal year to determine the amount to transfer from the Operating Fund to the Development Fund.

XIV. Audit

- A. An outside audit of all CCS accounts shall be conducted annually by an independent CPA firm to be delivered to the Governing Board no later than 6 months after the end of the fiscal year; the audit shall be reviewed by the Governing Board.
- B. Every 5 years, or sooner at the Governing Board's discretion, the Budget and Finance Committee shall solicit proposals from at least three auditing firms qualified to conduct an audit of CCS accounts.

Approved by Governing Board July 27, 2016

Public Participation and Comment at Meetings

Pursuant to 5 ILCS 120/2.06(g), the Governing Board of Cooperative Computer Services ("CCS") Library encourages and welcomes public participation and input at all CCS meetings, and will allow any interested individual to speak at CCS meetings pursuant to the guidelines outlined in this policy. The purpose of this policy is to ensure that interested individuals are allowed time to address the Governing Board or, as appropriate, the CCS Executive Committee, while permitting the Governing Board or Executive Committee to conduct its meeting in an efficient and effective manner.

Therefore, during each regular meeting a period of time, not to exceed 15 minutes, will be devoted to concerns presented by the public. Before speaking at a CCS meeting, the members of the public are urged to seek solutions to their concerns through administrative channels.

The following guidelines shall govern members of the public who intend to speak at a CCS meeting:

- Members of the public wishing to speak are asked to sign up with the CCS Executive Director or designee before the start of the CCS meeting, stating their name and, optionally, the topic on which they wish to speak. If applicable, the individual will indicate any organization or association on whose behalf the individual will be speaking. No public comments shall be heard on behalf of or opposed to a candidate for public office, or on any matter that may be subject to discussion by the Governing Board or Executive Committee in closed/executive session in accordance with the Open Meetings Act.
- Public participation and comment will be permitted only during the “Public Comment” portion of the Agenda.
- The Governing Board President or person presiding over the CCS meeting will ask if anyone wishes to address the CCS meeting and will determine the order in which the speakers are to be recognized.
- The time allowed for each person to speak will be not more than five (5) minutes unless the Governing Board President or the person presiding over the meeting grants an extension of time. Speakers must adhere to the time limit allocated and should be brief and to the point.
- Speakers may provide written copies of their remarks to the Governing Board or Executive Committee. Requests to append written statements or correspondence to the CCS meeting minutes are not favored as CCS meeting minutes are a summary of the official discussion and actions. Written materials presented to the Governing Board or Executive Committee must be included in the CCS files, but they will not be attached to the meeting minutes.
- Groups of speakers are requested to designate a single spokesperson.
- Members of the CCS Governing Board or Executive Committee will generally not respond to comments from speakers. The Governing Board President or other presiding officer may, however, respond if appropriate and, for example, direct speakers to the appropriate CCS

staff member for assistance. Issues requiring possible action by the Governing Board or the Executive Committee may be added to a future CCS agenda. Issues that may need to be addressed by the CCS Executive Director will be duly noted.

- Abusive, profane, frivolous, harassing and/or repetitive comments and/or personal attacks will not be permitted and shall promptly be ruled out of order by the Governing Board President or other presiding officer.
- Individuals addressing a CCS meeting must at all times adhere to CCS policies and other rules as may be necessary or appropriate for the efficient and orderly conduct of the meeting.

The Governing Board vests in the Governing Board President or presiding officer the authority to terminate the remarks of speakers who fail to adhere to the above guideline.

All public comment shall be addressed to the Governing Board or Executive Committee as a whole, and no comments shall be addressed to individual members of the Governing Board, Executive Committee, CCS staff or other members of the public.

There shall be no debate or comments by members of the public on any matters raised in the public comment portion of the CCS meeting. The Governing Board or Executive Committee may, however, refer any matter of public comment to the CCS Executive Director, CCS staff, or another appropriate agency for review, or may place the matter on a subsequent agenda for discussion.

No final action may be taken on any public comment or concern which requires a CCS resolution or a written contract, or which has the effect of approving any expenditure of funds. The Governing Board or the Executive Committee may, however, direct that any matter raised on these subjects be set for a future agenda, including the preparation of resolutions or other documents for consideration at such time.

Communications Practices

CCS will post agendas, minutes, and adopted policies of the Governing Board and Governing Board Committees publicly on the CCS website.

Governing Board packets will be sent to Governing Board members and their designees using an email distribution list. It is the responsibility of the library to update emails or inform CCS of changes to ensure delivery. Packets for Governing Board Committees, including Executive Committee, will be sent to members of those committees.

