



CULTIVATING PENNSYLVANIA'S GROWING LIBRARIES

**TRAINING RESOURCE KIT
FOR PENNSYLVANIA
PUBLIC LIBRARY TRUSTEES**



Imagine the library as a community garden — a place for work, pleasure, and learning. And then imagine the trustees as gardeners, well equipped with all the tools they need for sowing, cultivating, nurturing, and enriching.



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WHEN IN DOUBT...CHECK THE LIBRARY CODE AND THE TRUSTEE HANDBOOK.

Trustees should refer to the *Library Code, Act of June 14, 1961. P.L. 524* as amended through June 30, 2003 and *A Handbook for Library Trustees* whenever there is any question about any aspect of their work on the board

Whenever you see one of these icons, you know that more detailed information and advice is available to you in these two publications. In addition, the toolkit provides a comprehensive bibliography of resources to guide trustees in their work.



Trustees Handbook



Pennsylvania Library Code



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INTRODUCTION

Well-managed boards and skilled trustees are critical to the success of libraries—just as libraries are critical to the future of Pennsylvania. Ideally, trustees bring to the board a passion for libraries, a keen understanding of their roles, and a thorough knowledge of board management. Unfortunately, experience has demonstrated that even the best informed trustees may have the will, but not all the “tools” at hand for effective advocacy and sound decision-making.

This toolkit is intended to serve as a ready source of direction and answers in training both novice and experienced trustees. It contains useful information about how boards are organized, how they conduct business, and the responsibilities of trustees.

“The quality of leadership more than any other factor, determines success or failure of an organization.”

—*Fred Fieldler and Martin Chemers*

THE TOOLKIT PRESENTS:

- Best practices
- Successful strategies for board management
- Aides for board discussion and decision making

Pennsylvania libraries rely on the wisdom of their 4,631 trustees. As stewards and advocates, trustees serve best when they fully understand the scope and limitations of their roles and responsibilities. Commonwealth Libraries applauds trustees as they work toward more visibility for libraries and better service for their communities.

It is to provide the skills necessary for success that this toolkit has been created.

THEY KNOW THEY DON'T KNOW

A survey conducted at the 2005 Trustee Institute indicates that even the most motivated, responsible and interested trustees believe that they lack the information that they need to perform effectively as members of their library board.

THE INFORMATION FROM THE SURVEY SHOWS:

Trustees did not understand their fiduciary responsibilities when they became a member of a library board.

Most had not received any orientation when they joined the board.

Most interact frequently with library staff.

The majority have limited interaction with elected officials.

A majority of the respondents are not familiar with the Library Code and express a desire to be better educated about many topics and issues that impact the operations of library boards.



PENNSYLVANIA LIBRARIES: HOW ARE THEY ORGANIZED AND MANAGED?

Many people, offices, and governing bodies are involved in creating, maintaining and improving library service in Pennsylvania.

The **General Assembly** establishes the legal framework for libraries, appropriates the funds for the **State Library**, and provides state aid for statewide library resource centers, district library centers, and local libraries.

The **Department of Education** oversees the **Office of Commonwealth Libraries** which includes the **Bureau of Library Development** and the **Bureau of State Library**.

The **Bureau of the State Library** is one of four statewide library resource centers named in the Library Code and as such, provides resources via interlibrary loan and reference to other libraries in the state. The State Library serves the information needs of all levels of State Government and is the destination library for materials for, by, and about Pennsylvania. It coordinates the State Document Depository Library program.

The **Bureau of Library Development** administers state aid and grants, plans and implements initiatives to improve libraries; fosters professional leadership; hosts workshops and meetings to assist librarians and trustees; manages library development statewide; and serves as a resource to all who work for the benefit of libraries.



THE ADVISORY COUNCIL ON LIBRARY DEVELOPMENT

The Advisory Council on Library Development has twelve members appointed by the Governor. Three members must be trustees of local libraries, three professional librarians and six laypersons. The Secretary Of Education and The Commissioner For Libraries serve *ex officio*. Members serve four-year terms and meet as a Council at least four times a year.

“Many of the greatest
adventurers of our
age...didn’t travel much
further than...a library.”

–Sal Rusbdie

FOUR DIMENSIONS OF LIBRARY SERVICE

Statewide Resource Centers

The Carnegie Library of Pittsburgh, the Free Library of Philadelphia, the Library of Pennsylvania State University, and the State Library of Pennsylvania are statewide resource centers. Their purpose is to augment the collections of local libraries and district centers.

District Library Centers

The 29 District Library Centers are strong local libraries that assist local libraries within their District. Working with an advisor from the Bureau of Library Development, District Consultants help local libraries with long range planning; professional development; program staffing, and funding issues; and interpreting information from the State.

County Library Systems

Library systems are groups of libraries within a county that unite to improve the level of service to all users within the county, work jointly to increase financial support, plan and evaluate service, share resources, and conduct staff and trustee training.

Local Libraries

A local library provides the services most needed and requested by local citizens — basic collections which vary in quantity and quality with the size of the community and the amount of money invested. Local libraries also provide reference services, children's activities, programs for older Pennsylvanians and other similar services.



LOCAL LIBRARIES: MUNICIPALITY SUPPORT

Municipal officials may levy a special tax for libraries or make funds available from other municipal revenues. They may also issue bonds for construction or otherwise contribute to the building or renovating of a library (by referendum or on their own initiative). In addition, municipal officials may place on the ballot a question regarding establishing and/or maintaining a local library.



LOCAL LIBRARIES: WHO'S IN CHARGE?

Trustees (or the Board of Directors as they are called in the Library Code) control the affairs of the library and all funds.



THE ROLES OF LIBRARY TRUSTEES AND ELECTED OFFICIALS

TRUSTEES

- Have legal authority over the library's policies, rules, and regulations for library.
- Control all funds.
- Oversee planning, fundraising, and liability protection.
- Evaluate the library's performance.
- Hire and evaluate the library director.
- Prosecute those who steal or damage library property.
- Contract for cooperative services.
- Establish fee structures for non-resident users.
- Accumulate excess funds for library construction, enhancements, and renovation.



ELECTED OFFICIALS

- Appropriate funds for the library or levy a special library tax.
- Appoint members of the library board and fill vacancies.
- May hold property on behalf of the library.
- May exercise eminent domain on behalf of the library.
- May purchase or lease lands and/or buildings for library purposes.

Trustees have a legal responsibility to maintain a free public nonsectarian library for all residents in the library's service area. **The primary responsibility of a trustee is the well-being of the library.**

TO EACH HIS OWN

Elected and other municipal officials decide what is best for the library through the lens of what is best for the community.

Trustees focus on what's best for the community through the lens of what's best for the library.

NEITHER ELECTED OFFICIALS NOR TRUSTEES

- Manage the day-to-day business of the library.
- Hire, fire, or evaluate library personnel, apart from the director.
- Receive preferential treatment as library patrons.

GOOD TRUSTEES

- Respect the important role libraries play in the life of the community.
- Participate in orientation.
- Attend meetings regularly.
- Devote the time and attention required.
- Share their skills on committees.
- Understand the community and its needs.
- Stay current on library trends and issues.
- Exercise discretion and respect confidentiality outside board meetings.
- Bring serious issues to the library director's attention so that the director can address them.
- Put personal agendas aside when making decisions.
- Actively support the implementation of board decisions.
- Advocate for the library with elected officials and in the community.
- Avoid conflicts of interest.
- Understand their role and how it differs from the role of the library director.
- Have an open mind and respect differing viewpoints.
- Respect diversity.
- Advocate for equitable pay for library personnel.
- Understand and respect the role of the director.
- Work cooperatively with other board members.
- Focus on a secure future for the library.
- Are open to new ideas for programs and services.
- Cultivate connections that will benefit the library.
- Actively support fundraising.
- Work to raise the library's visibility and improve public library services.

THE BEST TRUSTEES

- Applaud the library's successes.
- Attend social, fundraising, educational, and other important functions in and for the library.
- Make themselves and their particular expertise available to the director, when needed.
- Are avid library users themselves!

POLITICS HAVE THEIR PLACE...BUT NOT ON THE LIBRARY BOARD!

While political bodies may appoint trustees, once trustees assume their responsibilities on the board, they cease to represent partisan political interests. As trustees, they serve solely in the best interests of the library. As champions for the library, trustees separate their decision-making from external politics except to take into account political realities as they influence the library's prospects.

RESOURCES

PaLA Bulletin of the Pennsylvania Library Association

American Libraries, official publication of the American Library Association

Public Library Trustee, official publication of the American Library Trustee Association

Annual Trustee Institute

Pennsylvania Libraries Directory

Pennsylvania Public Library Statistics

Pennsylvania Public Library Accounting Manual

WEBSITES

www.palibraries.org

www.statelibrary.state.pa.us



BOARD BASICS: ORGANIZATION

HOW ARE TRUSTEES APPOINTED?

In Pennsylvania, The Library Code stipulates that a **board of library directors is composed of not less than five nor more than seven members**, appointed by municipal officers who can also fill any vacancies that can occur for any of a variety of reasons.

Where **two or more municipalities** contribute to the support of a local library, **each municipality appoints trustees**. The supporting municipalities mutually agree to the number serving on the board, as long as the total number is not more than nine members. 

HOW LONG DOES A TRUSTEE SERVE?

When a library board is first established, one-third of the trustees serve for one year, one third serve for two years, and one third serve for three years.

People who are appointed to fill the places of individuals whose terms have expired serve for **three years**. Individuals who are appointed to fill vacancies are appointed for the unexpired terms.

WHAT ARE THE RESPONSIBILITIES OF PENNSYLVANIA LIBRARY TRUSTEES?

Maintain a free, public, nonsectarian library serving the informational, educational and recreational needs of people in the library's service area.

Provide free access to a useful collection.

Ensure that the library is staffed to provide for these needs.



THE LIBRARY BOARD IS REQUIRED BY LAW:

- To elect at least a president, secretary and treasurer from among board members.
- To provide for bonding of the treasurer.
- To submit an annual report to the funding agency.
- To submit a copy of the annual report and required audit or financial review to the Office of Commonwealth Libraries.
- To make the accounts of the treasurer available for audit.
- To follow the provisions of the Sunshine Law.

In practice, library boards have many “legal” responsibilities. The rules and regulations they make may carry the force of law. Library trustees can be drawn into legal battles when an individual or group of individuals decides to test the legality of a library policy or procedure. For this reason, trustees enter into insurance arrangements, including policies for their own protection in liability cases. > A

ANNUALLY...WHETHER YOU NEED TO OR NOT!

An annual report includes information such as:

The year’s receipts and expenditures.

A summary of the condition of the library.

Numbers of volumes, maps, etc. held, lost or withdrawn; and added.

Number of registered borrowers and readers.

Circulation information.

The distribution of their annual report can also be an opportunity to market library services and to educate the community about the library’s contribution to achieving other goals, such as business and economic development, educational achievement, or services to seniors. Annual reports can integrate interesting information and facts about the library that will motivate people to read it and to become better informed about the value of their library. > A

BOARD BASICS: CONDUCTING BUSINESS

POLICY STATEMENT

In Pennsylvania, a library board has an important first step: to develop a **written statement to differentiate the function of the library board and that of the librarian/staff**. The clarity of this **policy statement** helps the board and the librarian to develop meeting agendas that clearly abide by the board's functions.

