CARLI

ALMA HOW-TO: ALMA ANONYMIZATION, REPORTING, AND PII

June 10, 2024

Agenda

- Overview of Alma Anonymization
- Resources and Best Practices for Handling Patron Information/Personally Identifiable Information (PII)
- Case Study—Lewis & Clark Community College
  - Student Library Usage without Analytics
- Analytics with PII before anonymization
  - Sample reports
  - Minimizing exposure

Alma Anonymization Implementation

- CARLI staff and the CARLI Resource Sharing Committee have tested and decided upon several consortial policies for I-Share that optimize the privacy of patron data while balancing the needs of library staff to access these data.
    - These configurations have been approved by the CARLI Governance Board.
- CARLI will enable Alma's anonymization of user data feature for all I-Share libraries on July 29, 2024.

Overview of Alma Anonymization

- Anonymization in Alma removes personal user information from fulfillment transactions (loans, fines/fees, requests) after that information is no longer required for a current transaction and is considered “complete” in the system.

- Anonymization in Alma leaves non-patron-identifiable information such as user group and affiliated I-Share institution reportable through Alma Analytics.

What is Personally Identifiable Information (PII)?

According to National Institute of Standards and Technology (NIST):

- Any representation of information that permits the identity of an individual to whom the information applies to be reasonably inferred by either direct or indirect means.
- Any information about an individual maintained by an agency, including (1) any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and (2) any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.
- Information that can be used to distinguish or trace an individual's identity, either alone or when combined with other information that is linked or linkable to a specific individual.

PII Considerations

- PII is not any single category of information or part of a specific technology.
- Information that may be considered PII in some contexts may also be available in public sources like directories.
- Non-PII data may become PII when combined with other data.
- Some PII data are more sensitive than others.
- Handling PII requires a context-specific assessment of risk.
- Consider carefully if you really need to collect PII.
    - If you do, minimize access to it and regularly dispose of it when no longer needed.
- There are international, national, state, and local privacy regulations that govern the collection, retention, and use of PII.

CARLI Privacy Policy

CARLI takes the collection of personally identifiable information required to provide library services very seriously. It is our policy to store personal information in our systems for the shortest amount of time necessary to complete transactions or provide service. Access to personal information is restricted to the library and consortium staff needing such access to conduct library business. Personal information is never made available for commercial purposes and will not be revealed to any third party except by such process, order, or subpoena as authorized by law.

Approved by the CARLI Board of Directors, March 10, 2017

Professional Best Practices

From *Data Lifecycles*, part of the Privacy Field Guides for Libraries:

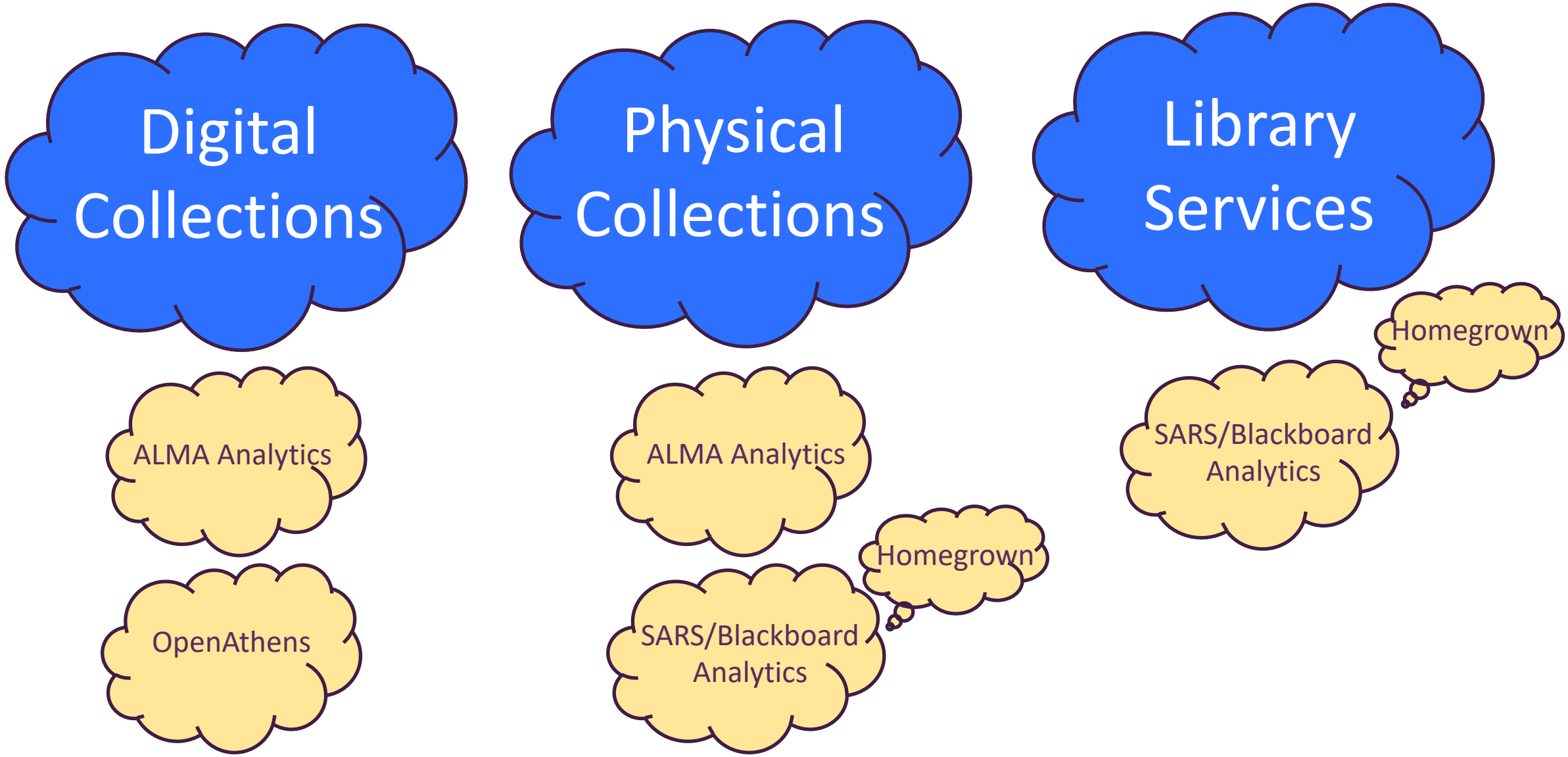
- Only collect data that has a specific operational need.
- Keep user data secure and limit staff access to only the data they need to perform specific tasks.
- Retain records in compliance with legal and operational considerations, and dispose of data in a timely manner when data are no longer required.
- Library consortia "should have retention policies and procedures for its member libraries to ensure the same level of user privacy throughout the consortium."