Date Approved 05/24/2017

Membership

Revised December 2018 except as noted

Statement of Membership

CCS members shall adhere to all CCS-approved practices and procedures in addition to those established in the Bylaws, including but not limited to the following:

- CCS Cataloging Rules, authority file and other agreed upon inputting practices including the CCS Cataloging Manual.
- CCS Database Management Policy.
- Participation in CCS interlibrary loan within six months of commencing circulating material in the shared database, using the current agreed-upon practices.
- Approved RAILS policies, procedures and regulations pertaining to its members.

New Members

Application and Orientation

The following steps should be followed when a library applies for membership to CCS and is accepted:

- A library interested in joining CCS should provide written notice to the CCS President and the CCS Executive Director of its interest in joining CCS.

CCS will supply current documents establishing membership and pertinent to membership to the interested library for review.

- CCS-vendor supply agreement (if accessing vendor database)
- CCS-vendor maintenance agreement (if accessing vendor database)
- CCS Membership Ordinance (if to a District Library)
- Intergovernmental Agreement for library computer services
- Bylaws of CCS
- CCS Database Management Policy
- CCS-vendor contracts for other services to be used by the Member Library

When a library decides to become a member of CCS a letter should be sent to the CCS Executive Director and the CCS President including the following information:

- Statement of acceptance of current ordinance or agreement(s) with no change to existing language
- Date when an agreement with CCS is desired and number of user licenses to be ordered and/or services to be used

If accessing CCS Database:

- Projected date for CCS online circulation
- Number of items to be entered into the CCS database
- Number of titles to be entered into the database
- Method of data entry according to the CCS Database Management Model
- Number of registered borrowers
- Projected annual circulation using CCS equipment

The CCS Executive Director must obtain a letter from the appropriate vendor(s) outlining the technical implications and any recommendations for CCS required by the library for membership.

The CCS Executive Committee will review the technical information, discuss any possible effects on service and costs, and make recommendation for or against CCS membership to the Governing Board.

The Governing Board will consider the Executive Committee's recommendation and then act on the library's application for membership.

If the action of the CCS Governing Board is favorable, the library and CCS will execute all necessary agreements. A letter to the CCS Executive Director and President assenting to the CCS Bylaws will be a part of the necessary documentation. All contracts and the Bylaws will be accepted by the library without alteration.

Membership commences when all documentation is properly executed and has been accepted by the CCS Governing Board.

Each new CCS member shall be subject to a retrospective assessment as stipulated in the CCS Bylaws.

Each new CCS member will be assigned a "buddy" library by the CCS Executive Director for the purpose of general staff orientation, preparation and hands-on experience. The new CCS

member shall obtain consent of the “buddy library” before contacting the vendor through CCS for the purpose of scheduling any vendor-provided training sessions. The buddy/new library relationship will be coordinated through the CCS Executive Director. The buddy library should communicate with the new member on a regular basis to monitor progress and problems. Experienced staff from either the buddy library or the computer room will be available to visit the new member to assist in establishing the best locations for equipment, types of equipment and general setup requirements for going online. The CCS Executive Director should also be involved in these recommendations and decisions.

The following information will be provided to a new CCS member by the CCS Executive Director, and reviewed with the new CCS member by the “buddy” library:

- Data entry manuals and other documentation
- Interlibrary loan procedures
- All Governing Board Minutes within the last year
- Operational Specifications
- Installation Specifications
- CCS Policies and Procedures
- All other available procedural documentation
- All Technical Group Minutes within the last year

Orientation at the CCS Computer Center will be provided to the new member in a timely fashion.

A new member should establish contact with the following:

- CCS Catalogers Technical Group
- CCS Database Manager
- CCS ILL Technical Group
- CCS Circulation Technical Group
- Other appropriate CCS Technical Groups
- The Governing Board

Date Reviewed 7/25/12

Date Approved 7/25/12

Orientation and Training

Libraries accepted for membership in CCS shall not be permitted to input data into the database or to go online for circulation purposes until that library has completed orientation and training.

Date Reviewed 7/25/12

Date Approved 7/25/12

Graduated Fees for New Members

Operating costs for new CCS members will be phased in under some circumstances for their first three years of participation, based on two premises:

- the library has interest in joining, but while its operating revenues are increasing, the library is still on the cusp of being able to afford CCS, and
- it is in the interest of present membership to have additional members whose payments would decrease costs for all members, and provide additional resources for the patrons of all CCS libraries. Existing members will not be assessed additional costs to subsidize the phase-in program.

Every library joining CCS is expected to pay startup costs. Certain startup fees (user licenses, data migration, training, SIP licenses, database subscription costs and others to be determined at the time of application) are excluded from the cap on expenses for the prospective member. The cap is applied to ongoing costs for the phase-in.