BYLAWS ARE A NECESSITY

Written bylaws are the **internal rules that establish board structure and operational procedures**. They map the **processes** that boards must follow; they provide guidance for **making decisions** and **conducting business**. When practice and bylaws are not in accord, both should be reviewed, and, if necessary, the bylaws can be amended. To avoid confusion and to provide a clear direction when the board is struggling with a decision, the language used when writing bylaws must be **clear and unambiguous**. Boards sometimes turn to an attorney to review their bylaws to be sure they are comprehensive and within the bounds of the board's legally ordained powers.

BYLAWS PROVIDE FOR:

- Regular and special meetings that are open to the public.
- Board officers—titles, duties, terms of office.
- Regular board members' terms of office.
- Establishing a quorum.
- Election procedures.
- Procedures for standing and special committees.
- Conduct for board meetings (Robert's Rules of Order).
- How they can be amended.

CLEAR PROCEDURES EQUALS SMOOTH FUNCTIONING

Library Boards function best if they have agreed upon procedures for conducting their business. The following should be managed consistently:

Dates, times, places for meetings and methods for changing them.

Preparation of agenda.

Format of minutes and responsibility for recording them and filing as public documents.

Titles and responsibilities of officers.

Relationship of director to board and director's role in board meetings.

Legal responsibilities and business matters that require review by legal counsel.

List of records that must be retained and how to access them.

Required and supplemental reports.

Outline of budget procedure.

Clarification of financial reports and bills that board wants to see.

Crisis management plan.

Identification of spokesperson for the board.

Committee assignments.

Statements detailing relationships between Friends of the Library and the board.

Statements pertaining to relationship between board and staff.

Statements regarding the use and coordination of volunteers.

BOARD BASICS: BUILDING A BALANCED BOARD

The most notable characteristic of a successful board is the ability of trustees to conduct business harmoniously. Add knowledge, enthusiasm, creativity, objectivity, flexibility, vision, courage, and diplomacy—and great things are possible.

DESIRABLE SKILLS

Some boards rely almost entirely on trustees for advice. Others make extensive use of consultants, advisory committees or volunteers. Effective boards are composed of committed individuals with a broad range of complementary talents, including skills in:

- Financial management
- Legal issues
- Relationship building and fundraising
- Negotiations and mediation
- Public speaking
- Public relations and marketing
- Human resource management
- Lobbying and advocacy
- Technology
- Construction

A NOTE ON DIVERSITY

Look around at the board. Is it **representative of the community**? Is it **racially and ethnically diverse**? What is the **average age** of trustees? While libraries are fortunate that retirees have the time to share their talents, it's also important to find ways to attract younger people who will bring their unique perspectives to the board. Creating a **well-balanced board** takes forethought and strategy, but the result is a board that will be well-respected in all corners of its kingdom.

Boards of Trustees should reflect the demographic profile of the general public, yet a 1997 national survey of trustees conducted by The Association of Library Trustees and Advocates (ALTA) revealed that:

- 65% are female
- 96% are white
- Most are over 50 yet most Americans are under 35
- Most trustees have at least an undergraduate education
- 41% are not employed

George M. Eberhart. The Whole Library Handbook 3. Chicago: The American Library Association, 2000. pp. 125-126.

TRUSTEES AS TALENT SCOUTS

Strategic selection and recruitment of new trustees is critical to success. A board vacancy provides the opportunity to fill out the board's **scope of capabilities**. While municipal officials are responsible for appointing trustees, the current board has the responsibility of communicating to them the **skill sets** and **qualities** they seek. A board that has managed its affairs smoothly is respected and well-positioned to influence the choice of future trustees.

In addition, qualified individuals will want to join the board if it is known to function so efficiently and professionally that board membership is known to be a satisfying experience. **A board that enjoys its work and produces excellent library services will be successful in recruiting.** It is an abiding truth that people who volunteer their time want to spend it wisely and be associated with "winning organizations."

RECRUITING TIPS

Create a mini-strategic plan to identify the talents the board needs and best prospects.

Invite potential board members to serve on committees prior to being appointed (Friends groups can be training grounds for trustees).

Be very clear about expectations so that recruits can honestly gauge their level of commitment.

Always speak of the board as a successful and respected community organization.

A board that enjoys its work and produces excellent library services will be successful in recruiting.

SUSTAINING THE INTEREST AND COMMITMENT OF BOARD MEMBERS

Maintaining the interest and enthusiasm of board members is a challenge. Many trustees report that they did not really understand the **responsibilities** that they were assuming when they joined the board and underestimated the **level of commitment** that is required and the **amount of time** they would have to devote to library business.

To help trustees remain **focused** and **committed**, some libraries have developed an annual "contract" that they ask their trustees to sign as a reminder of their ongoing obligation to continue to serve the board and the library. This checklist provides individual trustees with a means of assessing their effectiveness and for board leadership to identify areas that need to be addressed. 

BOARD BASICS: ASSIGNING ROLES

BOARD OFFICERS

All board members are equal. Officers are named for the purposes of expediting the board's work, but even the officers cannot speak for the board without permission. The bylaws should specify the general duties of officers.

President (or Chairperson)

The president **presides at meetings** of the board and, with the librarian, **prepares and mails an agenda** to members of the board in advance of the meeting. The president serves as **discussion leader** during the board meeting and encourages all members to participate. The president **signs official documents** requiring signature and **represents the board in public** and in an official capacity, as instructed by the board. The president has one vote as a member of the board.



Vice-President (or Vice Chairperson)

The vice-president **presides in the absence of the president** and performs any **other duties assigned by the board**. (This position is not required by law.)

Secretary

The secretary of the board **takes minutes** of board meetings and sees that they are mailed with the next agenda. After minutes are approved, the secretary makes a permanent and correct copy part of the **board archives**. The board determines how minutes are distributed to those other than board members. Minutes are made available for public inspection as soon as they are given to the board. The secretary may also perform other duties assigned by the board.

NOTE: Some boards name the librarian or a staff member to serve as secretary. In that case, the board member secretary should keep check-notes. The board should ask if it wants its librarian to be burdened with this job. In some cases, a tape recording is made and minutes taken from it. Verbatim minutes are used only in rare circumstances. Minutes should represent a simple record of the meeting, with clear identification of the actions taken.

Treasurer

The treasurer's **role varies** with the size of the library. In small libraries, the treasurer may keep the books, deposit funds, prepare reports and even write checks or vouchers. In larger libraries, the treasurer is a legal officer named to ensure that financial operations are being properly handled. Bylaws should outline the specific job, and the **law requires appropriate bonding**.

BOARD COMMITTEES

Most boards will at some time wish to have some detail work done by a committee. Examples of committees are: Personnel, Finance, Building, and PR-Library Awareness

Committees do not make decisions for the board, but instead prepare recommendations for the board's decision. Written reports are best and should, whenever possible, be distributed in advance of the board meeting. Because meetings of board committees may come under the Sunshine Law, it is best to follow legal requirements for calling and posting such meetings.

CODE OF ETHICS FOR LIBRARY TRUSTEES

Some libraries ask members of their board to sign and abide by a code of ethics. The following is a sample of a code that is used by many boards.

As a member of this board, I will:

Represent the interests of all people served by this library and not favor special interests.

Do nothing to violate the trust of those who elected or appointed me to the board or of those we serve.

Not use my service on this board for my own personal advantage or of my friends.

Abide by all rules and policies directed to the library director that are approved by a quorum of the board at a regular meeting. The chairman should also comply to this rule.

Keep confidential information confidential.

Not publicly criticize policies adopted by the board.

Not hold board meetings without the library director.

Observe publicity and information policies of the board and library and refer requests to the director.

Not accept complaints from the public or staff on library matters. These complaints are the director's responsibility. Continued dissatisfaction and problems should be taken up at the board meeting **ONLY** if policy revision is necessary or legal ramifications are involved.

Attend meetings regularly, or otherwise resign so that an active member can be appointed.

Signature:

Date:

*(1995 Connecticut Public Library
Trustee Handbook)*

RESOURCES

Moore, Mary Y. *The Successful Library Trustee Handbook*. Chicago: American Library Association, 2005. 102 pp.

Stoesz, Edgar. *Doing Good Better: How to Be an Effective Board Member of a Nonprofit Organization*. Good Books, 2001. 150 pp.

Stoesz, Edgar. *Common Sense for Board Members*. Good Books, 2001. 96 pp.

Young, Virginia G. *The Library Trustee: A Practical Guidebook*. Chicago: American Library Association, 1995. 256 pp.

WEBSITES

www.ala.org/alta

www.boardsource.org



MANAGING RELATIONSHIPS

The library family includes trustees, library director, library staff, Friends, and volunteers. In the best situations, all have a **clear understanding of their roles** and respect the **established guidelines** defining their relationships. However, **sorting out these responsibilities** is a challenge in many library settings, and lack of clarity can cause tension and frustration for all involved.

THE WHOLE IS GREATER THAN THE SUM

In planning, policy, and finances, the library board must function as a whole. Individual board members must not take policy action on their own. At the same time, trustees have individual roles as well—in public relations, beyond the base provided by the library, in legislation advocacy, in association participation, in political activity, in leadership, and always to articulate the library's unique role and value.

TRUSTEES AND DIRECTORS: THE ETHERAL DANCE

The board of trustees and the library director are both involved in library governance and policy development, financial management, and personnel administration. However, the type and level of involvement must be clearly differentiated in order to avoid conflict and for the library to operate professionally and effectively.

Trustees and the library director need to have a frank discussion and reach a clear understanding about their respective responsibilities at the time that a director is hired or the composition of the board changes.

PLACES, PLEASE

Library boards establish organizational policies and monitor the effectiveness of those policies. The library director manages the day-to-day functioning of the library. To put it another way, trustees should not be checking to see if the lights are on, re-arranging furniture, critiquing the job performance of a staff member, or in any other way intruding in areas of library operation that come under the auspices of the director.

GOVERNANCE AND POLICY MAKING

TRUSTEES

Engage in long range and short-term planning.

Determine the goals and objectives of the library and methods of evaluating progress.

Review goals and objectives annually and evaluate progress.

Relate the library and its programs to the community's needs, discovered through systematic study of the community and analysis of library service.

Use data from output measures in analysis.

Determine and adopt written policies to govern the operation, use and programs of the library.

Adopt bylaws for board procedures.

Seek cooperation with elected officials.

Attend all board committee meetings to which assigned.

Carry out all special assignments promptly.



DIRECTOR

Is actively involved in planning.

Provides assistance and direction to the board.

Is actively involved in planning.

Works with the board in setting goals and objectives and determining methods of evaluation.

Assists the board by knowing the needs of the community and how to respond to these needs through the library.

Participates fully in the community analysis process and in the continuing library survey.

Provides and explains output measures to board in order to analyze service.

Prepares regular reports on current progress and future needs.

Recommends needed policies to the board and supplies examples and sources of information.

Carries out policies, as adopted by the board.

Interprets policies to staff and public.

Provides the board with recommendations and materials for study.

Administers the library within the framework of the library's goals and objectives, policies and budget.