ALA Code of Ethics:

"3. We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted."

Dennis Krieb
Director – Reid Memorial Library
Lewis & Clark Community College

DATA SOURCES FOR REID LIBRARY



DR Usage by Month and Platform

COUNTER R4 and R5

	DR - Searches Regular					
Platform	2024-05	2024-04	2024-03	2024-02	2024-01	
Grand Total	553	12,831	12,743	9,839	7,308	
APA PsycNET		0	0		0	
Artstor	86	72	118	91	27	
Credo					0	
Credo Reference	296	859	1,102	602	366	
Credo Search						
EBSCOhost		10,780	9,475	8,314	6,354	
Feature Films for Education	12	3	34	82	34	
Films On Demand	38	108	466	140	206	
Gale	119	972	1,440	606	165	
Lippincott		0	0	0	0	
OCE				0		
Ovid SP			0	0		
search.alexanderstreet.com		20	26		96	
video.alexanderstreet.com	2	17	82	4	60	

User attributes are not available with SUSHI harvesting of electronic resources in ALMA Analytics .

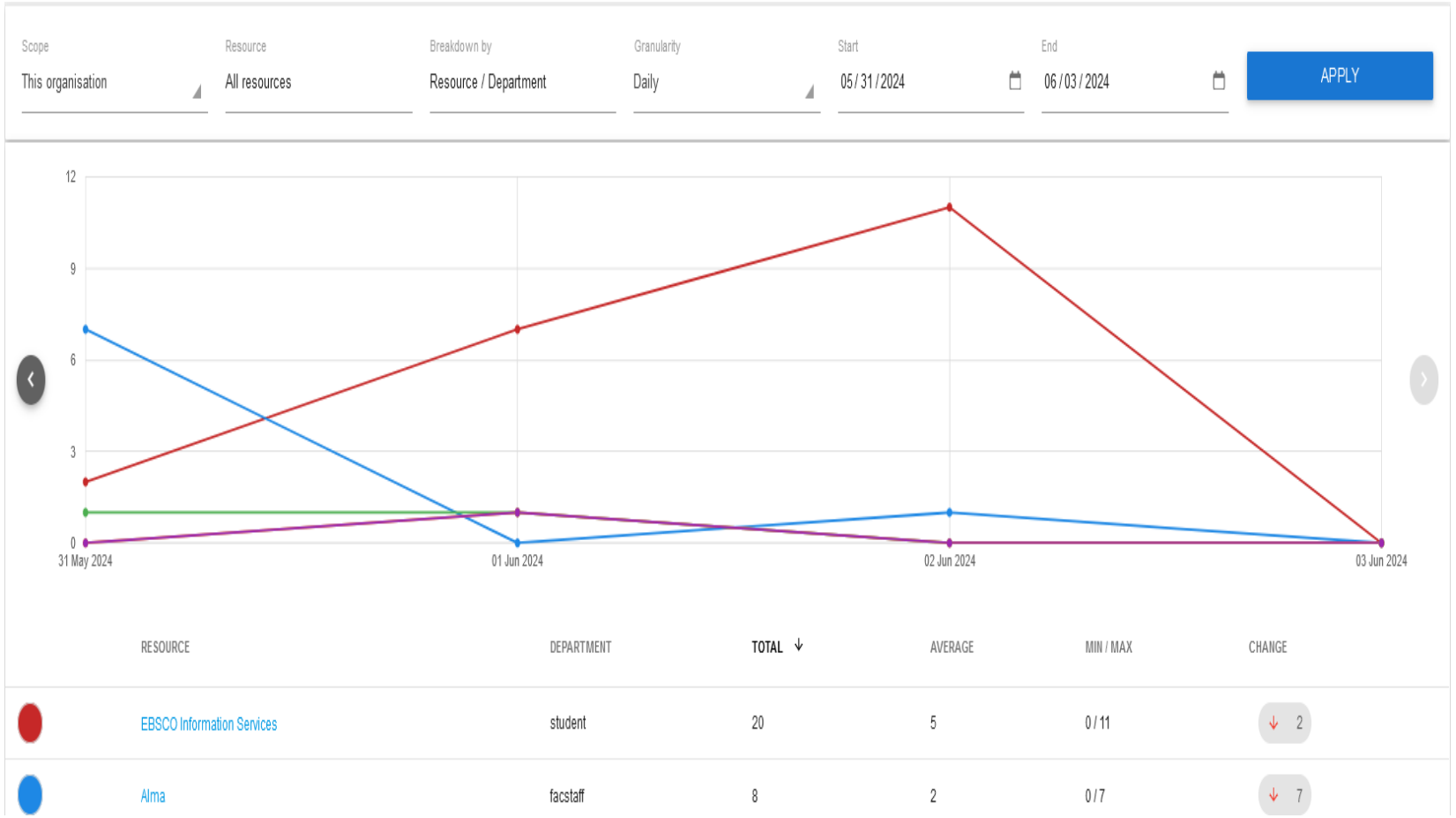
Digital Collections

ALMA Analytics

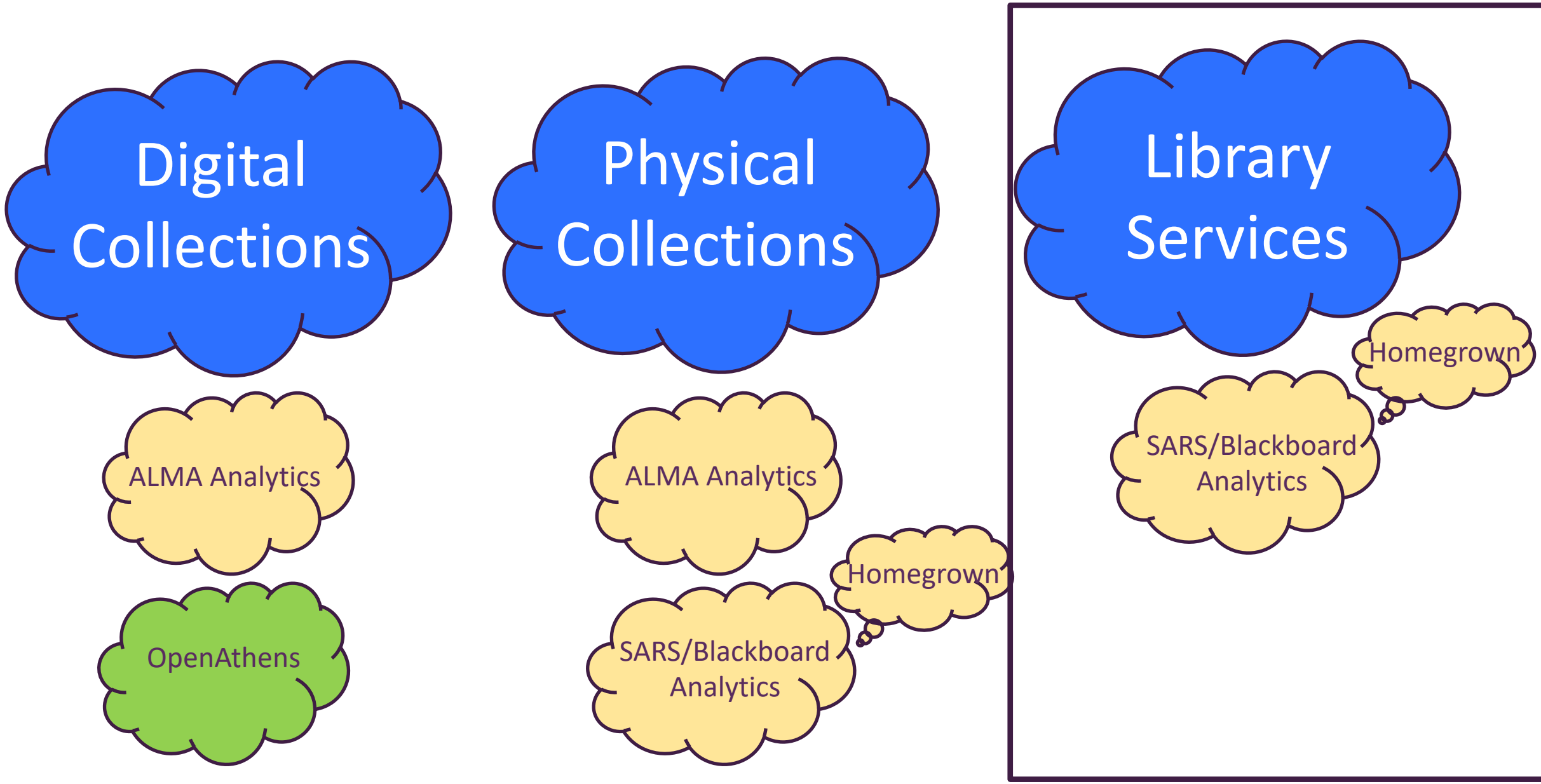
OpenAthens

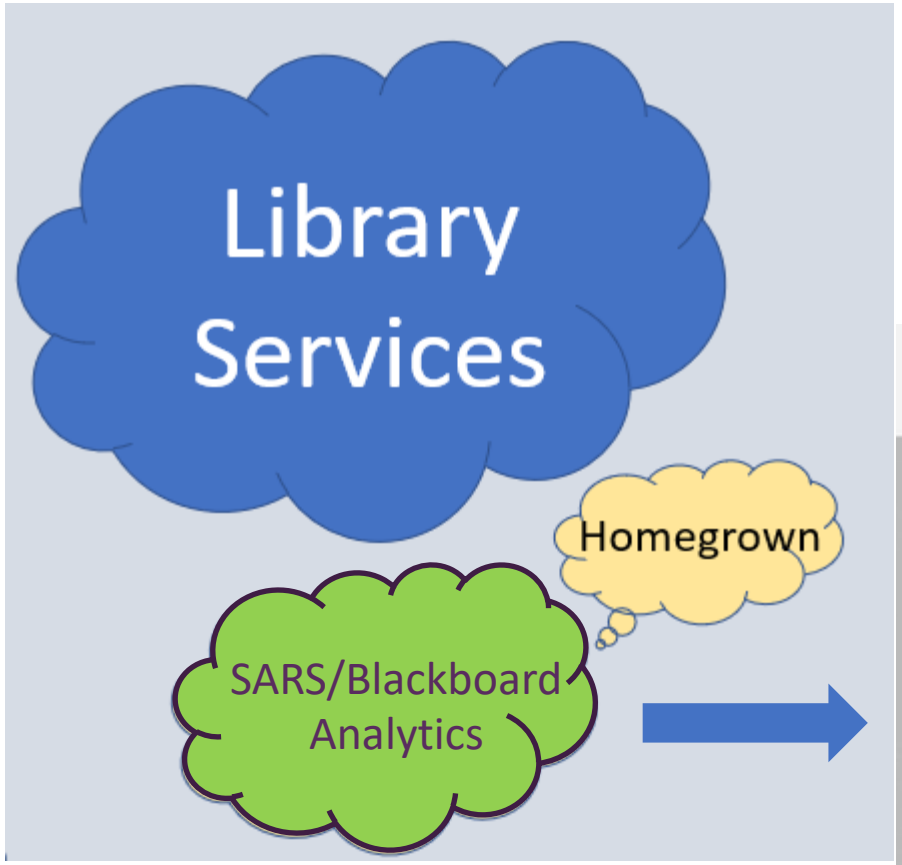
User attributes can be included with OpenAthens. We have added two attributes:

