

SWAN POLICY HANDBOOK



MARCH 2018

BOARD &
MEMBERSHIP

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INTRODUCTION

The SWAN policy handbook describes important information about SWAN. Consult SWAN's Executive Director regarding any questions not answered in the handbook.

Since the information, policies, and benefits described herein are necessarily subject to change, revisions to the handbook may occur. All such changes will normally be communicated through official notices, so please understand that revised information may supersede, modify, or eliminate existing policies. Only the SWAN Board has the right to approve and adopt any revisions to the policies in this handbook.

Revised and updated policies can be found online at support.swanlibraries.net under the "Governance" heading.

This handbook is neither a contract nor a legal document. Libraries are provided this handbook, and should understand that it is the responsibility of library managers and staff to read and comply with the policies contained in this handbook and any revisions made to it.

SWAN MEMBERSHIP POLICIES

CIRCULATION POLICY

Reviewed and revised by the SWAN Board on 7/28/2017

1) General Circulation Rules

- a) Service should not be refused to any patron unless that user record is barred or blocked
- b) User blocks, holds, and borrowing limits of zero are established in the user profile by the user's home library and follow the user from library to library. It is the sole responsibility of the user's home library to correctly, appropriately, and legally establish, modify, and remove user blocks, holds and borrowing limits in accordance with the home library's policies. SWAN and its member libraries, other than the user's home library, are not responsible for reviewing, correcting, imposing, or otherwise changing user blocks, holds or borrowing limits. Do not override user blocks or borrowing limits when checking out to a reciprocal borrower unless permission is granted by the user's home library.
- c) Circulation rules (loan period, fine rate, grace periods, number of renewals, and maximum charges by ltype) are established by the charging library.
 - i. Book discussion due dates, may be extended.
 - ii. DVD Boxed sets added to the catalog after 1/1/2015 (TV Series, movies series, etc.) circulate for at least 2 weeks.
- iii. The number of renewals are limited to either 0, 2, 5, or 10
- d) Library staff should attempt to renew items for users regardless of due date or where items were checked out. Exception: Interlibrary Loan ("ILL") materials from outside of SWAN must only be renewed at the library where the item was checked out.
- e) The Circulation map and the Hold map must reflect the actual ILL policy of the owning library.
- f) Suspension of a user's library privileges must be set only by the user's home library. It is the sole responsibility of the user's home library to correctly, appropriately, and legally establish, modify, and remove user suspensions in accordance with the home library's policies. SWAN and its member libraries, other than the user's home library, are not responsible for reviewing, correcting, imposing, or otherwise changing user suspensions.
- g) It is individual library policy to set the expiration date of their users' library privileges. "NEVER" is an acceptable option.
- h) While the vast majority of library policy is established by the individual library, some policy can only be set by the consortia due to the limitations of the ILS software, such as but not limited to, run dates for overdue notices and bill notices, limits on the number of renewals.

2) Holds

- a) Hold queues must be honored unless it is your user and your item.
 - i. Per patron request, any unavailable hold can be cancelled at any SWAN library.
 - ii. When placing a hold, the pickup point can be any library that participates in “pickup anywhere”.
- b) Each SWAN library is required to completely process the “On Shelf item with Holds Report” at least Monday through Friday. Items not in circulation or on shelf need to be checked out to a generic user.
- c) Each SWAN library is required to completely process the “Clean Holds Shelf” report at least Monday through Friday. “Pickup by” dates are not to be extended for items on the hold shelf.
- d) The established amount of time an item can remain on the hold shelf at a SWAN library is not to exceed seven days.
- e) Holds can only be placed on the brief record created to circulate Non-Swan ILL items by the library creating that brief record. After circulation of the item, the brief record must be deleted from SWAN.

3) Handling of Materials

- a) SWAN library materials are to be checked in and routed to appropriate destination, regardless of where they are returned.
- b) Materials from Non-SWAN libraries that cannot be checked in, should be forwarded to the owning library.
- c) According to local practice, the user may be held responsible for Non-SWAN materials until the items reach their final destination.
- d) Always use a new routing label unless the item is being returned to the owning library. Staff should transfer any notes to the new routing label.
- e) Routing labels need to include the code/name of the owning and borrowing library.
- f) Due to patron confidentiality, the user’s name or barcode should not appear on routing labels.

4) Financial Concerns

- a) All charges can be paid via eCommerce.
- b) Billing is generated at 42 days overdue.
- c) All charges must be accepted at any SWAN library. On a quarterly basis, SWAN Member Services debits and credits SWAN libraries for any charges including manual charges over \$5.00. Bills for returned overdue items (fines) are not included in the debits and credits processing and are retained by the library collecting the monies. Reimbursement for any lost or damaged ILL/RB materials should be reported to SWAN to be added to the Quarterly Billing, libraries should not invoice other SWAN libraries directly.
- d) Library staff can no longer pursue reimbursement for materials with a current location of INTRANSIT or those items "Damaged in Delivery" from SWAN or other SWAN libraries.
- e) Replacement materials are not accepted for ILL and Reciprocal Borrowing losses.
- f) Once the patron has paid for any lost ILL/RB items monies will not be refunded.
- g) Reimbursement for non-returned lost materials will be 365 days after due date and processed on a quarterly basis.

5) Lost and Claims Returned Items

- a) The Mark Item as Lost wizard should be used only when payment is made.
- b) The Claims Return wizard is used only by SWAN Member Services for ILL/Reciprocal Borrowing transactions. This is done in consultation with the user's home library.
- c) Once a user is sent to a collection agency, performing a "Claims Returned" on the item is no longer an option.

6) Patron Accounts/Records

- a) Birthdates are a required field in user records.
- b) All user records must conform to current standards (see appended USPS guidelines).
- c) SWAN libraries must verify a user is in good standing before circulating to a new or renewing reciprocal borrower.