Prepares all needed library reports for the local unit of government, the system and the Office of Commonwealth Libraries; provides copies to the board and community, as required.

Attends all board and committee meetings, except those meetings or parts of meetings in which the librarian's salary and tenure are discussed.

FINANCIAL

TRUSTEES

Keep abreast of the financial status of the library and secure adequate funds.

Work with the librarian to formulate and adopt a budget to carry out the library's goals and objectives.

Present the budget to public officials and the general public; explain and defend it.

DIRECTOR

Supplies facts and figures to the board to aid in interpreting the library's financial status and need.

Prepares an annual budget in consultation with staff and board.

Keeps within the budget.

Works with the board in interpreting the library's budget and financial needs to public officials and the public.

BOTH THE BOARD AND THE LIBRARY DIRECTOR

Know local, state and national laws affecting libraries and play an active role in initiating and supporting beneficial library legislation.

Participate fully in the Pennsylvania library system and make use of the consultants of the District Library Centers and at the Office of Commonwealth Libraries.

Participate in the work of the District Advisory Council.

Attend District Library Center meetings and regional, state and national library meetings and workshops, when possible.

Join appropriate organizations working to improve libraries.

PLANNING AND EVALUATION

TRUSTEES

- Establish a planning process.
- Conduct community needs assessment.
- Determine goals and objectives of the library.
- Determine priorities and responses.
- Evaluate the plan, goals, and objectives regularly.

DIRECTOR

- Helps develop planning process.
- Helps conduct community assessment.
- Supports development of goals and objectives.
- Helps identify services responses.
- Administers the library in support of planning objectives.

IT'S A TWO WAY STREET

Library directors also bear responsibility for forging productive interactions with their boards. Successful directors are likely to:

- Assume that the relationship will be positive.
- Extend respect and consideration to all members.
- Avoid surprises—directors should be the first to tell the board about bad news (or good news!)
- Make sure that the board always has the information it needs to conduct business and make decisions.
- Deal with problems expeditiously.
- Generate visibility for the library and the board in the community.
- Develop agendas that foster board attendance and participation.
- Educate the board about the professional skills of librarians.
- Educate the board about pay issues for librarians.
- Educate the board about critical issues challenging libraries.
- Guide the board toward thinking about the future of the library.

FRIENDS OF THE LIBRARY

TRUSTEES ARE CERTAINLY FRIENDS, BUT NOT ALL FRIENDS ARE TRUSTEES

“Friends” have been called the “caring core” of the library community. They are the citizens who recognize that a good library is central to a good community. Friends groups work with the trustees and the librarians in planning activities, but are not involved, except as interested citizens, in the governance of the library.

At the root of almost all problems that have occurred between Friends groups and trustees and library staff has been a failure to clearly define what the purpose of the Friends should be, how their activities will be funded, and how they will interact with the staff and the board.

FRIENDS:

- Raise library funds.
- Promote library awareness.
- Help expand and improve library service.
- Run special fund drives.

FRIENDS SHOULD:

- Be organized separate from the library board.
- Have their own bylaws, officers and organization.

FRIENDS OFTEN:

- Serve as a training ground for future trustees.
- Have a liaison to the library board.
- Build public support for expanding the library’s program, and fundraising.
- Encourage gifts, endowments and memorials.
- Provide assistance in purchasing special items for the library, such as furniture, special collections, photographs or local art.
- Work for library legislation and appropriations.
- Inform the community of library programs and needs.
- Campaign for new facilities.
- Sponsor special programs such as book sales and art shows.
- Aid the library’s public relations program in promoting library awareness.
- Volunteer to assist in the library.

VOLUNTEERS

A NOTE ON LIBRARY VOLUNTEERS:

From shelving to storytelling to creating exhibits and updating files, volunteers play a vital role in the life of libraries. As talented, skilled, reliable, and dedicated as they may be, volunteers NEVER supplant or replace established staff positions. To clarify the role of volunteers, the board should have written policies and provide regular orientation and training.

MANAGING VOLUNTEERS

Successful volunteer programs are organized with support elements in place, including:

An individual designated to coordinate the program.

An office or other location with desk and telephone.

Procedures for screening and training volunteers.

A list of jobs for volunteers to do.

A policy manual.

A recognition program.

Funds for out-of-pocket expenses.

“An organization’s real power and energy is generated through relationships.”

–Margaret Whealty

RESOURCES

Diggers, Preston and Eileen Dumas. *Managing Library Volunteers: A Practical Toolkit*. Chicago: American Library Association, 2002.

Dolnick, Sandy. *The Essential Friends of Libraries Fast Facts, Forms and Tips*. Chicago: American Library Association, 2004.

Dolnick, Sandy. *Friends of Libraries Sourcebook*. Chicago: American Library Association, 3rd edition, 1996.

Manley, Will. *For Library Directors Only: Talking about Trustees. For Library Trustees Only: Living with your Director. 2 Books in 1*. McFarland & Company, 1993.

Sirkin, Arlene Farber and Michael P. McDermott. *Keeping Members: CEO Strategies for 21st Century Success: The Myths and Realities*. American Association of Association Executives, 1995. 126p.

WEBSITES

www.folusa.com



BOARD DEVELOPMENT

Our world, country and communities are continually growing and evolving. The changing and increasing expectations of library customers require that the library and the board keep up with and anticipate their needs. The only way to do this is through continuing education.

IT IS CRUCIAL THAT BOARDS:

- Understand how their library functions
- Be current in library issues
- Focus on customer needs
- Anticipate the future
- Examine and evaluate themselves

This means keeping abreast of library professional literature, training to develop board skills, and monitoring board effectiveness.

Every Trustee should update by adding new and discarding old documents from this notebook.

INFORMATION PACKETS

The following information should be provided in a three-ring binder clearly labeled and tabbed:

Description of the role of a board member

List of board members, with their contact information and terms of office

Set of board bylaws

List and description of board committees

Library's vision and mission statement

Current strategic plan

Recent library user survey or study

All current policies and procedures

Current budget and audit report

Board minutes of the last year

Annual reports from the last five years

Organizational chart

Staff list, with titles and responsibilities

Copy of state's library laws and ethics guidelines

Copy of the open public meeting act

Copy of applicable privacy laws

Copy of the state's library trustee manual

ALA Library Bill of Rights

Description of library's services, programs and hours

Any publications or brochures about the library

TRAINING AND CONTINUING EDUCATION

ORIENTATION

New trustees benefit from a comprehensive orientation, jointly organized and conducted by the board president and the library director, on how the board and library work. The director generally contacts new trustees and sets up appointments for orientations.

The orientation should also include:

A tour of the library.

An opportunity to meet staff.

A presentation discussing how the library is administered.

A discussion of the library's relationship with local government.

A discussion of the library's outreach in the community.

A discussion of the library's interaction with the public schools.

The director's vision for the future.

Trustees are encouraged to join the **Pennsylvania Library Association** and enthusiastically participate in the **Trustee Division**. District library meetings, regional workshops, the annual Trustee Institute, state conferences and chapter meetings of the Pennsylvania Library Association (PaLA) are opportunities to hear **new ideas** and discuss **topics of interest** with other trustees and library professionals. Trustees should bring back and share reports and handouts.

Board agendas should also include time to discuss **issues and trends in library service**.

ORGANIZATIONS WITH INFORMATION

Contact information for state and national organizations actively engaged in providing education and advocacy on trustee topics follows:

Pennsylvania Library Association
220 Cumberland Parkway, Suite 10
Mechanicsburg, PA 17055
Phone: 717-766-7663
800-622-3308 (PA only)
Fax: 717-766-5440
Web: www.palibraries.org

Pennsylvania Citizens for Better Libraries
P.O. Box 752
Camp Hill, PA 17001
Phone: 800-870-3858
Email: pcbl20002@yahoo.com
Web: www.pcblpa.org

American Library Association
American Library Trustee Association Division (ALTA)
50 East Huron St.
Chicago, IL 60611
Phone: 800-545-2433, ext. 2161
Web: www.ala.org/ala/alta/alta.htm

THE BEST BOARDS ALSO EDUCATE THEMSELVES

An effective board provides an ongoing process for learning:

Time on the agenda for a review of programs and services offered by the library.

Time on the agenda for brainstorming and exploring the backgrounds and talents of the board members (and staff).

Discussion of current state and national professional literature, as well as information and reports provided by the district library center and the Office of Commonwealth Libraries.

Visits to other libraries in and out of the state and attendance at board meetings of other libraries. (Visits and reverse-visits are especially helpful when evaluating potential new services and in planning.)

Membership in the Pennsylvania Library Association.

Attendance at district, state (such as PaLA's annual conference) and national workshops and seminars (such as the annual Trustee Institute), and other professional meetings. These conferences provide opportunities to talk to other trustees, to keep up with the library activities in Pennsylvania and to discuss mutual and developing problems. And if the subject matter isn't right or useful, trustees should plan their own workshops!

Participation in District Advisory Council meetings to learn of statewide activities and to help direct the cause of district library services for member libraries.

SELF EVALUATION

HOW WELL IS YOUR BOARD ACHIEVING ITS PURPOSES?

Self-evaluation is hard, but necessary if the board is going to be responsible to the community it serves. **Annual self-assessment** helps in **achieving strategic goals** and **evaluating priorities**. It also prevents so-called “sick” boards—those that have lost sight of their proper governing role as **stewards of the library** and are mired in the politics of personality and self-interest.

There are a number of relatively short and simple instruments available to boards from the world of non-profit organizations. Questions or indicators should address board members’ **perceptions of their own performance** in regards to **strategic goals, board dynamics,** and **communication** within the board and with the director. The library director may also participate in the evaluation.

GIVE YOUR LIBRARY BOARD THE TOTAL QUALITY CONTROL TEST

Does your board...

Make a difference in your community?

Support the delivery of quality library services?

Have visionary capable leadership?

Recommend qualified individuals to elected officials who make board appointments?

Have members who are willing to advocate for the library on funding and other critical issues?

Support equitable pay and benefits for library staff?

Provide a quality orientation experience for new board members?

Foster teamwork?

Have a long-range plan?

Provide a solid infrastructure for the delivery of library services?

Operate the library in a financially sound manner?

Forge successful collaborations with other community organizations?

Garner respect?

Value diversity and reflect the community it represents?



TRENDS DRIVING CHANGE

Many **societal and professional issues** affect public libraries. Trustees can track trends by noting key topics in national and local media and library professional publications; changes in local **demographics and economics**; and **“hot topics”** at trustee and library workshops.

A number of key trends are already having an impact on libraries in Pennsylvania.

CULTURAL DIVERSITY

Census data confirm that many communities throughout the United States are experiencing **increases in ethnic populations**, and many Pennsylvania counties have also witnessed these dramatic changes. Housing, education and job training are challenges for many people who cling to their own language, culture and religious traditions. These barriers also impede library use.

The Library’s Response

Libraries that identify groups whose numbers have increased can respond by providing **foreign language materials, English language learning materials**, and programs and services developed in **partnership with ethnic social service and religious agencies**.

ASK YOURSELF

What ethnic populations are growing in your library’s service area?

What are the challenges your library faces in serving these populations?

READING ADVERSITY

Reading continues to decline in America. A 2004 study by the National Endowment for the Arts reported that the **number of non-reading adults increased** by more than 17 million between 1992 and 2002. The study cited the “likely culprits” as **television, movies, and the Internet**.