- Student
- Fac/Staff



DATA SOURCES FOR REID LIBRARY





Many attributes can be added – age, gender, degree major, Pell status,…

Technology Infrastructure – Lewis & Clark Community College

Library Instruction

Library Circulation

Point of Service Tracking Software

Data Warehouse

Student Information System

Verbal Informed Consent

Student ID

Course Name

S A T R A K S

Blackboard analytics

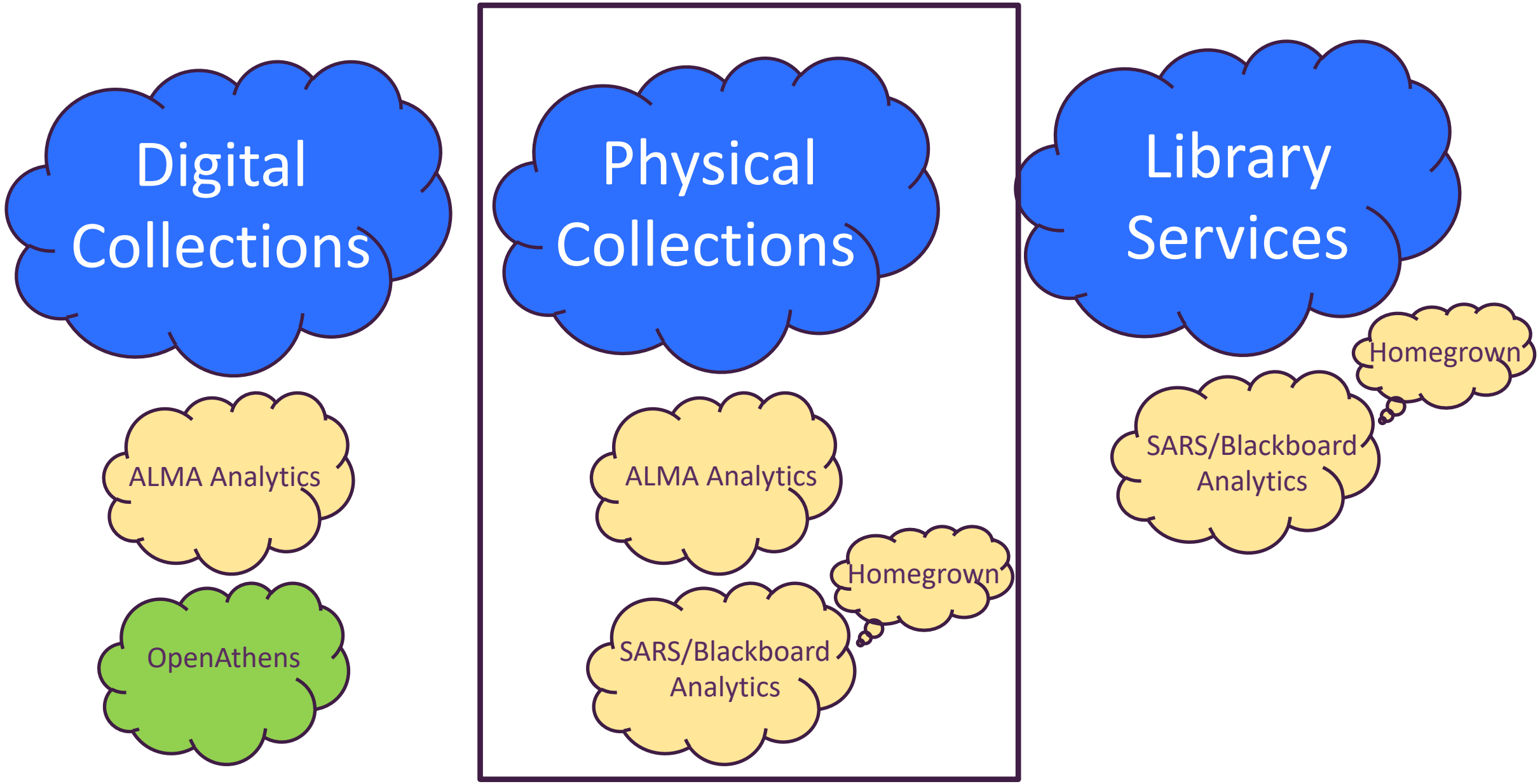
ellucian.

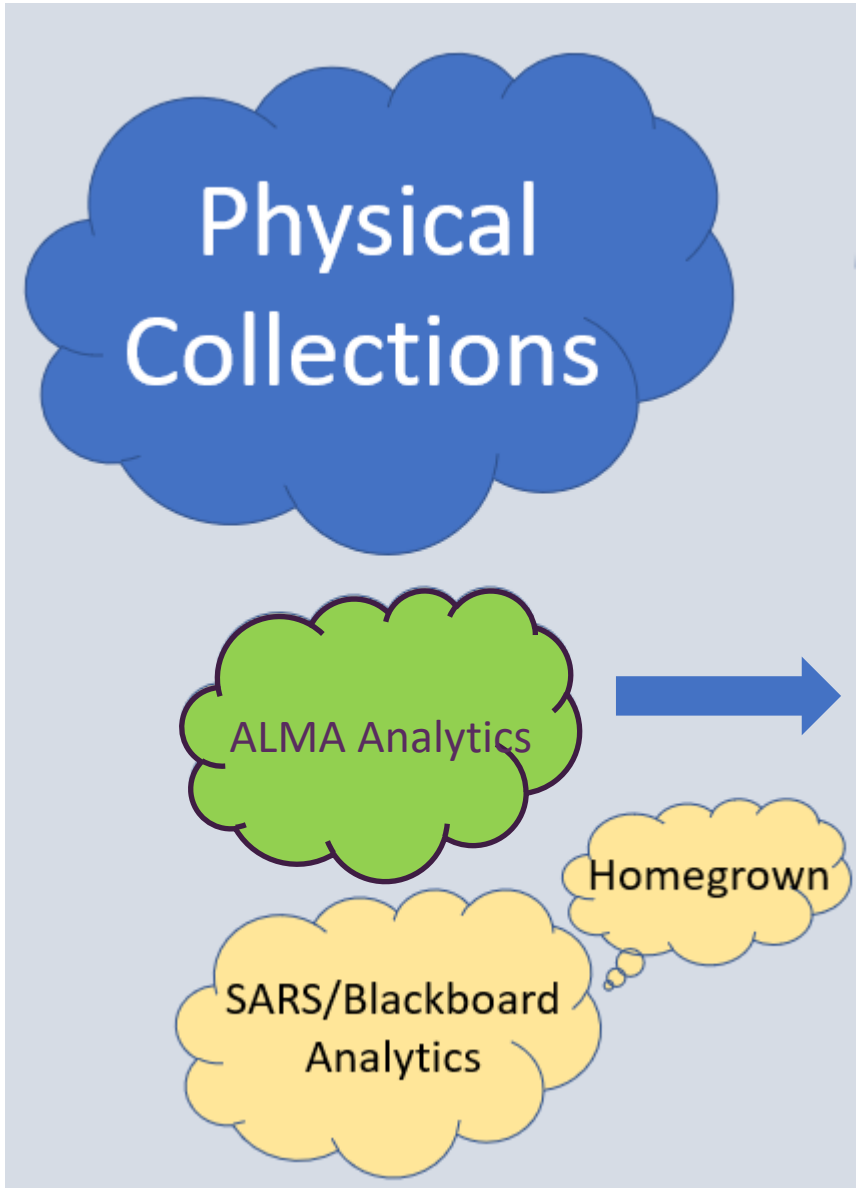
PYRAMID ANALYTICS

Reference Visit

		ENGL-131									
		Library Instruction									
		A		B		C		D		F	W
2.3 - 2.699	Black or African American	1	11.1%	2	22.2%	2	22.2%	4	44.4%		
	White	13	17.8%	23	31.5%	22	30.1%	3	4.1%	6 8.2%	6 8.2%