To qualify for these graduated fees, a library must have a current operating budget smaller than that of any current CCS member at the time of application for membership, and must make a five year commitment to CCS membership by Board action.

For a library which qualifies for the graduated fees, the cap on CCS operating costs will be as follows:

Year 1: 2.5% of the library's operating budget during its most recent fiscal year

Year 2: 5.0% of the library's operating budget during its most recent fiscal year

Year 3: 7.5% of the library's operating budget during its most recent fiscal year

The last two years of the five year commitment will be uncapped, with the library paying its full pro-rated share of CCS expenses.

The costs will be apportioned to the CCS Operating Fund and Development Fund in proportion to their share of projected revenue during the applicable CCS budget year.

Date Reviewed 7/25/12

Date Approved 7/25/12

Billing

Membership Costs

CCS financials are governed by the Fiscal Accountability Policy. The Executive Director will develop budgets for the Operating and Development funds annually, with Governing Board approval, and costs will be apportioned to the membership in accordance with the current membership formula.

The membership formula will be periodically reviewed and approved by the Governing Board, no less than once every five years.

Members will be billed a flat monthly rate as determined during the annual budget process. Library billings in excess of operating costs will be transferred at least annually to the development fund.

Individually and collectively incurred OCLC cataloging and interlibrary loan costs will be apportioned according to relative materials budgets and billed monthly.

Libraries may order items or services through CCS that only impact the ordering library. CCS will bill the libraries for the cost of the item or service. These costs may be billed as incurred or included in the membership formula as appropriate.

Library Buy-Ins

Libraries that buy into optional features after the initial rollout will be charged using the same formula as was used for the original participants or the actual cost presented by the vendor, whichever is greater, unless the Governing Board determines a different pricing formula.

If a library joins the initial participants within a year of the rollout date determined by CCS (when the product is working in the production environment), any revenue from the library joining later will be credited to the previous participants according to the prevailing pricing formula.

If a library joins the users of an optional feature a year or more after the initial rollout date, the proceeds will accrue to the CCS Development Fund.

Date Reviewed 7/25/12

Date Approved 7/25/12

Date Revised and Approved 5/24/17

Termination of Member Libraries

General Considerations

When a CCS Member Library terminates its CCS membership, CCS does not act as an intermediary between the terminating Member Library (hereinafter referred to as the “terminating member”) and its new computer vendor. CCS will not formulate, make independent decisions, or execute autonomously a terminating member’s data conversion strategy. CCS’s function is to help the terminating member and its computer vendor to articulate a data conversion strategy and related tasks with sufficient accuracy and specificity to accomplish the terminating member’s goals. CCS will advise, review communications and suggest possible clarifications, so that CCS can help minimize the chance of errors and avoid problems. As a matter of mechanics, CCS’s own vendor also requires that requests for database manipulation emanate from CCS, not from a Member library or a terminating member, so CCS must sign off on such requests and communicate them to CCS’s vendor on behalf of the terminating member.

All communications about expectations, responsibilities, concerns or requests by the terminating member to CCS must be in writing, including specifications for data extraction or manipulation, requests for printouts or lists, purge criteria, etc.

CCS requires each terminating member to submit a copy of its migration plan as it pertains to CCS, as complete as possible, as soon as possible, including tasks, a time frame and proposed dates.

A terminating member must also submit to CCS a memo (hereinafter referred to as the “Memo”), for distribution to other CCS Member Libraries, no later than sixty (60) days before the effective date of the terminating member’s termination, setting forth specific details about how circulation and ILL procedures, etc., will be affected. The specific procedures mentioned in this example are not recommended in all cases.

The terminating member must notify CCS in writing about billing changes, equipment to be removed from maintenance coverage, data circuits to disconnect, etc. Such notification must comply with the applicable deadlines for modifying billings to CCS from third parties. It is the obligation of the terminating member to obtain the appropriate information from CCS about such deadlines in specific cases, and about contractual requirements, such as termination payments for data circuits.

Data Extraction

The terminating member must designate a contact person, specifying such person’s name, phone number, fax and email address. CCS will create an email distribution list for those involved in the migration at (a) the terminating member, (b) CCS and (c) the terminating

member's computer vendor, but in all cases the terminating member's designated contact person is responsible for requests, etc.

The terminating member must advise CCS in writing as to the terminating member's expectations and schedules for how and when data should be extracted, media, destination, updates, printouts, etc., so

CCS can review these expectations and ask questions and/or make suggestions. CCS will provide a packet of informational guidelines for upfront review by a terminating member and/or its computer vendor. These informational guidelines will indicate the types of files and records, record formats and criteria available for data extraction, related data files, methods/media available, etc. These informational guidelines are subject to the confidentiality requirements of CCS's vendor.