The Book Industry Study Group reported in May 2005 that the number of books sold dropped by nearly 44 million between 2003 and 2004. Meanwhile, the Kaiser Family Foundation found that **children** ages 8 to 18 devoted an average **six and a half hours a day to recreational media**, such as television, Internet and video games, and **only 45 minutes to reading**.

Reflecting this trend is a decline in library book circulation and an increase in checkouts of audio and video products.

The Library’s Response

Libraries are responding with increased efforts to **market and promote reading** to children, teens, and families. Merchandising of reading materials through **bookstore-like displays, book clubs and discussion groups** for all ages, summer and seasonal **reading programs** with prizes, and **partnerships** with schools and literacy organizations are popular. Many studies note that the early family environment determines lifelong reading habits, and **family-oriented reading promotions** are focused ways to combat this trend.

For More Information

Kaiser Family Foundation:
www.kff.org/entmedia/index.cfm

ASK YOURSELF

How is your library promoting reading to children and families?

What community partnerships can be formed to help promote reading?

EARLY LEARNING AND LITERACY

Recent research in brain development has changed the way we think about our very youngest. By age three a child's brain has grown to 80% of its adult size. **Children begin the path to reading at birth.** Activities that promote **talking, reading, and writing** provide children the chance to learn and practice skills that will lead to later success in school. These experiences are **social in nature** and need the **interaction of a caring adult** and the use of **books** and other literacy materials such as **pens and paper**. It is important for libraries to reach out to **parents and caregivers**, as they are the ones who spend the most time with preschoolers.

Librarians must do more than read stories to children, they must make adults aware of the important building blocks of reading. They must reach those families most at risk in their community. The library staff needs to be in contact with the early childhood community—**Head Start, child care and similar organizations**. They must spread the word to build awareness of the library's role in the early literacy development of young children. As a Trustee, you must understand this important role as well.

The Pennsylvania Library Association's Public Relations Committee has developed a marketing program entitled: **"Pennsylvania Libraries: Learning Starts Here."** Each April the Committee presents a daylong forum that showcases **library programs for young children** through Best Practice Awards. Nationally known **authors and speakers** discuss **early childhood and early literacy topics**. For more information go to: www.palibraries.org. The Office of Commonwealth Libraries has numerous resources on their website (www.statelibrary.state.pa.us) to help libraries better serve young children and their parents and caretakers.

ASK YOURSELF

Does your library offer programs for children aged birth to three?

Does your staff take advantage of professional development/continuing education opportunities offered by Commonwealth Libraries?

Do the public and local elected officials know and understand the important role your library plays in early childhood education?

Does your library have an up-to-date collection of board and picture books?

Is there an early childhood area in your children's area with puzzles, dramatic play materials, and manipulatives?

INFORMATION LITERACY/ ILLITERACY

Despite the increasing use of the Internet, users are challenged to find accurate and timely information for their needs. Worldwide, **information overload** from print and online sources is acknowledged as a **serious problem** for students, workers, and the general public. The World Wide Web is increasingly complex, commercial, and subject to great variations in the **quality and accuracy of information**.

People who are “**information literate**” are good at “**knowing** when they have a need for information, **identifying** information needed to address a given problem or issue, finding needed information, **evaluating** the information, organizing the information, [and] **using** the information effectively to address the problem or issue at hand” (American Library Association).

Unfortunately, many people, especially youth, think that the Internet contains all the information they need, although they **lack the skills to search and critique its contents** on their own.

The Library’s Response

The inability to evaluate and use information with discrimination is a challenge that demands a library response. While reference question statistics are decreasing in many libraries, librarians can take the role of “**Internet search assistant**” and also provide reference assistance via online methods such as **email and instant messaging**. Many libraries are now offering basic **Internet instruction classes** to help the public understand that libraries have electronic resources that enhance the information generally available on the Internet.

ASK YOURSELF

How is your library addressing information literacy?

How can library staff improve patrons’ use of the Internet?

LIFELONG LEARNING

Over the past twenty-five years, educators have increasingly adopted the outlook that learning does not begin or end with formal education, but is something that occurs at **all stages of life**. From preschooler to senior citizen, “lifelong learning” means **enrolling in courses** at any age and at a variety of institutions; **self-education** through reading; learning a **new craft or hobby**; retooling to **evolve professionally**; or other similar activities.

ASK YOURSELF

Does your library provide programs for children, teens and adults?

What gaps exist in community educational and informational programming that the library can fill?

Are there partners that can assist with program development?

How can the library offer lifelong learning opportunities for educational and cultural enrichment that will enhance your local community?

The Library’s Response

Libraries are particularly well suited to providing lifelong learning opportunities to citizens of all ages by **filling gaps** in community educational opportunities and by offering open access to a variety of **no or low cost collections, lectures, and programs**.

The Library Services and Construction Act *Five Year Plan* of the Office of Commonwealth Libraries emphasizes libraries’ important role in lifelong learning and encourages libraries to apply for **grants** with the concept in mind.

For More Information

The Office of Commonwealth Libraries *LSTA Five Year Plan* can be accessed by going to www.statelibrary.state.pa.us. Choose “Services and Information for Pennsylvania Libraries” from the left menu. Go to “Funding, Programs and Grants,” then to “Library Services and Technology Act (LSTA),” and then to “LSTA Five Year Plan”.

MEDIA IN LIBRARY COLLECTIONS

Library use statistics reflect the general decline in reading habits. Many libraries report decreases in checkouts of book collections while **media use is increasing**. At the same time, the **formats of media continue to change**, requiring libraries, like their retail video rental counterparts, to adapt.

DVDs are now replacing videotapes, and some major film distributors only provide releases in DVD.

Audio books are moving away from recordings on cassette to **compact disc** and, more recently, the **MP3 format** that can be stored on a computer or **portable listening device**.

Likewise, **music is found primarily in compact disc, DVD and MP3 formats**, with cassette sales in serious decline. Many people download MP3 and other audio and visual digital files via the Internet and then can **watch movies and listen to music and audio books on computers and portable devices**.

The Library's Response

Libraries must continue to **track collection use** and respond with media selections appropriate to their **community's use patterns and needs**.

In addition, **downloading of digital files from library computers should be monitored**, as the length of time needed to download audio and visual files can tax the library's system, and copyright laws may be breached.

ASK YOURSELF

How are your library collections reflecting your community's use of media?

Are library staff and trustees aware of the latest developments in audio-visual media?

TECHNOLOGY IN LIBRARIES

CHANGE IS A CONSTANT

The technology scene continues to change rapidly for public libraries. Newer and better copiers, computers, printers, connectivity, and other tools demand more and more of the library's budget. Long term strategic and financial plans should address the need to replace computers and other technology in a timely fashion, as vendors often will no longer service or support outdated hardware and software.

As they become more savvy about new technologies, patrons expect and demand that libraries keep pace. In addition, patrons who lack Internet access or technology at home and work look to the library to fill that gap. Following are some of the new popular technologies libraries employ.

SELF CHECKOUT MACHINES

With self-checkout machines now found in supermarkets and discount stores, this retail relative of the bank ATM has been available for libraries for over a decade. Library units **allow patrons to check out materials** without the assistance of a library staff person. The check-out unit also desensitizes security devices on the library materials.

Because the machines are **expensive** (around \$30,000) and must integrate with the library's existing automation and security systems, they **have not been put to widespread use** in Pennsylvania.

Although originally promoted as a way to cut staff, the machines in reality offer a valued **customer service option** to people who are in a hurry, have simple transactions, or prefer the privacy of self-checkout. They also **free librarians** to provide **personalized assistance** to customers in other ways.

ASK YOURSELF

Does your budget and strategic plan include short and long-term plans for funding technology?

What new technologies would best suit the needs of your library's community?

TECHNOLOGY IN LIBRARIES

RFID

RFID stands for **Radio Frequency Identification** and employs a tag with a microchip for library **circulation and inventory**. The RFID can be put on library materials **instead of a barcode**, enabling entire piles of materials to be checked in or out with one wave of a radio device that captures the data.

Although there are **privacy issues** that concern libraries, the book tags can be programmed to have only a minimal amount of data which does not tie back to the borrower until the library's automation is engaged. Although still a **relatively expensive** technology, it is much **faster and flexible** than barcode technology.

Large libraries such as Seattle Public Library are using RFID, (along with large retailers such as Walmart!).

For More Information

www.rfidjournal.com

WI-FI

“Hot Spots” or “Wi-Fi” (short for **wireless fidelity**) networks are springing up in coffeehouses, and parks around the world so that patrons can **use the Internet** (if their laptop, cell phone, etc. has such service) **without physically plugging in**. Wireless connectivity can be used in libraries to **network computers** as well as to provide **wireless connectivity to the Internet**.

Security concerns are an issue for libraries, but that has not stopped some from creating “Hot Spots” in their buildings.

For More Information

www.wi-fiplanet.com/ion

www.vicomsoft.com/knowledge/reference/wireless1.html

SENIOR CITIZENS

Pennsylvania's senior population is the **second highest in the nation!** Seniors' needs are more varied than past generations because of longer life spans, extended career paths, and improved health. Popular library services for seniors include **large print materials, homebound delivery, AARP tax classes**, programs about **retirement** and other topics, and activities such as Socrates' Café.

Partnerships and outreach with local senior centers and other similar groups are important links for libraries. The Office of Commonwealth Libraries' **Task Force for Older Adults** addresses statewide needs for this target group.

ASK YOURSELF

How many seniors are in the library's service area?

What services does your library now provide that are of special interest to seniors?

What additional services can be provided to seniors?

COMMUNITY PARTNERSHIP AND COLLABORATIONS

Libraries will always be subject to **funding pressures**, whether due to the instability of government funding or donor unpredictability. An important strategy for stretching dollars is to **establish partnerships and collaborations** with other community and government agencies. **Many grant applications today require partnerships** for projects and funding. Partnerships gain **visibility and credibility** for the library with other key players in the community.

Some examples of library partnerships include: **health agencies** and libraries partnering to provide consumer health information; **Head Start and early childhood programs** developing storytimes and family programs with libraries; and **local service organizations** providing volunteers for tutoring or homework help sessions at the library.

ASK YOURSELF

Does your library make an effort to regularly communicate with current or potential service partners?

Which groups are the most influential in your community?

PRIVACY AND THE PATRIOT ACT

The Patriot Act allows law enforcement and government officials investigating terrorism to have **access to library patron records**. However, there has been great concern over **alleged or suspected abuse of the act** and its conflict with Pennsylvania and other states' laws protecting **library patron privacy**. If a request for a patron's borrowing record is made under the auspices of the Patriot Act, the librarian **must keep silent** about such a request but **may seek assistance** from an attorney about the request. As of this writing, Congress is considering an **amendment** to the Patriot Act to protect book buyers and library patrons' accounts.

For More Information

www.aclu.org and www.ala.org under "Issues and Advocacy"

ASK YOURSELF

Has law enforcement requested patron records from your library?

Do you have policies and procedures in place for such requests?