- d) A user may have more than one valid record on SWAN. Acceptable examples include: children in joint custody situations, staff, non-resident property owners, and students (an academic card is not for use at a public library).
- e) When re-registering a user, modify the existing public library record following current user record entry standards.
- f) Circulation to a user with an expired card should only be performed in consultation with the user's home library.
- g) A user record from another SWAN library can only be modified when the user has moved into your service area. However, library staff can assist any user in editing the following fields: PIN, email address, any phone field, SMS Texting, language or notice preference.
- h) All Non-SWAN user records should include the expiration date provided by the user's home library or be assigned an expiration date one year from the date of issue.

7) Responsibility for Lost Interlibrary Loan and Reciprocal Borrowing Materials

- a) When all libraries involved in an ILL or RB transaction are SWAN libraries, the user's home library is responsible for all costs.
- b) When a Non-SWAN library is involved in the transaction, the ILLINET ILL Code requires that the borrowing library must reimburse the owning library for any losses.

IDENTITY PROTECTION POLICY

Approved by the SWAN Board on 10/16/2015

SWAN (System Wide Automated Network) adopts this Identity Protection Policy pursuant to the Identity Protection Act, 5 ILCS 179/1 et seq. The Identity Protection Act requires units of local government to approve and implement an Identity Protection Policy to ensure the confidentiality and integrity of Social Security Numbers which agencies collect, maintain, and use. It is important to safeguard Social Security Numbers (SSNs) against unauthorized access as SSNs can be used to facilitate identity theft. One way to better protect SSNs is to limit the widespread dissemination of SSNs. The Identity Protection Act was passed in part to require government agencies to assess their personal information collection practices and make necessary changes to those practices to ensure confidentiality of SSNs.

SOCIAL SECURITY NUMBER PROTECTIONS

SWAN shall not:

1. Publicly post or publicly display in any manner an individual's SSN. "Publicly post" or "publicly display" means to intentionally communicate or otherwise intentionally make available to the general public.
2. Print an individual's SSN on any card required for the individual to access products or services provided by the person or entity.
3. Require an individual to transmit a SSN over the Internet, unless the connection is secure or the SSN is encrypted.
4. Print an individual's SSN on any materials that are mailed to the individual, through the U.S. Postal Service, any private mail service, electronic mail, or any similar method delivery, unless State or federal law requires the SSN to be on the document to be mailed. SSNs may be included in applications and forms sent by mail, including, but not limited to, any material mailed in connection with the administration of the Unemployment Insurance Act, any material mailed in connection with any tax administered by the Department of Revenue, and documents sent as part of an application or enrollment process or to establish, amend, or terminate an account, contract, or policy or to confirm the accuracy of the SSN. A SSN that is permissibly mailed will not be printed, in whole or in part, on a postcard or other mailer that does not require an envelope or be visible on an envelope without the envelope having been opened.

In addition, SWAN shall not:

1. Collect, use, or disclose a SSN from an individual unless:
 - A. Required to do so under State or federal law, rules or regulations, or the collection, use or

- disclosure of the SSN is otherwise necessary for the performance of SWAN's duties and responsibilities;
- B. The need and purpose for the SSN number is documented before collection of the SSN; and
 - C. The SSN collected is relevant to the documented need and purpose.
2. Require an individual to use his or her SSN to access an Internet website;
 3. Use the SSN for any purpose other than the purpose for which it was collected.

REQUIREMENTS TO REDACT SOCIAL SECURITY NUMBERS

SWAN shall comply with the provisions of any other State law with respect to allowing the public inspection and copying of information or documents containing all or any portion of an individual's SSN. SWAN shall redact SSN's from the information or documents before allowing the public inspection or copying of the information or documents.

These prohibitions do not apply in the following circumstances:

1. The disclosure of SSN to agents, employees, contractors, or subcontractors of a governmental entity or disclosure by a governmental entity to another governmental entity or its agents, employees, contractors, or subcontractors if disclosure is necessary in order for the entity to perform its duties and responsibilities; and, if disclosing to a contractor or subcontractor, prior to such disclosure, the governmental entity must first receive from the contractor or subcontractor a copy of the contractor's or subcontractor's policy that sets forth how the requirements imposed under this Act on a governmental entity to protect an individual's Social Security number will be achieved.
2. The disclosure of Social Security numbers pursuant to a court order, warrant, or subpoena.
3. The collection, use, or disclosure of Social Security numbers in order to ensure the safety of: State and local government employees; persons committed to correctional facilities, local jails, and other law enforcement facilities or retention centers; wards of the State; and all persons working in or visiting a State or local government agency facility.
4. The collection, use or disclosure of Social Security numbers for internal verification or administrative purposes.
5. The disclosure of Social Security numbers by a State agency to any entity for the collection of delinquent child support or of any State debt or to a governmental agency to assist with an investigation or the prevention of fraud.
6. The collection or use of Social Security numbers to investigate or prevent fraud, to conduct background checks, to collect a debt, to obtain a credit report from a consumer reporting agency under the federal Fair Credit Reporting Act, to undertake any permissible purpose that is enumerated under the federal Gramm Leach Bliley Act, or to locate a missing person, a lost relative, or a person who is due a benefit, such as a pension benefit or an unclaimed property

benefit.

When collecting SSNs, SWAN shall request each SSN in a manner that makes the SSN easily redacted if required to be released as part of a public records request. "Redact" means to alter or truncate data so that no more than five sequential digits for a SSN are accessible as part of personal information.

EMPLOYEE ACCESS TO SOCIAL SECURITY NUMBERS

Only employees who are required to use or handle information or documents that contain SSNs will have access. All employees who have access to SSNs are trained to protect the confidentiality of SSNs.