DATA SOURCES FOR REID LIBRARY

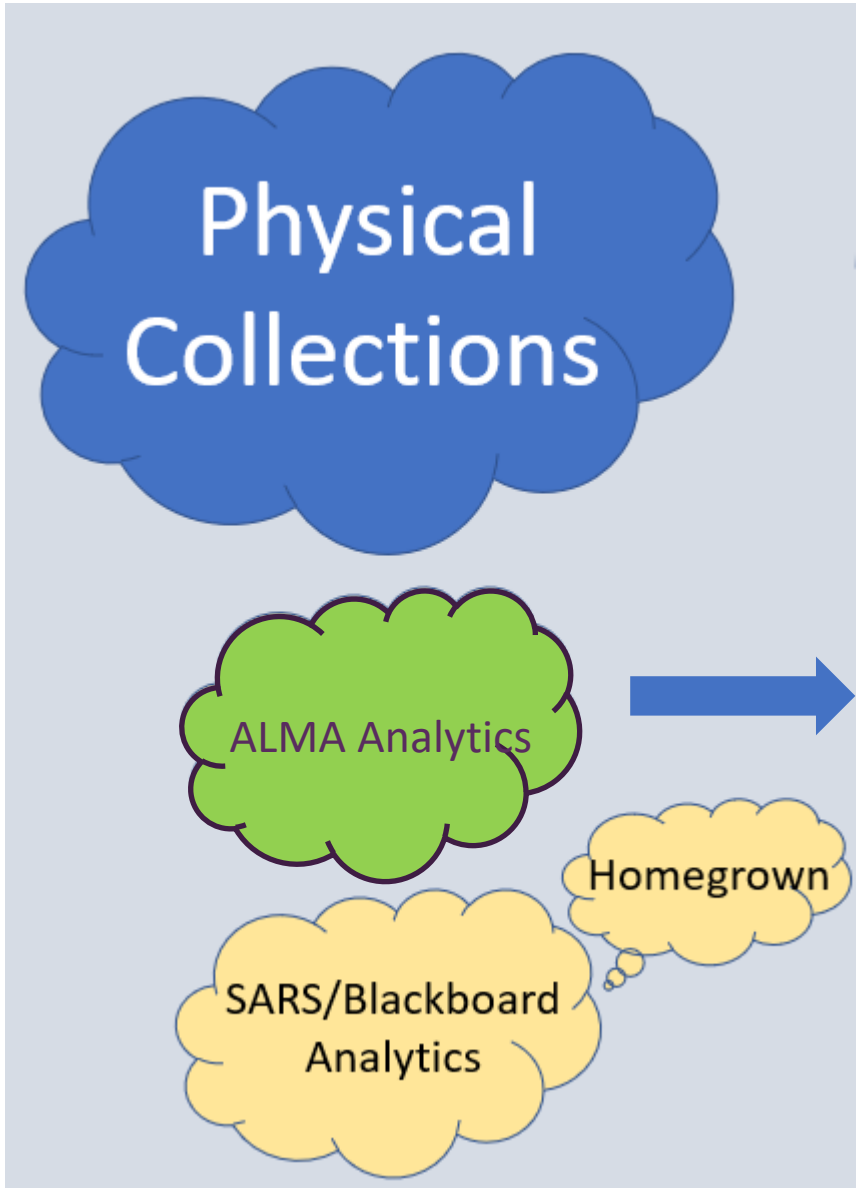




Useful circulation reports that we use in Alma Analytics

Count of Items Loaned by Patron Group

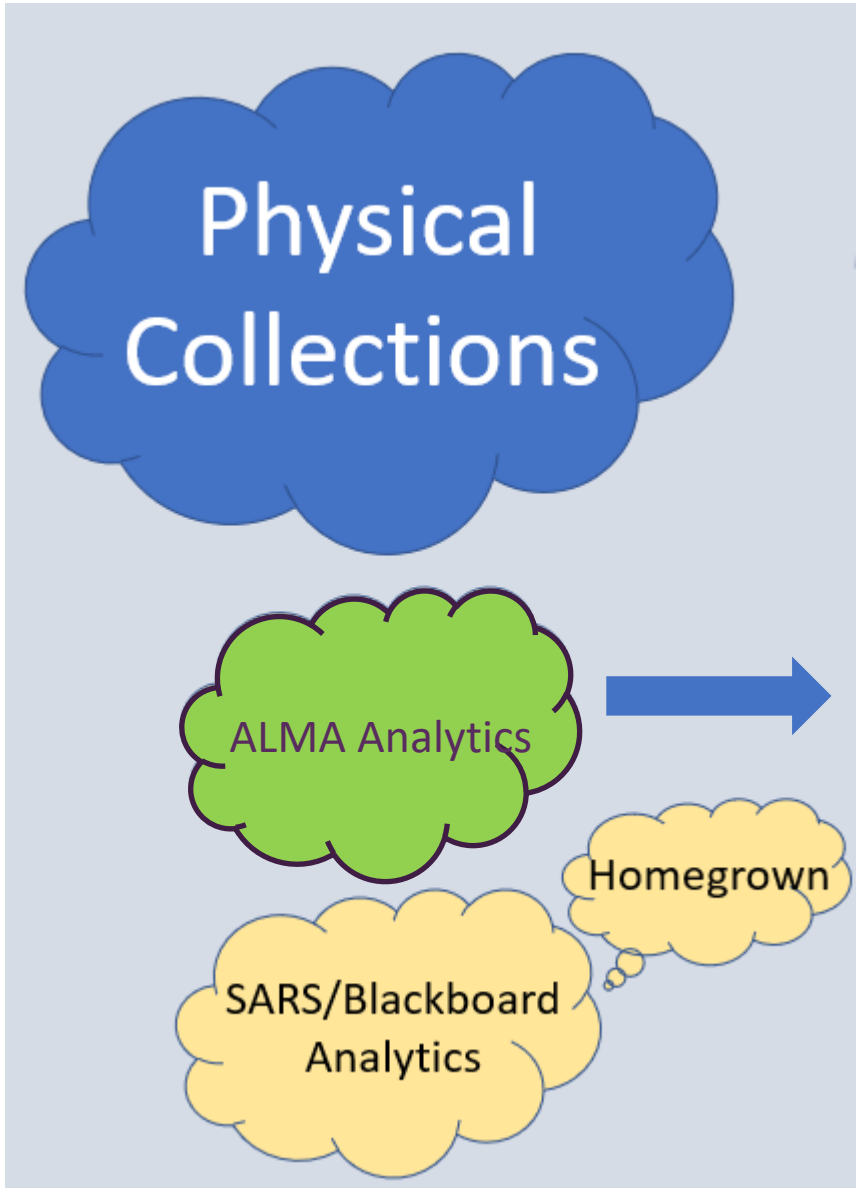
		Loans (In House + Not In House)				
User Group	**Library Name (Active)**	**2024**	**2023**	**2022**	**2021**	**2020**
Community Patron/GED	Reid Library	30	81	88	78	37
Faculty/Staff/Admin	Reid Library	152	327	211	240	247
I-Share	Reid Library	152	335	200	178	86
Interlibrary Loan	Reid Library	88	170	100	87	84
Student	Reid Library	184	403	391	287	190
Grand Total		**606**	**1,316**	**990**	**870**	**644**



Other useful circulation reports that we use.