OTHER SOCIETAL AND BUSINESS TRENDS

These trends are addressed frequently in mass media and business publications, and should be considered by public libraries as they plan their services:

Customer service expectations are high in today's world. There is a demand for fast, friendly and competent service. Many libraries are conducting customer service training to establish basic customer service behaviors or trying innovative approaches such as drive-up circulation windows, self-checkout machines, and online services. Increasingly, personalization and customization are expected. At the same time, library patrons appreciate services such as automated systems that allow them to maintain reading lists or receive emails of recommended titles.

Globalization and outsourcing are affecting local economies and the way libraries do business. It is possible to outsource the entire operation of a library, or just parts of the work, such as cataloging, processing or online homework help. Sometimes outsourcing can save the library money, but there are hidden costs to consider in addition to workflow and customer service issues.

Political and religious conservatism is more visible and forceful and can sometimes work counter to the library's mission to uphold free speech. Librarians report increased instances of attempted censorship, public meeting room use restrictions, and filtering legislation.

ASK YOURSELF

What kind of customer service training is provided to library staff?

Are there any opportunities to save money by outsourcing or partnering on library tasks such as cataloging, processing, or virtual reference?

How conservative is your community?

KEEPING INFORMED

These are just some of the trends affecting public libraries. Library staff should be your starting source for information on these developments, as professional librarians have an obligation to keep current with library literature. A particularly time-saving and reliable source is *Library Hotline*, a weekly newsletter produced by the publishers of *Library Journal*. *Library Hotline* provides short summaries of key library news and developments.

An email version of parts of *Library Hotline* may be received by enrolling at:
www.libraryjournal.com/index.asp?layout=eletters/.

FOR MORE INFORMATION

Additional information about “Issues and Advocacy” is available on the website of the American Library Association:
www.ala.org

RESOURCES

Crowther, Janet L. and Barry Trott. *Partnering with Purpose: A guide to Strategic Partnership Development for Libraries and Other Organizations*. Westport, CT: Libraries Unlimited, 2004. 142 pp.

OCLC Online Computer Library Center. *The 2003 OCLC Environmental Scan: Pattern Recognition*. Dublin, OH, 2004. 148pp.

Popcorn, Faith. *Clicking*. New York: Harper Business, 1997. 453 pp. Paperback.

Underhill, Paco. *Why We Buy: The Science of Shopping*. NY: Touchstone, 1999. 255 pp.

Woodward, Joanne. *Creating the Customer-Driven Library: Building on the Bookstore Model*. Chicago: American Library Association, 2004.



POLICY-MAKING

THE IMPORTANCE OF POLICIES

Well-crafted policies that are in compliance with local, state, and federal laws are vital to the efficient functioning of libraries.

Policies:

- Provide a **framework** that supports the mission, philosophy and vision of the library.
- Support **decision making** and strategic **planning**.
- **Guide the staff** in performing their duties and delivery of services.
- Establish what **services** the library will provide and how they will be provided.
- Help libraries **avoid conflicts and arguments**.
- Ensure that all customers are treated **fairly and equitably**.

“The three most important documents a free society gives are a birth certificate, a passport, and a library card.”

—*E.L. Doctorow*

A POLICY FOR EVERYTHING

The number of policies that libraries need continues to grow in response to increasingly complex political and social problems in our nation and in our communities.

Today, libraries need policies for:

Mission statement

Collection development

Intellectual freedom

Customer service

Internet access

Unaccompanied children

Patron behavior

Facilities use and access

Circulation

Library management

Finance

Community relations

Gifts and donations

Use of professional services



MAKING AND FOLLOWING POLICIES

Because the climate in which libraries operate is constantly changing, library boards must dedicate adequate time to **reviewing** existing policies and **implementing** new ones.

The **director and staff assist** the board in policy development by **researching** the issues that pertain to specific policies, providing **good examples of policies** that have been successfully used by other libraries, and **consulting** with the board to see that the policies they write will satisfy legal requirements. The director and staff also participate in policy development by instituting **procedures for day-to-day library operations** that make it possible to conform to the policies.

Every library should have a policy manual that is **open to the public**. Copies of all policies should be included in the orientation package for all newly appointed trustees. Staff should also be **familiar with policies** and **trained** in their appropriate application.

UNIONS IN LIBRARIES

A growing number of library staffs are becoming unionized. This means that there is a collective bargaining agreement in place that specifies issues related to working conditions, hours, grievance procedures, etc. If a library is unionized, non-represented employees will need to have a separate policy explaining the terms of the collective bargaining agreement and how they must conform to it.

A NOTE ABOUT PERSONNEL POLICIES

In all likelihood, a library's personnel policy will receive **more use** than any other library policy. Every library must have a personnel policy that is **constantly updated** so that it adheres to applicable labor laws. Employees should have **access** to the personnel policy. A comprehensive personnel policy will include:

- Job descriptions
- Library mission statement
- Organizational chart
- Performance standards
- Salary schedules for every job classification
- Information pertaining to employee recruitment, selection and hiring
- Policies for EEO, drug and alcohol free workplace, sexual harassment
- Work hours, vacation, sick leave, maternity leave, bereavement leave, jury duty, overtime
- Process for performance reviews and employee evaluation
- Employee transfers and promotion
- Employee benefits
- Grievance process
- Disciplinary action
- Reimbursements

POLICIES THAT GENERATE PUBLIC DEBATE

INTELLECTUAL FREEDOM AND LIBRARY TRUSTEES

Intellectual Freedom is the concept of **access** to many kinds of **thoughts, ideas and information**. Because the people who use libraries have **differing worldviews**, it is inevitable that some individuals may not be comfortable with or approve of all of the materials in a library collection. This difference of opinion often results in **demands to remove** certain books, magazines or other materials from the library collection. Instances of attempts to **cancel** books have risen steadily recently, forcing libraries to review and defend their **book selection policies**.

Libraries are the traditional **custodians** of history and intellectual expressions of men and women, **both popular and unpopular**. Because they believe that it is imperative to **safeguard access** to the widest possible variety of resources, libraries usually adopt and rely on the **Library Bill of Rights** and the **Freedom to Read Statement** from the American Library Association. 

CONFIDENTIALITY OF LIBRARY CIRCULATION RECORDS

Librarians are also committed to the idea that citizens who use their libraries are entitled to **privacy**. Information on the materials a library patron chooses to use is private. Section 428 of the Library Code **prohibits the release of records** relating to the circulation of library materials, except by a **court order** in a criminal proceeding.

WHAT'S IN AND WHAT'S OUT

Despite their vigilance and determination, librarians are frequently called upon to defend their judgments regarding what should or shouldn't be in a library collection. The result is that libraries need a simple method of dealing with any selection challenges. This procedure generally includes the following recommended steps:

A policy that requires a patron to request reconsideration in writing.

Discussion by the librarian with the patron to explain the library's selection policy.

If necessary, a discussion with the board to support the director's decision.

Assistance in handling any censorship attempts can be obtained from the district library centers, the Pennsylvania Library Association Intellectual Freedom Committee or the Intellectual Freedom Office at the American Library Association.

However, the passage of the **Patriot Act** in 2001, gave the FBI investigative and surveillance powers that extend to **library operations**. The result is that librarians are confronted with the reality that they **can be required** to produce library records, information regarding Internet use and other information that has traditionally been considered **confidential**. 

RESOURCES

Baughman, James C. *Policy Making for Public Library Trustees*. Westport, CT, Libraries Unlimited, 1993.

Bielefield, Arlene and Lawrence Cheeseman. *Trustees, Friends and the Law*. New York: Neal Schulman, 2005. 150pp.

Minow, Mary and Tomas A. Lipinski. *The Library's Legal Answer Book* Chicago: American Library Association, 2003, 361 pp.

Intellectual Freedom Manual, 6th ed. Chicago: Office of Intellectual Freedom, American Library Association. 2002.

Pennsylvania Library Association's Intellectual Freedom Handbook.

WEBSITES

www.ala.org/alta

www.boardsource.org



HIRING A LIBRARY DIRECTOR

There is **no single more important task** for a board than hiring the director of the library. Selecting the right person for the job will affect **your own work, the well-being of the library, its staff, and the community** the library serves for years to come.

IT IS CRUCIAL THAT CANDIDATES BE:

- Well-qualified
- Professionally educated
- Appropriately trained and experienced

IT IS CRUCIAL THAT THE BOARD BE:

- Prepared
- Conscientious
- Thorough
- Realistic

This means the recruiting and hiring process will take **two to six months**. It is time well spent. It is better to wait and **carefully select** the right person, than to hurry and make an incorrect choice.

Don't delay in finding a new director, even if the current one is retiring and giving lots of notice. A library staff **without leadership** can **break down**, and **morale can deteriorate** quickly. If necessary, give strong consideration to hiring an **interim director** until a permanent one is hired.

THE ROLE OF THE BOARD

Depending on the size of the library organization and type of library board, the process of hiring a director will be different.

In some places, the board acts in an **advisory capacity**, and though it has influence in personnel matters, it will not plan the hiring process. In other places, a governing board will be **involved in every step** and, in small libraries in particular, **manage the entire matter**. In larger libraries or library systems, a **human resources department** will act as a **guide, full partner** or even **lead** the course of action.

Some libraries have the funds to hire a **consulting firm** to manage the **advertising and recruiting** of the applicant pool, with the board conducting the **final interviews** and ultimately **selecting the candidates**. Regardless of type of board or size of library, members of the board **need to be familiar with the complete process**.

THE PROCESS

ESTABLISH YOUR LIBRARY'S FUTURE NEEDS

These are the questions that help shape a board's vision of the style, skills, and leadership they will look for in a new director:

What will be happening in your community in the next 2–5 years that will affect library services?

What economic or social changes are in store?

What is happening in the school system?

Are there changes in numbers and characteristics of the population you serve?

Are there internal financial and personnel issues in the library that need consideration?

Are you going to need to expand or change your present space or perhaps build a new library?

What is affecting the world of your customers and how will you make that part of your library's services?

DESCRIBE YOUR IDEAL CANDIDATE

Based on your library's and community's unique resources and needs, determine the **relevant experience** and type of **leadership** you want in a director. Conduct a **brainstorming session** to share thoughts about the ideal director and involve members of the **library staff**. What is it you as a board and they as employees need?

- A skilled personnel manager?
- A strong leader in issues of diversity?
- A financial wizard?
- Someone with library construction experience?
- An expert in public relations?
- An experienced administrator?
- A savvy technology expert?
- A forward thinking visionary?
- What else?

Keep in mind that in brainstorming there are no bad or unacceptable ideas. Get everything up on flipcharts. Then start narrowing down your requirements to what is essential. Decide on the major qualifications your library needs. This will also help you formulate the interview questions.

SALARY

Did you create a **long list** of skills, abilities and necessary experience? The board may need to **seek assistance** from outside its own organization to determine if the **list matches the offered salary**.

Ask other libraries similar in staff size, collections and services to **share their salary guidelines**. Reach out to your statewide **professional librarians' organization** for their assistance. Your **reference librarian** can also research and provide **salary studies** and local **cost of living** figures.

If you cannot provide a **wage and benefit package** that is **commensurate** with the **experience** you want, you will need to **adjust the job requirements**.

NOTE REGARDING PROFESSIONAL CERTIFICATION REQUIREMENTS IN PENNSYLVANIA:

For libraries that receive incentive aid, the certification requirements for a head librarian are determined by the size of the population served by the library. These requirements should be reflected in the ad for a library director.