MEMBER ACCESS TO SWAN

Approved by the SWAN Board 10/18/2013

Access to SWAN is provided in the following ways:

1. DEDICATED SUPPORT UNITS

- A. Only FULL PARTICIPANTS, ENHANCED ACCESS PARTICIPANTS, and FILE BUILDING LIBRARIES may license a dedicated support unit. The initial SWAN log-in password will be unique to and established by each PARTICIPANT. This information will be shared only with management personnel of the SWAN Computer Room and with the permission of the Administrator of the participating library.
- B. FULL PARTICIPANTS, may license a dedicated support unit to provide dedicated access, from their library, to the public. When this support unit is being used by the public, its access is restricted to only bibliographic searching.
- C. FULL PARTICIPANTS upon approval of the SWAN Executive Director, may license a dedicated support unit to share such a license with another FULL PARTICIPANT.
- D. FULL PARTICIPANTS may license a dedicated support unit to provide Internet access to a non-SWAN RAILS member library. The non-SWAN library may only use this support unit for bibliographic searching. If the non-SWAN library wishes to place online holds or receive any SWAN Internet Access services, the non-SWAN library must also sign a SWAN Internet Access Agreement.

2. OTHER MEANS OF ACCESS

- A. Non-SWAN RAILS libraries may contract for access to SWAN via Internet Access or Enhanced Access at a fee. Any such fees collected will be placed in the SWAN General Fund.
- B. As part of statewide resource sharing, Illinois library systems may access the database for purposes of Bibliographic Searching and Holds Processing. Those who connect for this purpose must have established cooperative procedures and guidelines with SWAN
- C. To promote resource sharing, the SWAN bibliographic database is available on the Internet.

3. ASSIGNMENT OF SUPPORT

- A. It is the responsibility of SWAN staff to determine the best configuration of support units for system-wide use. In making decisions about support unit assignments, consideration will be given to criteria such as:
 - 1. Optimum load of the System
 - 2. Number of user licenses purchased from the vendor
 - 3. Response time effect

4. Date on which order was received
- B. If there is a situation where more support units are requested than are available, consideration will be given to the date on which the order was received, and priority will be given in the following sequence:
1. A Full Participant scheduled to begin on-line circulation
 2. A Full Participant scheduled to begin data entry
 3. A Full Participant scheduled to install OPAC workstations
 4. An Internet Access User or Enhanced Access User
 5. A File Building Library
 6. Special Request
- C. FULL PARTICIPANTS have priority of system access in the advent of a partial failure of central-site hardware or software.

DATABASE MANAGEMENT POLICY

Approved by the SWAN Board on 9/13/2013

Integrity of the database is vital to the successful use of the System.

1. STANDARD RULES OF ENTRY

Each Participating Library, while retaining the right to practice whatever individual local policies may be desired, must follow the standardized rules established for uniform entry.

SWAN will monitor entries and enforce corrections or changes as necessary.

2. BIBLIOGRAPHIC RECORDS

Brief on-order records may be entered by staff from Participating Libraries. Such staff are required to undergo data entry training from central site SWAN staff, or from staff already trained at Participating Libraries.

Full MARC records may be added to SWAN by libraries so authorized by SWAN. These libraries are designated as "SWAN Cataloging Libraries." See "[Requirements for SWAN Cataloging Libraries.](#)"

3. PATRON RECORDS

It is the exclusive right and obligation of the FULL PARTICIPANTS and ENHANCED ACCESS PARTICIPANTS at which a patron's card is issued to enter, change, or delete that patron's record in accordance with the rules set forth in the [SWAN Circulation Policy](#).

The Illinois Library Records Confidentiality Act applies in all instances.

4. RIGHT OF FULL PARTICIPANTS AND FILE BUILDING LIBRARIES

A participant library's item records, patron records, and authority records are stored in the System. The Library has the right to have copies of its data excerpted from the database, as well as to receive a copy of the bibliographic, item and authority records owned by the Library in mutually agreed upon electronic or other format, with the appropriate charges to be determined.

5. COST FOR DATA DELETION AND RESTORATION

A one-time penalty fee of \$500 may be charged to any library responsible for any unauthorized actions that corrupt data or deprive access to data for the entire membership, and require the intervention of the ILS vendor to correct the problem.

REQUIREMENTS FOR SWAN CATALOGING LIBRARIES

Approved by the SWAN Board on 9/13/2013

There are no additional SWAN fees associated with being a SWAN Cataloging Library other than the contractual costs associated with OCLC. The SWAN Board may provide financial incentives to SWAN Cataloging Libraries as it sees fit.

Libraries wishing to become SWAN Cataloging Libraries must fulfill the following requirements:

1. Commit to maintain the position of a cataloging supervisor with either of the following qualifications:
 - A. The cataloging supervisor must have a Master's Degree in Library Science, and must have taken at least one class in cataloging. The supervisor must have 3 years of cataloging experience, with the ability to perform original cataloging in all formats, and at least one year of experience with the SWAN ILS.

OR

- B. The cataloging supervisor must have taken at least one class in cataloging from an accredited library school, have 3-5 years of cataloging experience, with the ability to perform original cataloging in all formats, and at least one year of experience with the SWAN ILS.
2. Cataloging libraries will be responsible for providing full OCLC/MARC records for materials acquired by their libraries, if full OCLC/MARC records are not already in SWAN.

3. The SWAN Bibliographic Services Manager will provide procedural training to the cataloging supervisor of an SWAN Cataloging Library. However, the Manager will not provide cataloging training, as such.
4. The cataloging supervisor will attend quarterly meetings of the SWAN Cataloging Libraries, and any other meetings deemed appropriate by the SWAN Bibliographic Services Manager, to keep abreast of cataloging rule changes and interpretations.
5. The cataloging supervisor will observe the following standards and conventions:
 - A. The way in which a bibliographic entity is described will be based on ISBD (International Standard Bibliographic Description) using:
 - i. RDA: Resource Description and Access
 - ii. Library of Congress Subject Headings, latest ed.
 - B. The means with which a bibliographic entity is entered will be based on:
 - i. Bibliographic Formats and Standards, latest ed. / OCLC
 - ii. Training documents found at the SWAN website.
6. The importing of records as well as the original cataloging duties must conform to the local practices as outlined in "Cataloging and Data Entry Standards for SWAN /OCLC Libraries."
7. The SWAN Bibliographic Services Manager will monitor the work of the OCLC cataloging library. The SWAN Board, upon the recommendation from the SWAN Bibliographic Services Manager, may terminate the library's cataloging role if the library does not conform to these standards. SWAN will discontinue any financial cataloging incentives accruing to the library.

