

# DECISION DOCUMENT MASK

## DIGITAL LIBRARY PROGRAM: PHASE 2

<b>Project Name:</b> DLP: Shared Infrastructure, Discovery, and Curation	<b>Project Number:</b> 9140	<b>Prepared by:</b> Rosalyn Metz, Emily Porter, Collin Brittle	<b>Date:</b> Drafted: 2019-02-06 Revised: 2019-04-02
<b>Customer:</b> Yolanda Cooper	<b>Business Unit:</b> Emory Libraries	<b>Contact Name:</b> Rosalyn Metz	<b>Project Type:</b> <input type="checkbox"/> Mini <input type="checkbox"/> Standard <input checked="" type="checkbox"/> Complex

<b>INTRODUCTION</b>	<i>This document aligns the project team on a particular issue or challenge and options to consider. It explains the options, the relevant benefits and risks. It will also document which decision is made and approved by the stakeholders.</i>
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<b>QUESTION</b>	<p><b>What types of sensitive data can be managed by the DLP/Cor repository applications?</b> This document articulates types of data that will be accepted for the Cor repository applications and storage environments.</p> <p>As web-based applications available on the internet, the repository applications must pass a LITS Security review which requires documentation of what types of data are managed by those applications. The Staff Curation (Curate), Discovery (Lux) and Self Deposit applications for the Cor repository suite must comply with Emory LITS policies and procedures in the areas of application architecture, network access, and security.</p> <p>This document references the data classification definitions from the Emory Disk Encryption Policy (<a href="http://it.emory.edu/policies/5.12">http://it.emory.edu/policies/5.12</a>) as a comparable precedent and a standard which other Emory IT policies utilize. Excerpts of these definitions and examples are provided below:</p> <p><b>Public data:</b> <i>Any information that is intended to be read by the general public. Examples: the content of a publicly accessible website, the Emory University course catalog, the schedule for performance events, student information classified as "directory data"</i></p> <p><b>Internal data:</b> <i>Any information that should only be read by, and distributed to, faculty, staff, and students of Emory. Examples: memos from campus administration to employees, general work documents that are neither intended to be public, nor contain confidential or restricted data (see definitions in this section)</i></p> <p><b>Confidential data:</b> <i>Any information that requires (by contract, law, ethical guidelines, or data owner mandate) controlled access to a select group of individuals or, any information that could cause harm to individuals or Emory if used inappropriately or disclosed, but is not considered restricted data</i></p> <p><b>Restricted data</b> <i>Any information that, if used inappropriately or disclosed, could cause significant harm to individuals or Emory. This includes information that could be used for identity theft, or information that carries significant penalties if disclosed.</i></p> <ul style="list-style-type: none"> <li>• <i>Electronic patient health information (ePHI)</i></li> <li>• <i>Combinations of Personally identifiable Information that could be used for identity theft:</i></li> <li>• <i>Social Security Numbers</i></li> <li>• <i>Driver's license numbers</i></li> <li>• <i>Credit card numbers</i></li> <li>• <i>Financial records that could lead to identity theft</i></li> <li>• <i>Additional examples as noted in the Disk Encryption Policy</i></li> </ul>
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DECISIONS	<p><b>Types of Data Accepted by the Emory Libraries Cor repository</b></p> <ol style="list-style-type: none"> <li>1. <b>The Cor repository will store and manage content files which contain Public, Internal, and Confidential data.</b></li> <li>2. <b>The Cor repository applications will not store content files that contain Restricted Data as defined above, but can manage metadata about those files as well as store expunged file versions.</b></li> </ol> <p>In our current DCSC and DCDC review process, prior to ingest, materials submitted to the Cor repository undergo a rights review and identification of types of data to ensure appropriate access to material.</p> <p>In the case of Emory Libraries-owned or Emory Libraries-stewarded material, the preservation repository complies with Emory policies as well as compliance obligations defined in the <a href="#">Emory Libraries Digital Collection Policy</a>. Per the Libraries' <a href="#">Digital Preservation Policy</a>, copyright, license, and contract status is also a required component for material to be preserved in the repository</p> <p><b>Restricted Data</b></p> <p>The repository's overarching mission is to "deliver long-term digital access to unique cultural heritage and scholarship collections from Emory University". The inclusion of <i>Restricted data</i> in the same environment with the other types of data is incompatible with the repository goals of providing access. Inclusion of Restricted data would necessitate restrictive network access controls/firewalls, significantly inhibiting library patron access. This, in combination with the risks attendant with storing <i>Restricted data</i> in an internet-accessible application environment that allows content to become publicly available, opens Emory Libraries and the University to significant liability.</p> <p>The Cor repository applications can manage metadata and/or expunged versions of content files derived from <i>Restricted data</i> files, but any Restricted data files must be stored in a separate, more highly restricted network storage environment. In the case of disk images deposited for preservation into this restricted network storage environment, digital forensics tools will be used to identify and extract unrestricted files from disk images prior to deposit in the Cor repository.</p> <p><b>Summary of Cor Applications' Interactions with Data</b></p> <p>Staff Management/Curation (Curate) and Campus Self Deposit applications</p> <ol style="list-style-type: none"> <li>1. Reads/writes/updates/stores deposited content files and metadata classified as Public, Internal, Confidential data</li> <li>2. Provides tiered, curator-controlled display and download options for content files containing Public, Internal, or Confidential data</li> <li>3. Reads/writes/stores metadata only for Restricted data, while referencing separate secure file stores' locations for Restricted data content files</li> <li>4. Reads from Emory data sources which may contain Public, Internal, and Confidential data</li> <li>5. Reads/stores copies of external Library data (e.g. Library of Congress Authorities data) containing Public Data</li> </ol> <p>Discovery (Lux) application</p> <ol style="list-style-type: none"> <li>1. Reads metadata from the Curate and Self Deposit applications</li> <li>2. Provides tiered, curator-controlled display and download options for content files containing Public, Internal, Confidential data</li> </ol>
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ASSUMPTIONS	<ul style="list-style-type: none"> <li>Library staff depositors will utilize best practices and/or appropriate forensic tools to identify and expunge content that contains Restricted data</li> <li>Library staff depositors will identify types of data included in material as part of required metadata accompanying deposit</li> <li>Emory Libraries will monitor ongoing changes in compliance obligations and update Cor repository policies accordingly</li> <li>Workflows and distinct networked environments will be established, as a separate project effort, for storing and managing Libraries-stewarded<sup>d</sup> material that contains Restricted data</li> </ul>
RISKS ACCEPTED	<ul style="list-style-type: none"> <li>Cor repository administrators rely on submitters to ensure approved content has been reviewed and expunged of restricted data</li> <li>Cor repository provides adequate safeguards for Confidential data, by implementing approved access control requirements and in undergoing LITS Security review</li> <li>Legacy repository applications not integrated in the Cor repository suite comply with LITS Security and network access policies</li> </ul>
ALTERNATIVES CONSIDERED	<ul style="list-style-type: none"> <li>Inclusion of Restricted data along with other types of data in the initial Cor repository applications: this would potentially result in excessively restrictive network access controls prohibiting open/public access to any repository material</li> </ul>