POPULATION CERTIFICATION LEVEL

0 – 4,999	System Certified
5,000 – 14,999	Library Assistant
15,000 – 19,999	Provisional Librarian
20,000 and Over	Professional Librarian

Note: The certification levels are not a requirement for libraries that receive quality aid only.

JOB PROFILE

Putting together a well defined, clearly written job profile with reasonable expectations will help in:

- Writing a formal job description.
- Developing a short, effective job advertisement.
- Creating criteria for evaluating applicants.
- Formulating interview questions.
- Evaluating candidates.

CREATE A REALISTIC RECRUITMENT ADVERTISEMENT

TAKE A LESSON FROM A BAD ADVERTISEMENT

WANTED: Library Director, ALA-accredited MLS, 12 years progressive experience in public libraries, with 5 years experience in administration. Willing to work evenings and weekends. Supervise staff of 12. Requirements: skilled in public relations and public speaking; experienced in implementing an integrated library system; mastery of Microsoft Office applications a must; experienced in reference and children's work. Desirable: Library building construction experience; bilingual in Spanish and English. Community of 35,000 people. Salary negotiable up to \$35,900.

Wow! Boards often want it all, but for a wage more suited to a new college graduate with only a B.A. and no experience. You may think that no board would place such an ad, but similar or worse are a common occurrence.

A MORE REALISTIC AD

WANTED: Director for a medium-sized public library in a growing, diverse town of 35,000. ALA-accredited MLS. Five years library experience with at least 2 years in a supervisory capacity. Library open 64 hours a week seeks leadership for library expansion project. Budget: \$750,000. Staff: 4 professionals, 8 support staff. Salary: Range \$48,000 – \$55,000. Excellent benefits.

POINTS TO KEEP IN MIND IN YOUR ADVERTISING:

Describe the library, its budget, and hours accurately.

Offer a realistic salary that is a living wage.

Ask only for relevant experience.

Provide name, position, address, email address, phone and fax number of the person accepting applications.

Give instructions for submitting resumé, cover letter (snail mail, email attachments, fax), and references.

PLACES TO POST THE ADVERTISEMENT:

Your library's website

Library listservs

Newspapers

In the American Library Association's "Employment Opportunities" (Both on their webpage and in their print media.)

PaLA website

Library Hotline

Library Journal

HIRING PLAN AND TIMELINE

It's a good idea to **organize** what needs to be done and thoughtfully **delegate responsibilities**. Be realistic about the **time commitment** necessary, and create a **timeline** for completion of the entire process.

SEARCH COMMITTEE

After the board has decided the library's future needs, developed a profile of the library director and written a realistic job advertisement, it is time to appoint a **search committee**. The search committee **reviews applications** and **narrows the list** to candidates the board will wish to **interview**.

In **addition to members of the board**, the search committee can be composed of:

- Representatives from the library staff
- Members of the public
- Friends of the Library
- Local government representatives
- Members of local community organizations

Increase the prospect of success by considering all stakeholders' concerns. The staff will be working with the new director every day. Change is always stressful, and the more you **communicate with and involve the staff**, the easier and more successful will be the transition. **Including representatives** of all concerned groups also **builds communication, collaboration and partnerships**—all of which are positive for the library. A well-conducted search can **engage the community** and **build commitment** to the success of the library.

SCREENING AND EVALUATING APPLICANTS

Applications for the job must be kept **confidential**; this can be accomplished by designating **one person** to receive them. In larger organizations, the **human resources department** would manage this; otherwise, a member of the staff or board must be chosen. Because it will take **two to six weeks** for resumes to arrive, be sure you have set a **reasonable deadline** for their submission. Internal candidates must receive **equal consideration**.

SCREENING STEPS

- Receive applications.
- Give copies to the search committee.
- After deadline, review for qualifications.
- Determine which candidates should be interviewed.
- Set up dates and time for interviewing.
- Invite candidates to be interviewed.
- Send them the formal job description as well as additional information, i.e. strategic plan, library budget, library pamphlets and brochures.

THE INTERVIEWING PROCESS

- Plan to pay travel expenses for those selected for interviews.
- Give the same interview to all candidates.
- There should be a common set of questions and the same rating system used each time.
- Be sure all board members understand the rating system.
- Consult with your attorney or human resources office on what you can and cannot legally ask in an employment interview.
- The interview needs to be based on the job description.
- The interview should be no longer than an hour to an hour and a half.
- Ask candidates to describe specific examples in their responses.
- Pose some “what if” questions and ask them how they would handle certain situations.
- Ask open questions—those that cannot be answered with a yes or no.
- Carefully observe behavior and nonverbal reactions.
- Give time to candidates to ask questions of the board.
- Be prepared to give honest, forthright answers and describe any problems.
- Be honest about issues, but try not to dwell on the negative.
- Never “grill” a candidate.
- Avoid airing the library’s “dirty laundry”.

Note: It is important that the same members of the board interview all applicants so that reasonable comparisons can be made of the candidates.

AFTER THE INTERVIEW

After the interview, be sure **immediately to share everyone’s ratings and impressions**. This is an important step. A free and open discussion will **clear up any misunderstandings** and **clarify thinking**.

Narrow the field to two or three candidates and invite each back for a **follow-up interview**. Add a **tour** of the library and **introduce them to staff** as you walk through.

REFERENCES

Even though it has become increasingly difficult, it is important to check references. The reference check should be conducted by one of the members of the selection committee. This provides an opportunity to validate the information provided by the applicant.

If the individual has served as a director at another library, questions that are raised should focus on the quality of relationship the candidate had with the board, the staff and the community.

It is also important to determine if the candidate has strengths in specific areas that are important to the future success of your library—i.e. community outreach, services to ethnic populations, building construction, or strategic planning.

Results of the reference checks should be shared with all members of the selection committee.

HIRING AND EVALUATING THE DIRECTOR

MAKING THE OFFER

Once a candidate has been selected for a job offer, the **board president** usually conducts the **final negotiations** and **terms of employment**. The initial offer can be presented by phone, but the **final offer** must be sent to the candidate **in writing**. It is customary to give a few days for a response. The successful candidate may **accept by phone**, but should also **acknowledge the job offer in writing**. Check with the board's attorney to determine what **formal contract** or **agreement** is necessary.

Unsuccessful candidates must be informed immediately. Failure of the board to take this step is extremely unprofessional. The library world is small; this lapse in courtesy may keep qualified candidates from applying for other positions in the library.

WELCOMING THE DIRECTOR

Give the new director a complete orientation to the library, the local community and the board.

Celebrate the new director's arrival! Give a reception in his/her honor to introduce the director to the customers, staff, volunteers, Friends of the Library and other members of the community.

Remember that the role of the board is to hire and supervise the library director. It is the library director and not the board who administers the library and supervises the staff.

WHEN TO EVALUATE

Establish a **probationary period** for all employees. Depending on civil service, union or other established formal procedures, the time can be anywhere from **three to twelve months**. Don't wait before this period is over to begin your evaluation of performance—a **performance review** should start **right at the beginning** of the director's employment with a frank and open **discussion of the board's expectations**. Together, the board and director agree to **written goals and objectives** for both the director and the library. These are **reviewed** and **updated yearly**. Anticipated **results** need to be **concrete, measurable** and **based on the library's planning document**. The board and the director are a **team** whose goal is the success of the library.

HOW AND WHY TO EVALUATE

Evaluation is both a **verbal** and **written** process. A formal **written evaluation** is conducted at least **once a year** and at stated points during the probationary period. The evaluation cannot be based on personality traits, but must be **specific to job performance**. Both **positive performance** and **areas requiring improvement** are included in the written documentation which is **reviewed** with and **signed off by the director**.

Evaluation of the director is an important part of a board's duties. Failure to provide regular written evaluations can result in serious **legal problems**, if in the future you are **required to terminate** the director's employment. 

TERMINATING THE DIRECTOR

REASONS FOR TERMINATION

When library goals and objectives are not met, when problems are not corrected, or when the director's relationships with the community or board have irreparably broken down, it will become evident that a board and a director must part. Some reasons for termination are:

- Incompetence
- Insubordination
- Sexual harassment
- Theft
- Failure to meet objectives

Termination of employment is a specific legal process with procedures that must be carefully followed. If the board decides, after due consideration, that it wishes to proceed with termination, it is wise to **consult an attorney**. Most municipal libraries will have **free access** to the city attorney. Failure to take **proper legal steps** can result in damaging litigation.

Termination of a director is the result of **failure on both the part of the director and the board**. Review **what went wrong** in order to learn **what to look for** when hiring the next director or to **correct a situation** before the new director arrives.

It can be a long and difficult process, but it is for the good of the library and the community.

RESOURCES

A Library Board's Practical Guide to Finding the Right Director. American Library Association, 2005.

Geddes, Andrew and Hess, James. *Securing a New Library Director.* (ALTA publication #1). American Library Association, 1985.



WHAT IS PLANNING?

THE STRATEGIC PLAN

Every library—large or small—needs a **strategic plan**. It is the **blueprint** that sets the **direction** for where your organization is going. Rapid changes in technology and the uncertainty of funding have caused libraries to develop **3 – 5 year plans** instead of the formerly popular ten-year plans. Sound planning requires **flexibility**, **continuous evaluation** and **review**.

THE IMPORTANCE OF PLANNING

Planning is one of the most important responsibilities of the board and the library director. Strategic plans are critical to the success of any library because they:

- Confirm and articulate the purpose of the organization.
- Provide a foundation for decision making and establish priorities.
- Provide guidance for measuring the success of the library.
- Send a signal to financial supporters that the library is managed in a business-like manner.
- Identify ways to work “smarter” and generate efficiencies.
- Ensure that all library programs, services, and operations are customer driven.
- Help the board and library staff identify opportunities and problems.

WHAT'S IN A PLAN?

Strategic plans can differ from one library to another, but there are elements common to almost all plans:

- Overview of the current status of the library.
- An assessment (environmental scan) of trends taking place in the community and community needs.
- SWOT analysis (strengths, weaknesses, opportunities and threats).
- Mission and vision statements.
- Statements of strategies, their rationale, and actions to achieve the strategies.
- Anticipated costs.
- Time line and plan for implementation.
- Guidelines for measurement and evaluation.
- Supporting data gathered during planning process.
- Acknowledgements.

WHAT STRATEGIC INITIATIVES DOES A PLAN INCLUDE?

Board and staff development and training

Funding and financial management

Facilities planning and maintenance

Collection development

Program development

Adult and children's services

Advocacy and government relations

Community outreach and partnerships

Technology planning

Services to ethnic populations

Marketing and public relations

Facilities planning

Administration and management

Note: Some libraries create separate facilities and technology plans that support their long-range plan.

ENSURING SUCCESS

Libraries sometimes report that they created a wonderful strategic plan, but there was no **follow through**. The plan now sits on a shelf, even though it represented a substantial **investment of time and effort**.

Strategic plans are most likely to have a **positive impact** if:

- The board, director, staff and other shareholders support and participate in the process.
- The board and staff are sufficiently educated about planning techniques.
- There is a willingness to explore new ideas and embrace change.
- The board is poised to take advantage of opportunities.
- The necessary resources have been allocated to accomplish the work.