If all the above requirements are met and future obligations are agreed to, the SWAN member library seeking status as a SWAN Cataloging Library will contact the SWAN Bibliographic Services Manager directly. The SWAN Bibliographic Services Manager will make a recommendation to the SWAN Board for approval.

Any financial incentives for the new cataloging library will begin in the next SWAN fiscal year.

NEW MEMBERS POLICY

Reviewed and revised by the SWAN Board 10/17/2014

1. AGREEMENT

Any RAILS member library wishing to join the SWAN consortium must agree to abide by all policies and procedures as set forth in the SWAN Participation Agreement. New members must also abide by any state mandates relative to Local Library System Automation Project (LLSAP) members.

2. ACCESS TO SWAN

All new libraries must access SWAN through the Internet by utilizing the Illinois Century Network (ICN) or other Internet service provider (ISP) as approved by the SWAN Executive Director. The library shall purchase a SWAN-approved VPN/Firewall security device, and shall have it configured and installed by SWAN or a contractor approved by SWAN.

3. APPLICATION AND APPROVAL

The library shall submit a written request to join SWAN to the Executive Director. The Executive Director will present an impact study to the SWAN Board for review. The Board will present its recommendation and pertinent information to the membership for a vote, as specified in the SWAN By-Laws (ARTICLE IX - MEMBERS AND MEMBERSHIP).

4. FEES

A. SWAN Annual Fees

The Annual Fee Chart governs the fees paid by libraries.

1. Payments for the integrated library system licenses and services will begin when purchased from the vendor by SWAN.
2. Payments for the SWAN Annual Fees will begin when the library goes live on SWAN.

B. Vendor Fees

All charges by the vendor associated with implementation of adding the library to SWAN must be paid by the library as invoiced. The SWAN Executive Director will provide cost estimates, which may vary depending on library and SWAN needs.

5. TRAINING

Training of library staff basic modules is included. If the library requires special training or accelerated training they may choose to use vendor for this training at their direct cost.

PROCEDURES FOR PROBLEM RESOLUTION

Reviewed by the SWAN Board on 12/18/2015

Members are responsible for negotiating among themselves problems encountered in the use of SWAN. The following procedures are to be used. These procedures are intended to foster a spirit of cooperation and communication between SWAN libraries. We should apply common sense to each individual situation, and to be generous in understanding the situation.

PROCESS STEPS

1. The complaining library determines how much of a concern the error is to them and if they want to take action against the library that violated the policies (the erring library). If the complaining library thinks the error is significant enough to require action, the complaining library should call the erring library to discuss the situation. Any discussion of the matter should be held between staff at a management level. Either party can call the appropriate SWAN staff member for clarification on established policies.

2. Should the actions taken in Step 1 fail to resolve the issue; the complaining library can call the appropriate SWAN staff member. SWAN staff members reserve the right to route the call to the SWAN staff member with expertise in the area in which the infringement occurred. The complaining library will provide SWAN staff with documentation of multiple errors, committed by the same library, containing specific examples of violations and the date and name of the person that they talked to in step 1. SWAN staff will contact that person to discuss the problem and attempt to resolve it. SWAN staff will notify the complaining library of the outcome of the conversation with the erring library. Both SWAN staff and the complaining library will add this information to the documentation of the error.

3. Should the actions taken in Step 1 and Step 2 fail to resolve the issue; the staff in the complaining library can take all documentation on the errors and the attempts to resolve the problem to their administrator. It is then up to the administrator of the complaining library to contact the administrator of the erring library in an attempt to resolve the problem. Contact can be made either by phone or in writing. This attempt to resolve the problem is to be documented and added to the rest of the documentation on the problem. Either administrator can contact SWAN staff to have questions answered.

4. Should the actions taken in Step 1, Step 2 and Step 3 fail to resolve the issue; the administrator at the complaining library can contact the SWAN Executive Director. The administrator in the

complaining library will provide the SWAN Executive Director documentation of continued multiple errors, committed by the same library, along with specific examples of violations and when those violations occurred, and details of the actions taken in the first three steps of this process. After consulting with the SWAN staff involved in the process in Step 2, the SWAN Executive Director will contact the administrator at the erring library in an attempt to resolve the issue. SWAN Executive Director will notify the complaining library of the outcome of the conversation with the administrator at the erring library. Both the SWAN Executive Director and the administrator at the complaining library will add this information to the documentation of the error. If needed, the SWAN Executive Director will discuss the issue with the SWAN Board who will provide input and solutions.

5. If a resolution to a problem cannot be reached, SWAN or any SWAN library may request mediation, by submitting a written request to the SWAN Board within 90 days. A Mediation Committee will be appointed by the SWAN Board President - who will select two Administrators from among the FULL PARTICIPANTS, and one representative from the SWAN Board. The Mediation Committee's responsibility is to meet, to hear the complaint, to seek an equitable resolution, and to make recommendations including a time frame to resolve the issue. Its recommendations will be communicated to the parties involved in the complaint.

6. If libraries do not comply with the Mediation Committee's recommendations within the time frame specified, the SWAN Board President will request a vote of SWAN Board to be taken within 30 days to act on the unresolved complaint with recommended actions that may include canceling the contract(s) or agreement(s) with the library or libraries involved, or any other disciplinary action recommended by the membership, on the grounds that the contract(s) or agreement(s) for participating have been intentionally violated.

7. Upon receipt of any such petition, the SWAN Board will notify the governing boards of the parties involved in the complaint, prior to taking any action.