Specific necessary lead time for data extraction is situational. CCS encourages maximum advance notification. CCS will make reasonable efforts to meet the terminating member's timetables, subject to CCS meeting the priorities and the general interests of CCS's membership in the event of scheduling conflicts, and to make reasonable effort to perform work related to terminating libraries during regular hours.

The terminating member is responsible, with optional but recommended assistance from CCS, for formulating a request for a quotation from CCS's vendor for any data manipulation which cannot be done by the CCS staff. CCS will sign off on the terminating member's request and communicate it to the CCS vendor.

The terminating member is responsible for all costs associated with the transfer of data from CCS to the terminating member's new system, and for changes to the CCS database which are a direct result of such termination, including, but not limited to, any overtime pay for CCS staff necessitated by data extraction for the terminating member; storage media; shipping costs; and any data manipulation by CCS's vendor to clean up the terminating member's data, including the timely removal of the terminating member's items and unique title data from the CCS database. Approximate costs for the terminating member may range from \$1,500 to \$5,000.

OCLC Issues

The terminating member is responsible for notifying the ILLINET/OCLC Services Office of its effective date of termination. OCLC can be consulted for its services to store database

activity and deliver machine-readable products for the terminating member's independent database in a customized manner.

The terminating member must notify the CCS Administrative Secretary of its anticipated last day of JED/OCLC use, and also of the terminating member's actual last day of JED/OCLC use. JED/OCLC billing adjustments must be anticipated so that budgeting and accounting software can be updated. JED/OCLC billing to the terminating member will cease at the correct time.

Copies of correspondence between a terminating member and OCLC or the ILLINET Office at the State Library which pertain to CCS and/or the JED OCLC profile must be promptly delivered to the CCS Database Manager.

Other Data Considerations

The terminating member must shadow, remove or convert all its on-shelf items to non-holdable, as soon as possible after the date on which the terminating member is no longer circulating such items via CCS, and, in all events, not later than thirty (30) days after the said date, so that such items will not be stuck at In Transit status. Access to CCS will be provided for this purpose at no charge to the terminating member, and for the deletion of all the terminating member's items and related information from the

CCS database. Such access will be provided within a period of time mutually agreed upon by CCS, CCS's vendor and the terminating member.

The terminating member must resolve all its open holds for its patrons in the CCS database. Such resolution may involve a request to CCS's vendor (for which the terminating member will be financially responsible), manual cancellation, re-faxing, etc. A plan and time frame must be incorporated into the Memo (referred to in the fourth paragraph under Paragraph No. 1 ("General Considerations") above.

The terminating member must also notify the CCS Database Manager of the effective date of its termination and other timetables pertinent to the CCS Bibliographic Database Management Model. Compliance with the Model and commitments to fully enter and upgrade MARC records must be reviewed by the terminating member and the CCS Database Manager.

General Responsibilities

Each terminating member remains obligated for its share of CCS group commitments made before its decision to terminate, e.g., for its share of client licenses, and OCLC cataloging charges.

A terminating member must phase out its ongoing participation in CCS consortial group database subscriptions, as follows:

- A monthly administrative fee of \$50 per discount program in which the terminating member participates through CCS will be billed to the terminating member, for each month or part thereof between the effective date of termination and the renewal date for the contract with the vendor for the discount program. This fee, which may be modified from time to time, reflects possible overhead to CCS for administering and supporting the product; and
- Effective upon the contract renewal date following the effective date of termination, a terminating member may not participate in CCS consortial discount programs.

The Administrator of a terminating member must participate in an exit interview with the CCS Executive Committee prior to the effective date of termination.

Nothing in these Guidelines shall be construed in such manner as to contravene or supersede the CCS By-Laws, the pertinent provisions of which are incorporated herein by reference.

Database Management

Revised December 2018

Data Entry

Any records entered in a CCS database must be entered according to the most recent guidelines in the CCS Cataloging Manual or Patron Data Entry Standards. All data entry will follow the CCS Database Management Policy.

These documents will be incorporated into applicable training and orientation.