Count of Items Loaned by Library Location

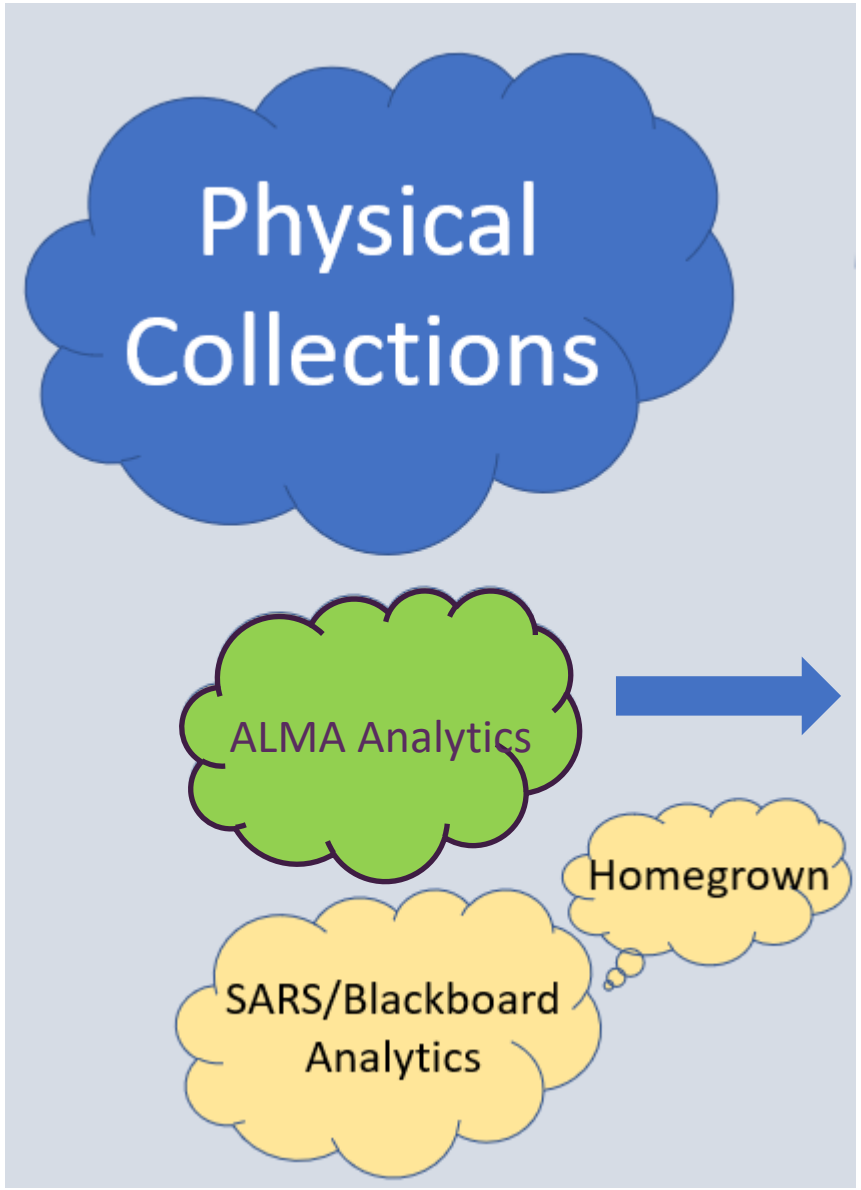
		Loans (In House + Not In House)				
Library Name (Active)	Location Name	2024	2023	2022	2021	2020
Reid Library	Camera				1	1
	Circulating Collection	323	759	615	514	388
	Computer	1	2	3	2	2
	Graphic Novels	21	39			
	Juvenile Collection	61	141	71	87	55
	Lewis and Clark Special Collection		1		3	1
	Local History Special Collection (Local Requests Only)		4	9	7	
	McNaughton Collection (Local Request Only)	58	115	119	94	84
	Music Collection (Local Request Only)			1	3	3
	New	56	125	66	37	19
	Reference		1			1
	Repair					20
	Reserve - Instructor Owned Material	23	39	13	2	
	Reserve - Video	3			4	2
	Reserve Book	1	7	3	21	
	Review after migration			4		1
	Software Collection					3
	Spoken Word Collection (Local Request Only)	1	6	4	10	1
	Student Picks	47	62	35	25	14
	Video Collection (Local Request Only)	11	15	47	60	49
Grand Total		606	1,316	990	870	644



Other useful circulation reports that we use.

Count of Items Loaned by Dewey Subject Area

		Loans (In House + Not In House)				
Library Name (Active)	**Group1**	**2024**	**2023**	**2022**	**2021**	**2020**
Reid Library	Computer science, information & general works	7	11	10	13	23
	History & geography	45	104	94	64	44
	Language	7	9	3	3	5
	Literature & rhetoric	131	290	229	143	118
	Natural Sciences and Mathemetics	12	34	15	19	10
	Philosophy & psychology	33	65	48	38	19
	Religion	18	50	16	21	14
	Social sciences	65	178	122	104	103
	Technology	34	77	76	44	39
	The arts; fine & decorative arts	88	208	144	130	90
	Unknown	166	289	230	289	178
Grand Total		**606**	**1,315**	**987**	**868**	**643**