NETWORK POLICY

Approved by the SWAN Board on 7/28/2017

SWAN is dedicated to ensuring that all data stored or processed by SWAN, including data pertaining to patrons, the catalog, and associated transactions, are secured in such a way that prevents unpermitted tampering, eavesdropping, or harvesting. For this reason, all communication with the SWAN ILS from a Member Library or vendor must occur through a secure network connection, using current encryption methods approved by SWAN's Information Technology team.

Secured Connectivity Requirement for Member Libraries

Each SWAN Member Library is required to utilize a Virtual Private Network (VPN) tunnel to establish secure connectivity to the SWAN ILS and associated SWAN services (with the exception being SWAN's web-based Online Patron Access Catalog). All interaction with SWAN patron and catalog data must occur via the ILS staff client and/or associated SIP/API connections to ensure protected data transmissions. No Member Library shall be permitted to connect to SWAN without an approved VPN connection, and any vendors serving the Member Libraries must also comply with this Policy, whether their connectivity routes through the Member Library's network to SWAN, or is direct to the SWAN's servers.

SWAN reserves the right to modify network, encryption and security requirements at any time as necessary to meet the demands of ever-changing network security landscape. By participating in SWAN membership, Member Libraries and vendors agree to accommodate any network, encryption or security changes deemed necessary by SWAN Information Technology team, and to value network security and data integrity with the highest regard.

Secured Connectivity Requirement for Vendors

Each vendor serving SWAN or a Member Library must establish their connection to the ILS over an approved SIP2, API, Web Services, Z39.50, or SFTP connection, and secure this connection over a VPN or other encryption method approved by SWAN Information Technology team.

SWAN's Network Services

The SWAN Information Technology team will seek to ensure a library's connectivity to SWAN (ISP connectivity permitting) to the best of their abilities and within the capacity of their administrative reach.

In VPN-Managed SonicWall Libraries:

Member Libraries that have purchased SWAN's recommended SonicWall firewall hardware and requested SWAN's support are entitled to extended support of their firewall and VPN connection courtesy of SWAN, as long as SWAN is the sole administrator of that hardware.

SWAN will maintain the Member Library-purchased SonicWall to the best of their abilities to ensure secured connectivity to the SWAN network, ILS servers, and to the internet. SWAN will advise, when possible, to ensure proper routing through the library network to SWAN's VPN. The Member Library shall maintain their ISP connectivity and seek assistance from the ISP in the

event of a widespread outage that does not exclusively impact SWAN traffic. VPN-Managed Member Libraries are also required to contact SWAN to perform any changes to the SonicWall firewall or to the ISP. SWAN reserves the right to deny any firewall change request if it undermines SWAN's ability to adequately manage traffic or security for that Member Library.

In Self-Maintained Firewall Libraries

If a Member Library has signed the SWAN Self-Maintenance VPN Agreement, the Member Library's IT staff or contractor is responsible for any and all maintenance and administration of their network and firewall, and are to ensure connectivity to the ILS through methods agreed upon by SWAN's IT staff. For additional details, please see the SWAN Self-Maintenance VPN Agreement.

Liability

Member Libraries assume all responsibility for loss or damage to their networks, equipment and systems connected to SWAN, and the Member Libraries waive and release SWAN, its officers, agents, employees and vendors of, and from, any and all losses, damages, liability, or claims for damage to or destruction of their networks, equipment and systems connected to SWAN. By participating in SWAN, Member Libraries acknowledge full responsibility for any and all damages incurred to their local networks, the ILS and other Member Libraries in the event of a breach or outage, if determined to have been related to negligence of the Member Library or a Member Library's vendor or agent.

SWAN SELF-MAINTENANCE VPN AGREEMENT

SWAN employs a variety of methods to establish secure network connections with its member libraries in order to transmit patron, item, and checkout data through the shared Integrated Library System (ILS) and associated databases. To maintain consistency in the configuration of the network devices necessary to achieve these functions, SWAN was solely responsible for determining the appropriate security device, configuring, and managing that device for each individual member library. Presently, Dell SonicWALL firewalls are in-place at each library to serve this purpose, and are deployed in a variety of models and configurations as necessary to suit the individual network needs of each library.

With dedicated library IT staff becoming more common in SWAN's member library environments, it is possible, in certain situations, to maintain the same level of network security and stability while also allowing administration of the VPN/firewall devices by member library IT staff, independently from SWAN's staff. For SWAN member libraries that wish to utilize their own contracted IT to manage their library network security and stability, this agreement outlines responsibilities should they wish to manage their VPN independent of SWAN.

By signing this document, you agree to the following terms relating to the operation of your library's internal network and firewall equipment:

- **Library Liability for Security and Data Integrity**
SWAN staff and affiliated parties are in no way responsible for any network breaches or data loss (including outages) that occur as a result of this agreement and the self-maintenance program. By signing this document, the library takes full responsibility for any and all damages incurred to its local network, the ILS, and associated member libraries in the event of a breach or outage, if determined to have been related to negligence of the library or contracted technical staff.
- **Separation of Externally-Facing Servers and Equipment**
Servers/devices accessible from the Internet (email server, web server, DVR, etc.) should be placed in a network segment (or DMZ) with limited access to the network that has access to the SWAN VPN and servers.
- **Separation of Patron and Staff Computers**
No public computer should be able to access the SWAN network, with exceptions being a self-check, reservation systems, or other systems approved by SWAN IT staff on a case by case basis.