Database Management Policy

I. Purpose

The Cooperative Computer Services' database is a shared resource created for and by the members of the consortium. Through it the CCS libraries realize the following goals:

- To maintain a reliable and current union catalog of their holdings
- To provide consistent, specific and detailed access to the full intellectual substance of those holdings
- To cooperatively manage a shared patron database for ease in reciprocal borrowing
- To effectively evolve with electronic resources in order to make electronic resource access seamless for patrons

The successful maintenance of this database necessitates a consortium-wide commitment to these goals. Member libraries must agree on common cataloging standards and practice common data entry procedures. In return they enjoy the benefits of cooperation, which include

- Convenience of access to a larger pool of resources for patrons
- Distribution of responsibility, effort and cost
- Large pool of talent and resources
- Cost savings under a shared bibliographic utility
- Opportunities, e.g. training, advocacy, which generally accrue to larger libraries

The CCS Database Management Policy (DMP) is founded on that commitment to shared goals and is, in turn, the foundation on which consensus is built. Specifically, the DMP:

- Describes basic responsibilities of each library
- Describes the responsibilities of CCS central management
- Acknowledges CCS's reliance on a shared bibliographic utility as the primary source of records
- Outlines the means for assuring quality in the database

While the DMP provides a framework of responsibilities, each library is free to meet its obligations using the staff, budget, workflow and technological tools which best suit its

situation.

The Database Management Policy expands upon, modernizes, and supersedes the Bibliographic Database Management Model in all its prior iterations.

II. Responsibilities of Member Libraries

Each CCS member library

- A. Will comply with the Database Management Policy, the CCS Cataloging Manual, and other agreed upon shared procedures for database consistency and quality
- B. Will employ a staff with competencies in technical services to supervise the library's bibliographic data creation and entry. These competencies should include a graduate degree in library science or equivalent experience, working knowledge of current, nationally adopted cataloging rules, MARC bibliographic format, Library of Congress subject headings, and bibliographic utilities such as OCLC
- C. Will ensure that all the library's database maintenance staff are trained to the level required by the CCS-defined core requirements for the work they do
- D. Will have a connection to the shared bibliographic utility and be authorized as a user
- E. Will have approved means, e.g. CCS vendor software, shared bibliographic utility software, third party software, to
 - o view and edit existing records in the CCS bibliographic database
 - o create records or acquire records from authorized sources, edit and transfer them to the CCS database
- F. Is still responsible for other activities that are not part of the shared databases, e.g., acquisitions, 3rd party databases, and RFID.
- G. Is responsible for acquisition and maintenance of database management equipment not covered by any consortium contract and ongoing training of its staff in the use of that equipment
- H. Will keep accurate statistics as required
- I. Will send a representative to applicable CCS meetings . Member libraries will encourage their staff to serve on committees and task forces as needed.
- J. Will encourage, support and provide continuing education beyond the core requirements for its database maintenance staff
- K. Will provide its share of resources, e.g., staff time, third party costs to perform database projects agreed upon by the CCS membership

III. Responsibilities of CCS Central Management

The CCS central management is charged with coordinating and overseeing the creation and maintenance of the database as a whole. In particular CCS has responsibility for functions that require or benefit from centralization. For example:

- quality control of the bibliographic database as a whole
- authority control
- quality control of the patron database
- leadership and quality control around the evolution of records for electronic resources

CCS acts as liaison between the CCS libraries and the consortium's system vendor in matters related to the database. CCS is responsible for reviewing and recommending all outside sources of records.

Specific responsibilities of CCS, as listed here, should be reviewed periodically by the Database Management Committee to ensure that the benefits of centralization are maximized.

CCS Central Management

- A. Will supervise the loading of data for new CCS member libraries
- B. Will advise member libraries about preferred methods for acquiring, editing and inputting bibliographic, item records, authority records, patron records, electronic resource records, and other record types as the system evolves
- C. Will monitor the quality of data in the database and coordinate cooperative or third party database revision projects as needed
- D. Will provide orientations of CCS's core requirements to new library staff members when requested or needed
- E. Will, in conjunction with membership feedback, identify continuing education needs and provide continuing education as needed or when requested
- F. Will emphasize the importance of and adhere to national practice, and in conjunction with membership feedback, draft local standards where necessary, and maintain the written record of those standards in conjunction with membership
- G. Will coordinate and monitor the creation and maintenance of a CCS authority file
- H. Will coordinate CCS participation in cooperative cataloging programs outside of CCS, e.g., NACO and PCC.
- I. Will coordinate the use of the shared bibliographic utility
- J. Will recommend to the CCS Governance sources of records
- K. Will coordinate the use of CCS system vendor's products Will have a connection to the shared bibliographic utility
- L. Will assist in the coordination of third party system setup
- M. Will have approved means, e.g. CCS vendor software, bibliographic utility software, third party software, to
 - o view and edit existing records in the CCS database
 - o create records or acquire records from authorized sources, edit and transfer them to the CCS database

CCS will ensure that CCS staff have a working knowledge of the standards necessary to effectively support the shared database. These areas include but are not limited to nationally adopted cataloging rules, Library of Congress implementation guidelines, MARC, RDA, Library of Congress Subject Headings, Illinois codes and practices.