*By approving this document, you are in agreement with the decision as described herein.*

STAKEHOLDER	NAME	SIGNATURE	DATE
Executive Sponsor & University Librarian	Yolanda Cooper	Approved at Director's Council	2019-05-16
Project Sponsor & Director, Library Technology & Digital Strategies	Rosalyn Metz	Approved at Director's Council	2019-05-16
Director, Access and Resource Services	Lars Meyer	Approved at Director's Council	2019-05-16
Director, Academic Technology	Kim Braxton	Approved at Director's Council	2019-05-16
Director, Research, Engagement, and Scholarly Communications	Lisa Macklin	Approved at Director's Council	2019-05-16
Director, Communications and Campus Relations	Leslie Wingate	Approved at Director's Council	2019-05-16
Director, Woodruff Health Sciences Library	Sandra Franklin	Approved at Director's Council	2019-05-16
Director, Oxford Campus Library	Kitty McNeil	Approved at Director's Council	2019-05-16
Director, Rose Library	Jennifer King	Approved at Director's Council	2019-05-16
Director, Goizueta Business Library	Susan Klopfer	Approved at Director's Council	2019-05-16
Director, Pitts Theology Library	Bo Adams	Approved at Library Directors	2019-05-22
Director, Law Library	Mark Engsborg	Approved at Library Directors	2019-05-22
Co-Director, Emory Center for Digital Scholarship	Wayne Morse	Approved verbally	2019-06-18
Lead Software Engineer, Emory Libraries	Collin Brittle	Approved via Box	2019-07-11
Assistant Director, Library Technology	Doug Goans	Approved via Box	2019-07-12

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### **DIGITAL LIBRARY PROGRAM: PHASE 2**

<b>Project Manager, Project Management Office</b>	Tiffany Miles	<b>Approved via Box</b>	<b>2019-07-11</b>
<b>Digital Repository Program Mgr., Library Technology &amp; Digital Strategies</b>	Emily Porter	<b>Approved via Box</b>	<b>2019-07-11</b>
<b>Assistant Director, Digital Product Strategy</b>	Cari Lovins	<b>Approved via Box</b>	<b>2019-07-11</b>

Signatories may vary depending on the breadth and depth the decision requires. Permanent signatories will include the members of the Digital Library Program Steering Committee, listed above. Any additional signatories are listed on the second page of this document.

If the decision request includes new or revised EUL policies and or funding, Yolanda Cooper or her designee must sign.

If the Decision Document addresses associated or integrated Library/LITS services, signatories for those areas will be included unless the origin of this document is deemed to be more appropriate from another project or initiative. In that case, appropriate DLP signatories should be included on “their” Decision document.

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### *Additional Signatures*

STAKEHOLDER	NAME	SIGNATURE	DATE
Role	Name		
Role	Name		

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<sup>i</sup> The Emory Libraries enter into binding gift agreements with donors that stipulate ongoing preservation of materials, restricted or not restricted, and therefore the broader Emory Libraries digital infrastructure includes preservation planning for Restricted data.