- **VPN Encryption Parameters for Access to SWAN**
Parameters to establish the VPN tunnel to SWAN ILS servers will be selected in a configuration considered to be cryptographically secure by SWAN IT staff. Authentication will be accomplished via pre-shared key (PSK) or a certificate provided by SWAN.
- **Hardware Utilized for VPN Connectivity**
SWAN offers a recommended standard firewall appliance of Dell SonicWALL. We tailor specifications and specific SonicWALL models based on individual library need. While the firewall hardware must ultimately be approved by SWAN prior to purchase and implementation, libraries are not solely confined to the models and configurations offered by Dell SonicWALL. Self-maintaining libraries are permitted to seek hardware by other network vendors or even pursue virtualized solutions.
- **Troubleshooting of Connectivity Issues**
SWAN will maintain a backup of the aforementioned member library's SonicWALL from the time administrative access was granted, but all future administration, maintenance, and troubleshooting of the SonicWALL hardware will be performed solely by the library's IT staff. SWAN's troubleshooting will be limited to ensuring VPN connectivity.
- **Read-only SNMP for VPN Monitoring**
So that SWAN may determine the root cause of network issues, SNMP must be enabled and maintained over the SWAN VPN connection at all times so that SWAN is able to ensure network stability.
- **Centralized Dell GMS Support**
Continued participation in the SWAN Global Maintenance Service (GMS) support is optional. Library IT staff should consider SWAN's GMS as it allows for centralized backups and monitoring of the unit. Dynamic GMS support could also be extended to self-maintained library units, but the library would not be able to have the device in their individual MySonicWALL account. In this configuration, library staff would have to contact SWAN IT for updated firmware and other downloads.

This agreement may be revoked or terminated by SWAN administration or library administration at any time and for any reason if it has been determined that self-administration has been unsuccessful. At such a time, full access to the Dell SonicWALL or alternate equipment used for maintaining the SWAN VPN connection would be reinstated to SWAN IT staff, and the administrating member library would relinquish responsibilities and control of the firewall unit to SWAN IT staff. Should an updated

agreement become available, library administration and SWAN staff will be required to sign-off on the updated agreement to maintain its integrity.

By signing this certification page, the SWAN member library's administration signifies that he/she has read and understands the risks and challenges associated with self-maintenance of the SonicWALL / virtual private network.

Library Name

Member Library Administrator's Signature

Date

SWAN Administrator's Signature

Date

For questions and assistance

SWAN Support Desk

630-734-5153

help@swanlibraries.net

support.swanlibraries.net

SWAN IT Department

630-734-5230

it@swanlibraries.net

VENDOR ACCESS POLICY

Approved by the SWAN Board on 9/15/2017

SWAN defines a vendor as any third-party business, organization, or person that seeks to interact with the Member Libraries to provide supplementary services in conjunction with the ILS.

In the interest of our Member Libraries, SWAN is willing to partner with vendors that provide services in observance of the conditions below. By participating in a contract with a SWAN Member Library or with SWAN directly, vendors agree to comply with this Policy. The vendor acknowledges that any violation of any of this Policy below may result in the termination of its contract with the Member Library and/or SWAN, and could result in permanent removal from SWAN Services. SWAN reserves the right to deny a vendor access for any reason and/or decline integration setup of the vendor for an associated Member Library.

Respect of Patron Privacy, Data Integrity

- a. Vendor acknowledges that all data stored or processed by SWAN and its Member Libraries, including patron, circulation, and catalog data, are considered confidential and must be handled in a responsible manner, ensuring end-to-end transaction encryption, secure storage (when applicable), and full transparency with SWAN, the Member Library, and affected parties.
- b. Vendor agrees not to collect any patron data, including, but not limited to, circulation statistics, contact information, or demographics, with the intention to redistribute to any parties outside of the requesting Member Library or SWAN.
- c. Vendor agrees that patron, circulation, and catalog data will not be used for any monetary or personal gain outside of their agreement with the Member Library or SWAN.
- d. Vendor agrees to notify both the Member Library and SWAN in the event of a security breach, data leak, or mishandling of data.
- e. Vendor agrees to sign a Non-Disclosure Agreement (NDA) provided by SWAN prior to setup of, initial billing, and establishment of services.
- f. Vendor agrees to keep patron and circulation data anonymous whenever achievable through rendered services.
- g. Vendor agrees to comply with the Illinois Library Records Confidentiality Act, 75 ILCS 70/1, *et seq.*, as amended from time to time.
- h. The definition of a public record in the Freedom of Information Act (5 ILCS 140/1 *et seq.*) (“FOIA”) includes a “public record that is not in the possession of a public body but is in the possession of a party with whom the agency has contracted to perform a governmental function on behalf of the public body and that directly relates to the governmental function and is not otherwise exempt under this Act.” (5 ILCS 140/7(2)).

Consequently, the vendor agrees to maintain and make available to SWAN and Member Libraries, upon request, its public records relating to the performance of its agreement with SWAN and/or Member Libraries in compliance with the requirements of the Local Records Act (50 ILCS 205/1 *et seq.*) and FOIA. To facilitate a response by SWAN or a Member Library to any FOIA request, the vendor agrees to provide all requested public records within five (5) business days of a request being made by SWAN or a Member Library. The vendor agrees to defend, indemnify and hold harmless SWAN and Member Libraries, and agrees to pay all reasonable costs connected therewith (including, but not limited to, reasonable attorney and witness fees, filing fees and any other expenses) for SWAN and Member Libraries to defend any and all causes, actions, causes of action, disputes, prosecutions or conflicts arising from the vendor's actual or alleged violation of the FOIA or the vendor's failure to furnish all public records as requested by SWAN or Member libraries. Furthermore, should the vendor request that SWAN or Member Libraries utilize a lawful exemption under FOIA in relation to any FOIA request thereby denying that request, the vendor agrees to pay all costs connected therewith (such as reasonable attorney and witness fees, filing fees and any other expenses) to defend the denial of the request. The defense shall include, but not be limited to, challenged or appealed denials of FOIA requests to either the Illinois Attorney General or a court of competent jurisdiction. The vendor agrees to defend, indemnify and hold harmless SWAN and Member Libraries, and agrees to pay all costs incurred by SWAN and Member Libraries connected therewith (such as reasonable attorney and witness fees, filing fees, penalties, fines, and any other expenses) to defend any denial of a FOIA request pursuant to the vendor's request to utilize a lawful exemption.

Agreement with Member Library

- i. Vendor must provide explicit documents stating the nature of the services to be provided to a Member Library or SWAN, and how these services interact with the ILS, with specific reference to interactions with patron, circulation, and catalog data.