IV. Sources of Records

CCS Database Management Committee shall regularly revisit the approved sources of records and make recommendations to the Governing Board. The list of approved sources will be reviewed at least annually if not more frequently, as needed.

Member libraries may suggest sources to the CCS Executive Director for evaluation and group consideration.

Along with the member libraries, CCS staff will develop and regularly update procedures for working with approved sources of records.

V. Quality Control in the Database

The goal of database quality control is to ensure that an adequate amount of necessary information is provided as consistently as possible for the benefit of the patron. Necessary information is any information that is used by more than the inputting library for internal functions. To achieve the desired levels of completeness and consistency three things are required. There must be a reasonable set of core requirements understood by all libraries; there must be thorough and ongoing training in those requirements; and libraries must have staffs that are able and willing to satisfy the requirements. Each Technical Group will develop core requirements to ensure quality data entry, relevant patron experience, security, and maintenance within the database. These core requirements will be approved by the Governing Board. These requirements will be included as part of the procedures manuals and revisited at least annually.

VI. Training

To ensure database quality all database maintenance staff must satisfy the core requirements associated with his/her job. Each library assumes responsibility for training its staff members in the core requirements of their jobs. Each library will review the work of its trainees until the library is certain that the trainees can satisfy the core requirements. When necessary CCS, rather than individual library personnel, will be responsible for training. CCS will review the work of trainees until they are capable of meeting core requirements. CCS will do training and review

- For libraries that are new to CCS
- For CCS libraries that lack qualified trainers
- Under other circumstances as necessary

VII. Identification of Work

CCS libraries will identify the records they add to the database.

VIII. Monitoring

CCS should be advised when core requirements are not being met. CCS staff will address the problem by

- Discussing the matter directly with the library
- Conducting individual training sessions
- Conducting group training
- Ask for a volunteer mentor library to assist

IX. Continuing Education

Libraries are encouraged to allow their staffs to develop beyond core requirements. CCS staff and membership will sponsor or conduct training sessions and workshops that are of interest to CCS membership for maintaining a quality system.

X. Enforcement of Compliance

The CCS Bylaws deal specifically with the responsibility of members in Article IX, Section 4. Article XI covers Enforcement Procedures.

Approved 9/28/2016

ILS Policies

CCS staff will create new ILS policies, including but not limited to material types, patron codes, item stat classes, in consultation with the Database Management Committee.

Third Party Product Integration

When a CCS member library plans to acquire a product for integration with the Integrated Library System (ILS) supported by CCS, the library is responsible for verifying with CCS that the product is supported by the ILS vendor prior to finalizing a purchase. CCS cannot assure the successful integration of products that are not supported by the ILS vendor.

Circulation and Resource Sharing

Revised December 2018

Patron Accounts

All patron records must conform to current data entry standards. As of April 17, 2018, birthdate is a required field.

Patron records can only be modified by the patron's registered library, except in the case of re-registration and the following fields or if a separate agreement exists between libraries:

- Email address
- Phone fields
- Notification settings
- Language
- Password
- Non-Blocking Notes

When a patron moves from one library service area to another, the patron's new library will update their existing user record following current data entry standards. The patron must resolve any outstanding obligations such as bills or lost items before they can be re-registered.

Non-CCS Reciprocal Borrowers

Library staff must verify that non-CCS patrons are in good standing with their home library before registering or renewing a reciprocal borrower card.

Non-CCS patron registrations must include the expiration date provided by the patron's home library, or a maximum of three years from the date of registration.

Patrons with Blocks

Every CCS member is required to refuse borrowing privileges to any patron who exceeds their home library's second-level fine threshold or whose account has a library assigned block.

Member libraries shall apply best practices and local policies when determining whether to accept reduced payment or waive charges involving non-local patrons or intra-CCS loan material.

Ongoing Patron Database Maintenance

CCS will remove patrons from the CCS database that meet the following criteria:

- Have been inactive for at least three years,
- Have accumulated less than \$15.00 in fines, regardless of library owed,
- Have not been sent to a collections agency, and
- Do not currently have items checked out or lost.

This database maintenance will take place monthly, and libraries will receive notification of patrons removed from the database.

Circulation Rules

Patron limits are determined by the patron's registered library: fine thresholds, total item limit, total hold limit, and total ILL allowed. Fine thresholds must be at least \$10.00.

Material type checkout and hold limits and loan period and fine code definitions are set by the transacting library. The item library sets the number of renewals, loan period code and fine code, which follow the item. For example, the item library may assign the fine code of Book to an item, and the checkout library defines that fine code as \$0.10 per day.

All material eligible for intra-CCS loan renew at least twice, and all libraries participate in autorenewal.