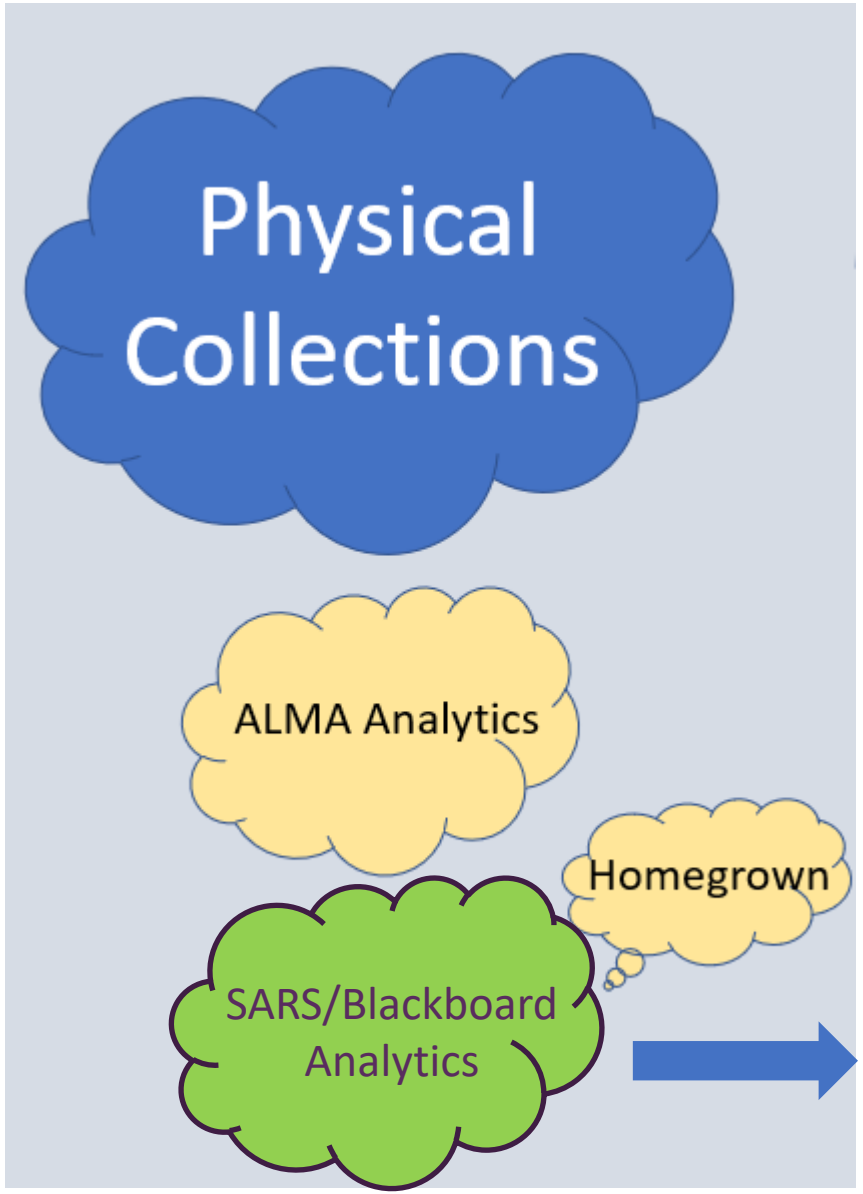


Other useful circulation reports that we use.

New Book Circulation

Item Creation Fiscal Year **FY-2024**

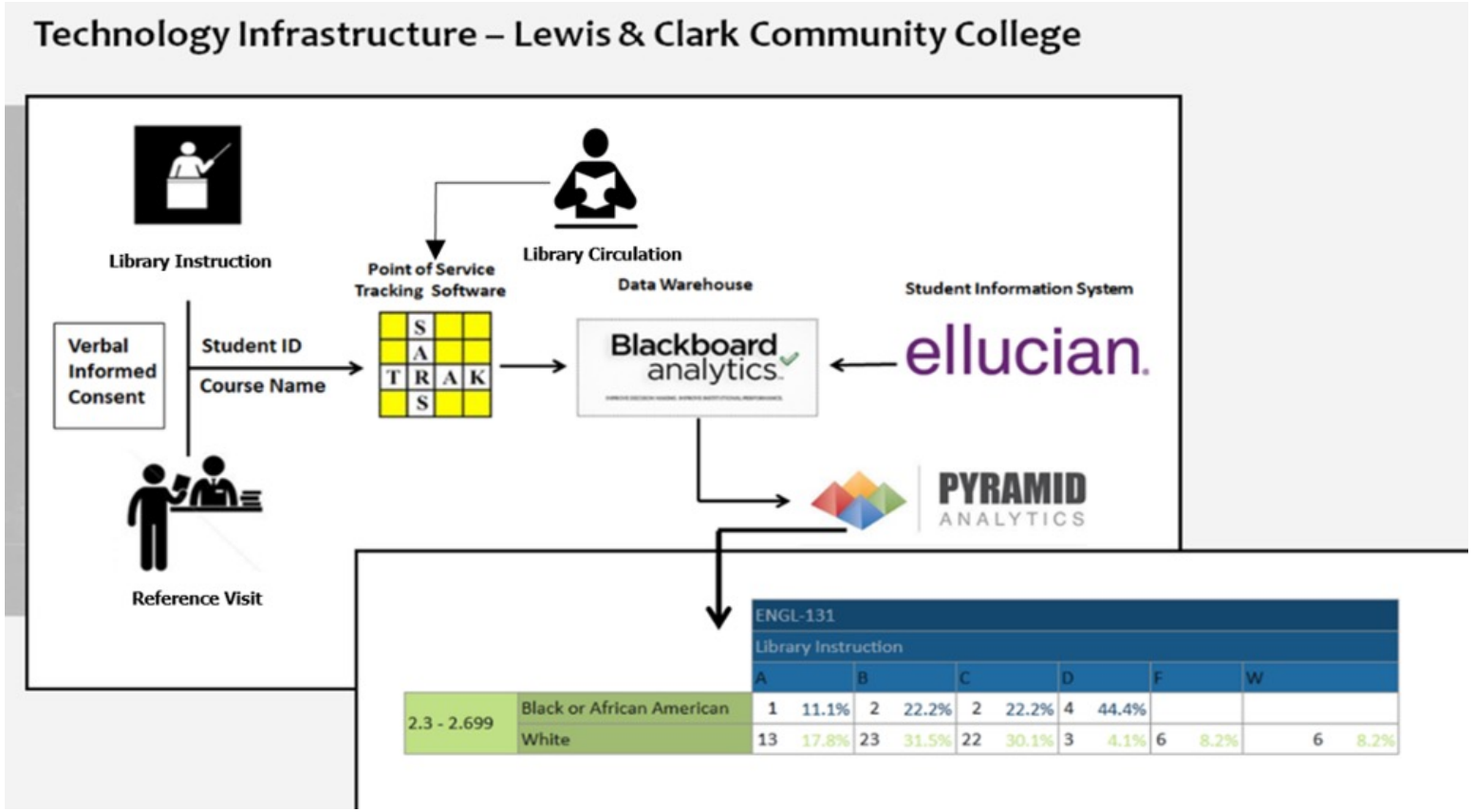
Library Name	Location Name	Num of Items (In Repository)	Num of Loans (Not In House)
Reid Library	Circulating Collection	327	97
	Graphic Novels	47	15
	Juvenile Collection	25	4
	McNaughton Collection (Local Request Only)	74	36
	Reference	3	0
	Reserve - Instructor Owned Material	81	20
	Reserve Book	1	0
	Student Picks	33	16
	Video Collection (Local Request Only)	7	0
Grand Total		**598**	**188**



No bibliographic data is captured when tracking circulation data in SARS/Blackboard – only that a patron checked-out an item(s). It is completely "firewalled" from Alma to protect patron privacy. Frequencies are not collected either.

Distinct Student Count ~ by Returned Next Year.Returned Indicator and SSC Location

SSC Location	Distinct Student Count ~			
	Returned		Did Not Return	
Library Circulation	59.1%	501	40.9%	346



THANKS!