ILS Connectivity

- j. Vendor must have a tested and established method of gaining connectivity to the ILS and/or associated data, and this method must be agreeable to SWAN, in SWAN's sole discretion, by meeting the following criteria:
 - i. All data transactions are secured via VPN, SSL, or other approved encryption method.
 - ii. Data is only communicated between SWAN, the Member Library and the vendor.
 - iii. Any desired changes to encryption or connection method to the ILS is discussed with SWAN with at least 30 days of advance notice.
- k. If vendor does not have a tested and established method of connectivity with the ILS, the vendor shall compensate SWAN for any additional development or consulting required to establish the necessary connectivity.

By signing this agreement, the vendor acknowledges and agrees to observe the requirements stated above throughout the length of their services with SWAN and/or associated Member Libraries.

Vendor Name: _____

Library Association (If Applicable): _____

Vendor's Signature: _____ **Date:** _____

SWAN Administrator's Signature: _____ **Date:** _____

SWAN BOARD POLICIES

CODE OF ETHICS SWAN BOARD

Approved by the SWAN Board 4/14/2014

1. We provide the highest level of service to all SWAN library users through appropriate and usefully organized resources; equitable service policies; equitable access; and accurate, unbiased, and courteous responses to all requests.
2. We protect each SWAN library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted.
3. We believe that the values of diversity, equity, and inclusion form the foundation of the library profession, our professional associations, and our interactions with each other and our members.
4. We respect intellectual property rights and advocate balance between the interests of
5. information users and rights holders.
6. We treat co-workers and other colleagues with respect, fairness, and good faith, and advocate conditions of employment that safeguard the rights and welfare of all employees of our institutions.
7. We do not advance private interests at the expense of SWAN library users, colleagues, or our employing institutions.
8. We shall not engage in financial transactions using nonpublic Library information or allow the improper use of such information to further any private interest.
9. We are entrusted with fiscal responsibility as described in the *Bylaws of the System Wide Automation Network* and are responsible for setting a tone within their functional area of responsibility for ethical conduct and integrity.
10. We exercise prudence and integrity in the management of funds in our custody and in all fiscal transactions in which we participate.

PUBLIC COMMENT AT SWAN MEETINGS POLICY

Reviewed and revised by the SWAN Board 11/21/2014

1. TIME ALLOCATION FOR PUBLIC COMMENT

- A. The time set aside at SWAN meetings for public comment shall usually be at the beginning of the meeting within the "Introduction of Visitors" section and shall generally not last more than 15 minutes.
- B. Each person is allowed five minutes. Comments should be brief, relevant, and to the point.

2. PROCEDURE AT MEETING

- A. The period for public comment will be announced by the Board President or designated representative.
- B. The commenter will rise and state name so that it can easily be added into the meeting notes.
- C. An immediate response from Board is not required.
- D. The recorder of minutes shall note in the minutes the names of the parties appearing and the substance of their comments.

THE AGENDA

Board shall not take action upon any matter not listed upon the official agenda, unless a majority of the Board shall have first consented.

"BOARD RESERVES THE RIGHT TO WAIVE THESE PROCEDURES WHEN NECESSARY TO CONDUCT BOARD MEETINGS EFFICIENTLY AND EFFECTIVELY."

CAPITAL ITEMS POLICY

Approved by the SWAN Board 2/21/2014

The purchase of any single item of furniture and/or equipment costing \$5,000 or more will be treated as a capital item purchase. The SWAN Executive Director is charged with the responsibility of maintaining an inventory of such items.

The SWAN Executive Director is charged with disposing of capital items that are no longer useful and reporting such disposition to SWAN Board.

All capital item purchases and disposals will be made in the most environmentally friendly manner possible.

In accordance with GASB 34, SWAN will depreciate all capital items and has a threshold of \$5,000.00 per item.

INVESTMENT OF PUBLIC FUNDS

Reviewed and revised by the SWAN Board on 10/16/2015

PURPOSE & SCOPE. The purpose of this policy statement is to outline the responsibilities, general objectives, and specific guidelines for management of SWAN funds by the SWAN Treasurer and Board. Its scope is all SWAN funds.

RESPONSIBILITIES. All investment policies and procedures of SWAN will be in accordance with Illinois Law. Administration and execution of these policies are the responsibility of the SWAN Treasurer and/or his/her designee.

DELEGATION OF AUTHORITY. Management and administrative responsibility for the investment program is hereby delegated to the Treasurer and/or her/his designee.

The Treasurer and/or her his designee is responsible for establishing internal controls and written procedures for the operation of the investment program.

“PRUDENT PERSON” STANDARD. All SWAN investment officers, including but not limited to the Treasurer and his/her designee, shall use a prudent person standard of care. This standard shall be applied in the context of managing an overall portfolio and specifies that 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 probable income to be derived. Investment officers, acting in accordance with this Policy and the written procedures of SWAN, and exercising due diligence, shall be relieved of personal responsibility for a security’s credit risk or market price/value changes, provided deviations from expectations are reported in a timely fashion and appropriate action is taken to control adverse developments.

OBJECTIVES. In selecting financial institutions and investment instruments to be used, the following general objectives should be considered in the priority listed:

- Legality (conforming with all legal requirements)
- Safety (preserving capital and including diversification appropriate to the nature and amount of the funds)
- Liquidity (maintaining sufficient liquidity to meet current obligations and those reasonably to be anticipated)
- Yield (attaining a market rate of return on investments)
- Investments will be diversified as is possible based on the nature of the funds invested and the cash flow needs of those funds.

GUIDELINES. The following guidelines should be used to meet the general investment objectives:

1. Legality and Safety:

Only investments consistent with the Public Funds Investment Act, 30 ILCS 235/1 *et seq.* will be permitted by this policy. Deposit accounts in banks or savings and loan institutions must be protected

by FDIC insurance and will not exceed the amount insured by FDIC coverage (unless adequately collateralized as stated below).