All CCS libraries will use the automatic billing process for overdue materials at 45 days overdue. Libraries may choose to include a processing fee of \$5.00 for lost material.

All CCS libraries will use the delivered Claims Returned process. Patrons will be blocked if they reach 5 current claims.

Hold

Library staff will not reorder the hold queue unless placing item-specific holds involving that library's item and patron. A note must accompany changes to the queue.

Library staff at any CCS library can cancel holds per patron request.

Patrons of CCS libraries may pick up their holds at any CCS library. Each CCS library will determine if non-CCS reciprocal borrowers may pick up holds at their location.

All CCS libraries will process the picklist at least daily, Monday through Friday.

Material may be held for patrons for up to seven days. All CCS libraries will process unclaimed holds at least daily, Monday through Friday.

Transiting Materials

Materials from CCS libraries may be returned to any CCS library, where they will be checked in and routed to the appropriate destination.

Non-CCS materials cannot be checked in and will be forward to the owning library. Patrons are responsible for the material until it reaches the owning library.

Material traveling in RAILS delivery must be labeled with a RAILS-approved routing label. Library staff will apply a new routing label unless the item is being returned to the owning library. Staff must transfer any notes to the new routing label. Patron name or barcode must not appear on routing labels.

Billing for Lost or Damaged Intra-CCS Loan Items

Intra-CCS ILL occurs when all libraries involved in the transaction are CCS libraries. The transacting library shall make reasonable efforts to recover overdue and lost intra-CCS loan materials.

Neither CCS nor CCS members shall bill nor reimburse members for lost or damaged intra-CCS loan material. This includes long overdue, lost, damaged, missing from hold shelf, or lost in transit items.

Payment for intra-CCS loan material may be made at any library. Member libraries shall apply best practices and local policies when determining whether to accept reduced payment or waive charges for intra-CCS loan material. Payment will not be due to the owning library.

If a bill is unpaid after seven years, the borrowing patron's library or the item library may remove the bill as part of ongoing patron or item purges.

Revised 10/2019

Information Technology

Revised December 2018

Security

Database Access

It is the responsibility of each member library to ensure that their staff have adequate training regarding data security and patron privacy prior to accessing the CCS database. Authorized staff must request, in writing:

- Creation of logins and passwords new library staff
- Deactivation of logins and passwords for terminated library staff

CCS and library staff with access to patron data must access the database with their individual logins and passwords. It is the responsibility of each library to implement local procedures to safeguard passwords.

Report Security

Library staff are responsible for the handling of vendor- and CCS-provided reports once accessed and/or downloaded.

CCS will not deliver data to any third party without a written request from authorized library staff or where required by law.

Data Breach

Each member library agrees to notify CCS immediately via telephone and a written instrument if there is any reason to believe there has been a security breach. Each member library further agrees to cooperate with any investigation that is requested by CCS or any outside person or agency alleging any violation of access to a member library's individual data. CCS shall have the right to turn over any evidence of unethical or illegal conduct discovered in the course of any such investigation, or discovered in the routine operation and maintenance of the CCS services and components, and to make copies of material anywhere in storage on its network for use in any such investigation.

Each member library agrees to indemnify, hold harmless and defend CCS from any legal action which results from any improper use of the Internet access or from breach of this policy.

Data Retention

CCS will follow the data retention/security chart. The policy is to be reviewed annually by the Governing Board by January 1.

Data Type	Current Practice
History Logs	Retain indefinitely, remove patron ID after 2 years
PowerPAC Transaction Logging	Retained indefinitely, no patron data stored
Bills, Paid	One year after payment
Bills, unpaid	Libraries may request a purge of bills owed to them, subject to existing CCS policies.
Previous user data with item record	Retained until the borrower after next circulates item
Patron Reading History	99 years or 9999 lines, user opt in
Hold Requests	Holds are purged as filled Expired holds 7 days Cancelled holds 30 days Not supplied holds 90 days Expired, Cancelled, Not Supplied can be deleted by staff at patron request
Deleted bib records	Purged monthly
Deleted items	Purged monthly
Deleted patrons	Anonymized patron data (PatronID, Barcode, PatronCodeID, StatisticalClassID, DeleteDate and OrganizationID) is retained in the DeletedPatrons table indefinitely.
Deleted authorities	Purged monthly
Simply Reports Completed Reports	Purged after 30 days
Invoices, payments, orders	Subject to library retention policies
Deleted vendors, funds	Subject to library retention policies
Serials data, check in, prediction Subscription Records, Serials Holdings	Subject to library retention policies
MARC backup	Retain indefinitely

Privacy and Confidentiality Policy

Regarding Registration and Circulation Records and the Protection of Personal Information