A NOTE ON NEW INITIATIVES

Sometimes the planning process goes more smoothly if the members of the team develop a "litmus test" to evaluate the merits or viability of a new strategic initiative.

Does it support the mission and vision of the library?

Does it satisfy identified community needs?

Does it help market and brand the library?

Is it practical and actionable when considering library resources?

Does it address multiple goals?

Does it provide a favorable return on investment?

STRATEGIC PLANNING HAS FIVE PHASES

PHASE ONE: ORGANIZATION AND DELEGATION OF ROLES

Review the planning process with board and staff.

Evaluate the need for an outside consultant.

Gather internal information that will be used in planning.

Create a strategic planning team comprised of some trustees, staff, a representative from the Friends group, and possibly the community.

Establish a timeline with benchmarks.

Assemble demographic information about the population in the library service area.

PHASE TWO: INFORMATION GATHERING AND THE ENVIRONMENTAL SCAN

Gather information about trends or changes taking place in the community using techniques such as town meetings, focus groups, in-depth interviews with community leaders, etc.

Review plans developed by other public sector agencies such as schools, economic development, etc.

Consider gathering quantitative data using a statistically reliable survey technique that reaches both library users and non-users.

Review qualitative and quantitative data that has been gathered.

PHASE THREE: DATA ANALYSIS

Identify and prioritize needs.

Set goals and objectives.

Formulate strategies that will address identified needs.

Develop action items to implement the strategies with timeline and cost estimates.

Establish “measures of success”.

DEFINING GOALS AND OBJECTIVES

Goal:

The outcome your community will receive because the library provides programs and services related to a specific response.

Objective:

The way that the library will measure its progress in reaching a goal.

PHASE FOUR: WRITE THE NEW STRATEGIC PLAN

Write the first draft of the plan.

Submit the first draft to the board or planning committee.

Integrate all feedback and suggestions into the final version.

Submit the final version to the board for approval.

Provide copies of the plan to staff, Friends, and other individuals close to the library.

WHO WRITES THE PLAN?

The process used to create the strategic plan varies depending on the size of the library and its staff. Generally, it is a collaborative effort on the part of the director, members of the staff, and representatives of the board (sometimes the strategic planning committee). Some libraries choose to contract with a library consultant to facilitate the strategic planning process and to draft the plan.

PHASE FIVE: DISTRIBUTE THE PLAN

Share the plan with people in the community who participated in the planning process and thank them for their support.

Provide information about the plan to the media with suggestions for related articles.

Meet with elected officials to present the plan and answer questions.

Distribute the plan to other community leaders who should understand the direction the library is taking.

Place the plan on the library's website.

Make copies available to the public.

WHAT IS EVALUATION?

The plan is only the beginning! Once you commit to a plan, it must be implemented. However, because libraries and their environments are fluid and changing and because plans are not cast in stone, boards must evaluate the progress being made toward fulfilling the goals and objectives they have set for their library.

If objectives are designed to be measurable; boards can more easily determine if progress is taking place. Annual evaluation helps determine if the initial plan is indeed still valid. A good time to do this is in January, after the data from the previous year's work is available. If revision is needed, boards should not be afraid to change direction. You should plan to evaluate at least once a year.

THREE TYPES OF MEASURES FOR EVALUATION

Outcomes Measurement adds outcomes to the two traditional measures of success: inputs and outputs.

Inputs:

- Are resources devoted to or used by a program
- Collections, materials, equipment and supplies
- Staff and volunteer time and expertise, community partners
- Needs assessment findings and other background information
- Facilities, computers, online access
- Also, constraints on programs such as laws, regulations, funding requirements

Outputs:

- Answer "How many?" (extensiveness)
- Are measures of product volume (i.e. number of products provided) or evidence of service delivery (i.e. number of participants)
- Are the results of inputs (resources) and activities (programs or services)
- Are from the staff perspective
- Are objectively quantified by neutral observers

Outcomes:

- Answer "So what?" (effectiveness)
- Are measures of impact or benefit to end user, usually reported in amount of change in skills, knowledge, attitude, behavior, or condition
- Are also the results of inputs (resources) and activities (programs or services)
- Are from the participant/customer's perspective
- Are often quantified by participants' or others' perceptions (i.e. self-reports or anecdotal evidence)
- May be measured through professional assessments (e.g. testing)
- Are the success stories of outputs
- Are anticipated and planned for
- Make a project's expectations explicit
- Present assumptions of contribution to meeting a goal

Other Types of Evaluation

In addition to using outcome measurements, libraries also monitor their performance by conducting **customer satisfaction surveys**, **website user surveys**, and **evaluations of the quality of their programs**.

They also **compare their statistics** with those of similar libraries in the state and by ordering **Henen Reports** that make it possible to make comparisons with similar libraries in other parts of the country.

ADDITIONAL MEASURES

Other output measures can tell how well the library provides reference services and library materials that people want:

- Reference fill rate
- Title fill rate
- Subject and author fill rate
- Browser's fill rate
- Stock turnover rate indicates the activity of a collection.
- Document delivery measures indicate how well materials not readily available in the library are provided to patrons.

DEFINING FILL RATES

Reference fill rate:

Percentage of completed requests for answers at the reference desk.

Title, subject and author fill rate:

Percentage of requests filled by using each of these categories when searching for materials.

Browser fill rate:

Rate at which a library patron finds what they are looking for by simply browsing the shelf.

RESOURCES

Wallace, Linda. *Libraries, Mission, and Marketing: Writing Mission Statements that Work*. Chicago: American Library Association, 2003. 112pgs.

Nelson, Sandra. *The New Planning for Results: A Streamlined Approach*. Chicago: American Library Association, 2001. 312 pp.

Van House, Nancy A. and Mary Jo Lynch and Charles R. McClure. *Output Measures for Public Libraries, Second Ed.* Chicago: American Library Association, 1987.

WEBSITES

www.ims.gov

Examples of strategic plans can be found at:

<http://udp.mclinc.org/plan.pdf>

<http://trfn.pgh.pa.us/aclld/home>

www.ccpa.net/cumberland/cwp/view.asp?a=1294&q=491564



MONEY MATTERS

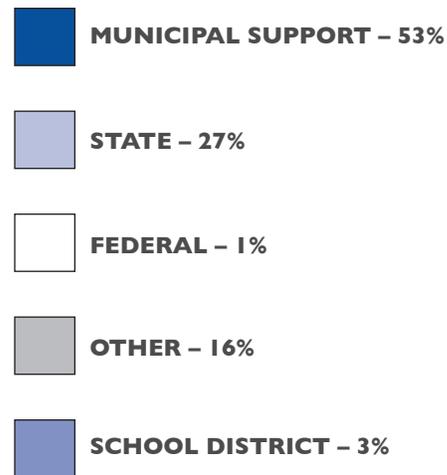
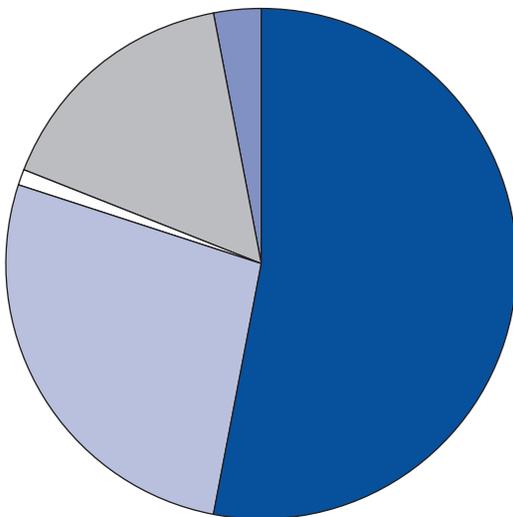
FUNDING SOURCES

Funding for library services comes from local, state and federal levels. The local level has the greatest responsibility for funding, with approximately 60% of library income coming from local government resources. State funds account for about 23% of the income, and the federal government, through the Library Services and Technology Act grant program, about 1%. Other local sources account for about 16%.

“Libraries will get you through times of no money better than money will get you through times of no libraries.”

—Anne Herberts

LIBRARY INCOME BY SOURCE



Office of Commonwealth Libraries:
2005 Pennsylvania Library Statistics



LOCAL GOVERNMENT INCOME

Pennsylvania has established the Library Code to appropriate general operating funds to the public library, which is designated to provide library service to its residents. The Library Code defines a municipality as any county, city, borough, town, township or school district.

The library board must secure this financial support through requests to local officials. Such requests should include a budget representing the needs of the library and description of services the community receives from local government support.



STATE FUNDS

The Statewide Card Program of ACCESS PENNSYLVANIA compensates participating libraries for extending borrowing privileges to Pennsylvania residents who live in direct service areas of other participating libraries.

WHEN IT'S JUST NOT ENOUGH

When local support and state aid are not sufficient to maintain good library services, it is the responsibility of the trustees to work for a better local base and increased state funding.

STATE SUBSIDY TO PUBLIC LIBRARIES

The Library Code establishes a system of state aid for public library service. The Library Code Section 303 describes categories of aid:

Quality Libraries

Aid granted to a local library or library system on a per capita basis, as provided in Sections 303(2) and 303(3) of The Library Code.

Incentive for Excellence Aid

Aid granted to a local library or library system that meets additional qualifications as provided in Sections 303(4) and 303(5) of The Library Code.

County Coordination Aid

Aid granted to a county library or county library system as a percentage of the county appropriation as provided in Section 303(7) of The Library Code.

District Library Center Aid

Aid granted to the 29 libraries designated as district library centers as provided in Section 303(8) of The Library Code.

Statewide Library Resource Center Aid

Aid granted to the four libraries designated as statewide library resource centers as provided in Section 303(9) of The Library Code.

Equal Distribution Grant

Grants of equal amounts paid to each qualifying library, branch and bookmobile as provided in Section 303(11) of The Library Code.

Equalization Aid

Aid paid to a library serving economically distressed municipalities as provided in Section 303(10) of The Library Code.





LOCAL FINANCIAL EFFORT

The **State Subsidy to Public Libraries** program is designed to **stimulate local financial support** of public libraries and to provide a **reliable level of quality public library service** across the Commonwealth. **The State Subsidy augments the basic services a library provides through local support.**

Participation in the State Subsidy program requires a **minimum commitment in local funds of \$5.00 per capita** of the library's service area population.

MAINTENANCE OF LOCAL EFFORT

It is the intent of the State Subsidy program to **supplement** local dollars, **not replace** them with state dollars. By law, **the annual expenditure of local dollars must equal or surpass the amount spent in the previous year**, for those libraries that earn Incentive for Excellence Aid. Also, local government income **cannot decrease** from the previous year.

STANDARDS

Libraries must meet a set of **service standards**, which are set out in the Library Code and the Pennsylvania Code. These standards address service aspects such as **collection size, hours of service, certification, and staff training and development.**

It is essential for library trustees to approve and support an annual budget that will assure that the library is in compliance with applicable standards, and will satisfy the maintenance of local effort requirement.