Dennis Krieb
Lewis & Clark Community College

Analytics, Anonymization, PII Exposure

- Anonymization schedule
- Minimize PII data used when collecting and reporting
  - Sample Report: Patron with Loans 3 Days Previous
  - Sample Report: Patron Last Activity Date
  - Reports may be found at:
    Shared Folders > Community > Reports > Consortia > CARLI > Shared Reports

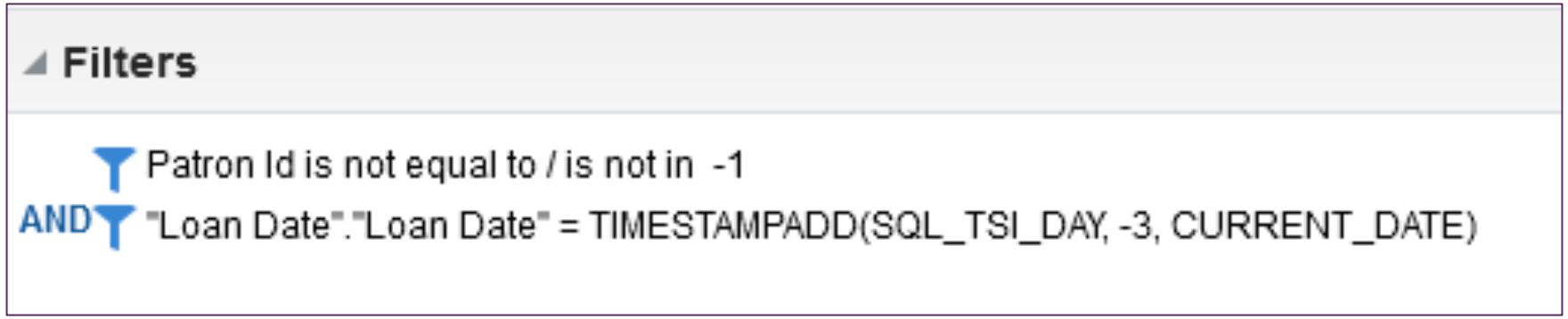
Patron with Loans 3 Days Previous

- Lists patrons who borrowed items three days previous
  - Requires the Fulfillment subject area
  - Use data from the Patron Details at Time of Loan dimension
- May be useful for:
  - Adding context to circ activity
  - Measuring interactions and effects on student performance

Patron with Loans 3 Days Previous

Filters for Patron with Loans 3 Days Previous

- Patron Id (internal Alma user ID) is “-1” if anonymized
- TIMESTAMPADD function calculates dates by a given value an a reference date
- Could use Return Date instead of Loan Date



Patron Loans 3 Days Previous

Sample results for Patron Loans 3 Days Previous

- Actual results will show Patron Id
- Could use User Primary Identifier

Patron Id*	Patron Group	Patron Statistical Category 1	Patron Statistical Category 2	Loan Date	Loans (Not In House)
**********	Under Graduate Student	Business & Entrepreneur	Sophomore	6/4/2024	1
**********	Under Graduate Student	Cinema & Television Arts	Sophomore	6/4/2024	2
**********	Under Graduate Student	Theatre	Sophomore	6/4/2024	1

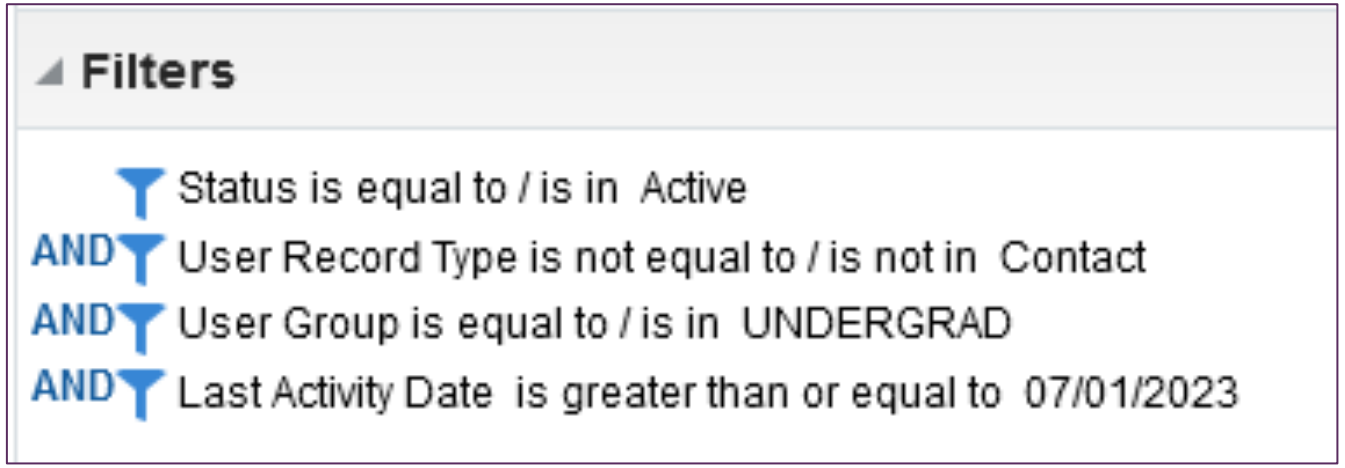
Patron Last Activity Date

- List patrons by primary identifier and include Last Activity Date
  - Requires only the Users subject area
  - Last Activity Date – last occurrence of a loan, return, or request
- May be useful for:
  - Adding context to circ activity
  - Measuring interactions and effects on student performance

Patron Latest Activity Date

Filters for Patron Last Activity Date

- Limiting by user group exposes less of the overall set of data



Patron Last Activity Date

Sample results for Patron Last Activity Date

- Actual results will show Primary Identifier

Patron Last Activity Date

Primary Identifier*	User Group	Expiry Date	Last Activity Date
****	UNDERGRAD	6/30/2030	5/28/2024
******	UNDERGRAD	12/31/2014	8/30/2023
******	UNDERGRAD	12/31/2016	11/9/2023
******	UNDERGRAD	5/10/2017	5/22/2024
******	UNDERGRAD	5/14/2020	7/3/2023
******	UNDERGRAD	5/14/2021	7/24/2023
******	UNDERGRAD	5/14/2021	1/25/2024
******	UNDERGRAD	5/14/2024	9/12/2023
******	UNDERGRAD	5/14/2024	9/14/2023

Daily FTP Reports

- Standard reports scripted for delivery to files.carli.illinois.edu
  - Lost Items Found Yesterday
  - PIDs for users with loans or fines at other I-Share libraries
  - User loan counts at other I-Share libraries
  - Users with fines at other I-Share libraries
- See What's in My Library's FTP directory?

Further Risk Reduction

- Minimize exposure to user-specific data
  - Consider which roles staff members need
  - New user roles for analytics
    - Designs Analytics – Fulfillment
  - Consider analytics objects instead of providing design roles

Q & A