2. Liquidity:

In general, investments should be managed to meet liquidity needs for four months operating expenses, based on forecasted needs, and any reasonably anticipated special needs.

3. Yield-Return on investment:

Within the constraints on Illinois law, considerations of safety, and this investment policy, every effort should be made to maximize return on investments made. All available funds will be placed in investments or kept in interest bearing deposit accounts.

COLLATERAL. Funds on deposit in excess of FDIC limits will be secured by collateral. Investments in U.S. Treasuries or Federal Agencies do not require collateral. SWAN will accept the following as collateral:

1. U. S. Government Securities
2. Obligations of Federal Agencies
3. Obligations of Federal Instrumentalities
4. Obligations of the State of Illinois – rated A or higher

The amount of collateral provided is to have a current market value equal to at least 110% of the current amount by which SWAN funds on deposit (including accrued interest) exceed the FDIC insured amount. Maturities of collateral will be no more than five years longer than the maturity of the investment. Collateral with maturities of no more than ten (10) years longer than the maturity of the investment are acceptable if SWAN's deposits in excess of FDIC limits are collateralized at 115%.

The Treasurer will review the ratio of fair market value of collateral to the amount of funds secured monthly, and additional collateral will be required when the ratio declines below the 110% level.

Pledged collateral will be held in safekeeping by an independent third party bank, the Federal Reserve Bank, or the State Treasurer's Municipal Safekeeping account. The collateral will be held in accordance with an agreement with the institution that precludes the release of the pledged assets without authorized signatures; however, the agreement allows for an exchange of collateral of like value. Collateral transfers require the approval of the Treasurer or designee.

REPORTING. At least quarterly, the Treasurer or designee shall prepare a report that includes information regarding securities in the portfolio by class or type, book value, income earned and market value as of the report date. At least annually, the Treasurer and her/his designee shall review this Policy for any needed modifications and report to the Board on the investment portfolio, its effectiveness in meeting the needs of SWAN for safety, liquidity, rate of return, diversification and general performance. These reports will be available to the SWAN Membership upon request.

INTERNAL CONTROLS. In addition to these guidelines, the Treasurer and/or his/her designee shall establish a system of internal controls and written operational procedures designed to prevent fraud, loss, theft or misuse of funds.

AUTHORIZED FINANCIAL INSTITUTIONS. Any financial institution shall be considered and authorized only by the action of the SWAN Board upon the recommendation of the Treasurer. The Treasurer and/or her/his designee will maintain a list of financial institutions authorized to provide investment services.

CONFLICTS OF INTEREST. SWAN Board members, the SWAN Executive Director and/or any SWAN employees who have personal business activities with an investment institution shall abstain from discussion, making recommendations and voting relative to investment of funds. 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. Employees and officers shall refrain from undertaking personal investment transactions with the same individual with whom business is conducted on behalf of SWAN.

No person acting as Treasurer or investment advisor for the SWAN, or who is employed in any similar capacity by or for the SWAN, may do any of the following:

- a. Have any interest, directly or indirectly, in any investments in which the SWAN is authorized to invest.
- b. Have any interest, directly or indirectly, in the sellers, sponsors, or managers of those investments.
- c. Receive, in any manner, compensation of any kind from any investments in which the SWAN is authorized to invest.

PURCHASING POLICY

Reviewed and revised by the SWAN Board 2/21/2014

1. The SWAN Executive Director is delegated the authority to purchase any item (not required to be bid by law) that has been approved by SWAN Members within the limits of the fiscal year budget or by Membership vote.
2. The SWAN Board shall authorize the SWAN Executive Director and SWAN staff designated by the Executive Director to use SWAN credit card(s) for purchases authorized within the budget or by Membership vote. Prior authorization of the SWAN Executive Director, or SWAN Board President in the Director's absence, is necessary before using any credit card, and documentation concerning all credit card use shall be maintained in the SWAN Business Office.
3. Where purchase is required by law to be on the basis of competitive bids the purchase will be made on the basis of the lowest bid or quotation received from a responsible supplier whose product or service meets the bid or quotation specifications and whose record of service indicates a satisfactory contract or order performance. Further the SWAN Board reserves the right to reject any or all bids.
4. SWAN will not conduct business with any vendor having an affiliation with any SWAN employee, or current board member that may result in material financial gain or in a conflict of interest for that employee/board member.

RESERVE CASH POLICY

Reviewed and revised by the SWAN Board on 12/19/2014

The equivalent of four months operating expenditures shall be maintained as reserve cash.

In March of each year the SWAN Board will review the projected balance of the current fiscal year. If the balance is projected to be more than 50% of the current year's operating budget, the board will prepare a recommendation as to management of the overage. This recommendation will be brought to the June membership quarterly meeting for a membership vote.

MEMBER LIBRARY ACKNOWLEDGEMENT

The SWAN policy handbook describes important information about SWAN and I understand that I should consult SWAN’s Executive Director regarding any questions not answered in the handbook.

Since the information, policies, and benefits described herein are necessarily subject to change, I acknowledge that revisions to the handbook may occur. All such changes will normally be communicated through official notices, and I understand that revised information may supersede, modify, or eliminate existing policies. Only the SWAN Board has the right to approve and adopt any revisions to the policies in this handbook.

I acknowledge that this handbook is neither a contract nor a legal document. I have received the handbook, and I understand that it is my responsibility to read and comply with the policies contained in this handbook and any revisions made to it.

Library Name

Library Director Signature

Date

Send signed acknowledgement in paper or electronic form to:

Aaron Skog
SWAN Executive Director
SWAN Library Services
800 Quail Ridge Drive, Westmont, IL 60559
aaron@swanlibraries.net

SWAN

LIBRARY SERVICES
EST. 1974



help@swanlibraries.net



swanlibraries.net
catalog.swanlibraries.net
support.swanlibraries.net



(844) SWAN-LIB



**800 Quail Ridge Drive
Westmont, IL 60559**