I. REGISTRATION AND CIRCULATION RECORDS

Cooperative Computer Services respects the right of privacy of all persons regarding the use of its services. With respect to records that are related to the circulation of library materials that contain names or other personally identifying details, Cooperative Computer Services follows the Illinois Library Records Confidentiality Act (75 ILCS 70/1, et seq.). This law mandates the confidentiality of all records containing personally identifiable information related to an individual's use of a library and its resources, facilities and services. Confidentiality includes, but is not limited to, the circulation of library books, periodicals and other materials, electronic resources searches, interlibrary loan transactions and reference requests. Cooperative Computer Services will not disclose confidential information to outside parties unless required to do so by law. The registration and circulation records that are deemed confidential are covered by Illinois State Law as set forth below:

75 ILCS 70/1 Registration and circulation records; statistical reports

1 (a) The registration and circulation records of a library are confidential information. No person shall publish or make any information contained in such records available to the public unless:

- (1) Required to do so under a court order; or
- (2) The information is requested by a sworn law enforcement officer who represents that it is impractical to secure a court order as a result of an emergency where the law enforcement officer has probable cause to believe that there is an imminent danger of physical harm. The information requested must be limited to identifying a suspect, witness, or victim of a crime. The information requested without a court order may not include the disclosure of registration or circulation records that would indicate materials borrowed, resources reviewed, or services used at the library. If requested to do so by the library, the requesting law enforcement officer must sign a form acknowledging the receipt of the information. A library providing the information may seek subsequent judicial review to assess compliance with this section.

This subsection shall not alter any right to challenge the use or dissemination of patron information that is otherwise permitted by law.

(b) This section does not prevent a library from publishing or making available to the public reasonable statistical reports regarding library registration and book circulation where those reports are presented so that no individual is identified therein.

(b-5) Nothing in this Section shall be construed as a privacy violation or a breach of confidentiality if a library provides information to a law enforcement officer under item (2) of subsection (a).

(c) For the purpose of this Section, (i) “library” means any public library or library of an educational, historical or eleemosynary institution, organization or society; (ii) “registration records” includes any information a library requires a person to provide in order for that person to become eligible to borrow books and other materials; and (iii) “circulation records” includes all information identifying the individual borrowing particular books or materials.

All registration and circulation records shall be held confidential and will not be disclosed by Cooperative Computer Services except that such records may be disclosed upon the request or consent of the user or where otherwise required by Illinois State Law.

II. PERSONAL INFORMATION PROTECTION

CCS will take all measures reasonably necessary to protect the security, confidentiality and integrity of “personal information” as defined in the Personal Information Protection Act, 815 ILCS 530/1 et seq.

Any suspected breach or compromise of the security (as defined in 815 ILCS 530/5) of CCS data which contains personal information shall be investigated promptly by the CCS Executive Director. Using personal information for a purpose unrelated to the business of CCS, and making personal information available in order to further disclosures that are unauthorized by 815 ILCS 530/5, also constitute breaches or compromises of the security of CCS data.

The CCS Executive Director may consult with local law enforcement officials and/or CCS’s Attorney before making a determination as to notifying the affected individuals that there has been a breach of CCS data which contains personal information.

If notice to the affected individuals is appropriate, notice shall be given in accordance with the Personal Information Protection Act. “Personal information” means an individual’s first name or first initial and last name in combination with any one or more of the following data elements, when either the name or the data elements are not encrypted or redacted:

- Social Security number

- Driver’s license number or State identification card number
- Account number or credit or debit card number, or an account number or credit card number in combination with any required security code, access code, or password that would permit access to an individual’s financial account

No CCS employee (other than the CCS Executive Director) shall contact any individual about a suspected breach or compromise of the security of CCS data which contains personal information. Every such security-related incident must be reported immediately to the CCS Executive Director and appropriate procedures followed.

“Personal information” does not include publicly available information that is lawfully made available to the general public from federal, State or local government records. 815 ILCS 530/5

CCS does not collect, maintain or use any library patron’s Social Security numbers or store them in our database.

System Administration

System Maintenance

A. Emergency Maintenance

When problems occur with the central servers or application software, help should be sought from the provider even when it is separately billable.

B. Planned Down Time

Whenever it is possible, CCS will attempt to schedule planned down time for such reasons as preventive maintenance or upgrades so that it minimizes conflict with peak operating hours, even when such scheduling means paying the provider for after-hours field service.

User Licenses

The Executive Director will maintain procedures for handling user licenses, including requesting new licenses and discontinuing or reassigning licenses.

Pre-Release Testing

CCS will not participate in pre-release Alpha or Beta testing in production environments without Governing Board approval.