COUNTY COORDINATION AID

A library or library system designated by the county to provide **free library service** throughout the county is eligible to earn **County Coordination Aid**. This aid is paid on a percentage of the county appropriation according to the class of county. The county library or library system must complete an annual **countywide plan for service.**

CLASS OF COUNTY	% OF AID CALCULATED ON COUNTY LIBRARY APPROPRIATION
2	5%
2A & 3	30%
4	50%
5	50%
6	100%
7	100%
8	100%



OTHER SOURCES OF REVENUE

There isn't a library that wouldn't like to have more money than it receives from local and state funding! Some library advocates argue that our public libraries should be financed solely by taxes. However, there is a trend towards libraries developing alternate sources of revenue. These options include applying for **grants**, soliciting **corporate under-writing**, and conducting **fundraising campaigns** either to build a new library or to support other special projects.

GRANTS

LSTA—The Federal Contribution

Federal support for libraries began in 1956 as the Library Services Act, which was designed to provide public library services to rural areas and to improve the quality of services offered. In 1963, it was renamed the Library Services and Construction Act and was extended to include urban areas. In 1996, it was renamed LSTA, replacing the word "Construction" with "Technology" to emphasize this growing means of obtaining information.

Through Congressional allocations, funds have been distributed to each state for purposes deemed important in that state. The Federal Institute of Museum and Library Services (IMLS) distributes these funds, based on a population formula, to meet IMLS goals.

To receive funds, each state develops an LSTA Five-Year Plan for IMLS approval. The Office of Commonwealth Libraries' Five Year Plan for 2003–2007 emphasizes four basic goals:

1. Pennsylvanians of all ages have increased access to information, services for learning and educational resources in a variety of formats, from all types of libraries.
2. Library services will provide all users access to information via electronic networks, as well as electronic and other linkages among and between all types of libraries.
3. All Pennsylvanians, regardless of geographic, cultural, socioeconomic background, disability, or limited functional literacy or information skills will have opportunity and equitable access to library information and collections.
4. State-level leadership and services will strengthen and improve library services.

These goals are the basis upon which competitive grants are awarded and state directed programs are implemented.

Libraries that demonstrate a need to implement projects that will meet one or more of the goals are most likely to receive LSTA funds.

Information on how to apply for Pennsylvania's LSTA funds is sent to all libraries annually by the Office of Commonwealth Libraries. Additional information is available from the district library centers and on the State Library's web site at www.statelibrary.state.pa.us. (This website can also be checked for updates to the Five Year Plan.)



PHILANTHROPIC SOURCES

In addition to federally funded grants such as LSTA, there are numerous philanthropic organizations throughout the United States that support libraries and other non-profit organizations. Researching and identifying those most receptive to libraries can be a daunting task.

Pennsylvania has 10 cooperating collections that are affiliated with the **Foundation Center of New York City**. These centers will provide information on foundations that may be sources for funding for a special project. Contact www.fdncenter.org for a current list of participating libraries. In addition, copies of **The Pennsylvania Foundation Directory** are available from your district library center.

The National Endowment for the Humanities and **The Pennsylvania Humanities Council** also have funds available for certain types projects and programs in the humanities.

FUND DEVELOPMENT

A chronic shortage of adequate financial resources motivates many libraries to launch a fundraising campaign. Fund Development is both **an art and a science** that requires a huge commitment on the part of the board. Libraries frequently contract with a **fundraising consultant** to educate them about the process and create a blueprint for their campaigns.

However, even if a consultant is hired, in order for a fundraising project to be successful, trustees must also be prepared to:

- Support the campaign by giving their time, energy and money.
- Provide leadership.
- Leverage their community contacts.
- Help develop the plan and establish goals.
- Establish a separate campaign committee.

COMPONENTS OF A FUND DEVELOPMENT CAMPAIGN

Establish a campaign committee and identify chairperson.

Identify a need and develop a case statement that justifies the need.

Conduct prospect research and identify major donors.

Create a giving tree with projections for the number of contributions at each level.

Decide the appropriate use of solicitation techniques including person to person (major donors), direct mail, special events, and telemarketing.

Design public relations program to build support for the campaign.

Establish an infrastructure to manage and acknowledge donations.

Create campaign solicitation and acknowledgement materials.

Create a stewardship program to sustain lasting relationships with supporters.



DEVELOPING A BUDGET

Library boards are responsible for developing a **realistic budget** to reflect the needs of the library. This budget should then be presented to the local government as part of the board's responsibility for **securing financial support**. When funds are scarce, many librarians simply rework the previous budget, adjust some items and hang on!

Building a budget can be exciting, instructional and productive. Trustees can make the budget process what it should be—a **realistic spending plan** for a year of advancement toward the goals and objectives of the library.

Using the budget form is the final step in budget development—after all the discussion, dreaming, wrangling and decision-making. The form will not reveal the **depth of debate**, the **weighing of priorities** and the **difficult dropping of good ideas**. The board's records should show some of the process of reducing plans to figures.

A SUGGESTED PROCEDURE FOR DEVELOPING THE BUDGET

Begin well in advance of deadlines related to your fiscal year.

Evaluate the old budget. Did it “buy” what the public needed? Did it support the plans of the board? How much was needed and for what reasons?

Be sure to include your library director in a discussion about the budget. Your director may propose new programs, services and initiatives to improve the library.

Set up several meetings to talk about the library's progress and how it is related to the next budget. Look at new programs, estimate costs and let them compete with older services.

Talk about salaries early in the process. Make the basic decisions so you will know how much money is really available.

Look at every item as though it were to be purchased by a user. How essential is a new water fountain compared to extra copies of popular fiction? Is a new parking lot essential to convenient use of the library? Are nonreaders well served through programs and events?

Earmark a small sum for a new program that a staff member may want to try.

Compare your budget decisions to your library's plan and its goals and objectives.

Project next year's problems. If you must have more money, from where will it come from? Does the need for a new building become suddenly pressing? Is it going to be possible to increase staff? or to open the library longer hours?

Review the completed document for its “selling points”. Be prepared to explain and interpret it in terms of community needs and expectations.

Don't hide the budget. Tell the community what the budget will accomplish. Remind them how difficult it is to arrive at a balanced budget when there are so many activities and services the library is expected to do, and wants to do.

Every year, make a professional budget presentation to your funding authorities. Be sure to get on their agenda early, before they plan the budget for their annual allocations. Talk with appropriate officials before the meeting. Be prepared with facts, figures and justifications. Be organized and to the point.

Prepare for next year. Do you need an earlier start? Are there better ways to consult staff and public? Should projects be studied throughout the year so they can be plugged in as funds are available?

Consider the extra time well spent; trustees now have a better understanding of money matters; staff is happy to have been involved; and the picture of services is clearer.

Don't wait until budget time to talk with your funding authorities. Let them hear from you all year long about how well you're spending their money.



WHAT ARE STANDARDS?

In Pennsylvania, standards are minimal levels of service that libraries must provide in order to qualify for state aid. They were designed to suggest a base from which libraries can grow.

The Library Code charges the State Library and the State Librarian "...to counsel local libraries on minimum standards for **number and quality of library staff, resources of books and other materials, location of new libraries, hours and physical facilities.**" The Code charges the Governor's Advisory Council "to promulgate rules and regulations for the approval of plans for the use of state funds."

In accordance with The Code, standards have been established for local libraries, district centers and library systems. The **standards relate to library governance, materials, expenditures, staff, service, facilities and participation in the Pennsylvania library plan.** The standards are minimal, and libraries are encouraged to be attentive and work toward meeting the needs of their communities.

Overall, **the standards establish a floor for library service** across the commonwealth. Attaching eligibility for state aid to the achievement of standards ensures minimal local support and service in order to be supplemented by state funds. State aid is not intended, nor can it be used, to replace local support.

Detailed and up-to-date information about all aspects of these standards are available from your District Library Center and the Bureau of Library Development. [▶ PaLC](#)

PUBLIC LIBRARY AUDITS

A new regulation took effect in 1993 requiring public libraries, as part of their proof of eligibility for State Aid, to file audits with the Office of Commonwealth Libraries. The audits must be performed by independent auditors someone who is not on the library board or a member of the staff and in accordance with Generally Accepted Auditing Standards (GAAS). Depending on the amount of state income, some public libraries are required to file audits every year; others, every third year with financial review in intervening years. The chart below demonstrates how frequently an audit is required.

ANNUAL STATE INCOME	AUDIT REQUIREMENT
Under \$50,000	Audit every third year; financial review in intervening years
\$50,000 and over	Every year



ADVOCACY AND THE ROLE OF TRUSTEES

LOBBYING IS NOT A DIRTY WORD

Lobbying is a type of advocacy. At its finest, lobbying is **communicating** and **sharing information** with elected officials who are in the position to make important decisions pertaining to the welfare of libraries. Lobbying involves **assembling the facts** and **translating them into action**. It is researching plans and presenting them as evidence of need for a law or an appropriation.

TRUSTEES ARE WELL POSITIONED TO LOBBY FOR LIBRARIES

They see the library from the user's viewpoint.

They have perspective on the full range of public services.

They speak for the consumer.

They represent the interests and understand the needs of their communities.

They have connections with individuals who can help the library's cause.

They have the right to be heard and exercise their opinion about an issue.

“One American in ten tells the other nine how to vote, where to eat, and what to buy. They are the influentials.”

—Ed Keller and Jon Berry

LOBBYING FOR LIBRARIES

Legislative Days are organized lobbying efforts for library advocates to meet with legislators. As a trustee, you may be asked to participate in **Legislative Day** activities sponsored by The Pennsylvania Library Association, The Pennsylvania Citizens for Better Libraries or The American Library Association. Your participation is essential to their success!

Lobbying also means:

- Grassroots letter writing, email and telephone campaigns.
- Rallies, fundraising and other special events.
- Forming relationships with other organizations likely to support the library.
- Direct contacts between trustees and individuals who make legislative decisions or are close to those individuals.

THE RESEARCH TELLS US: THEY DON'T KNOW THAT THEY DON'T KNOW!

Elected officials already have their hands full, and, when it comes time to make an important library decision, they are often hampered by limited knowledge, dated perceptions, and downright misperceptions.

Discussions with elected officials frequently reveal that many:

Haven't been in a library since leaving school.

Don't fully understand what libraries do and for whom.

Don't know how libraries are funded.

Underestimate the importance the public attaches to libraries.

Understand snow removal and trash collection better than library services.

Resist any decision that raises taxes.

Don't focus on libraries because they never hear a complaint.

Can feel pressured by ultra-conservative agendas.

May be enticed by the promises of privatization.

CULTIVATING RELATIONSHIPS AND COMMUNICATING EFFECTIVELY

TRUSTEES CAN EDUCATE ELECTED OFFICIALS ABOUT:

- The value of investing in library services.
- The relationship between academic achievement and library services.
- How libraries contribute to economic development.
- How much their communities love their libraries!

IN ORDER TO BE EFFECTIVE ADVOCATES, TRUSTEES MUST:

Be well versed on all aspects of library service and library funding.

Support the director—avoid placing him or her in an antagonistic position that can appear self-serving.

Understand the local power structure.

Accept accountability for the public funds your library receives.

Hone listening skills to hear what officials are really saying.

Align library services with the personal agendas of elected officials and community needs.

Avoid appearing political.

Discuss the library in business terms, such as “return on investment”.

Shift the focus from “nice-to-have” to “necessity” and from “cost” to “benefit”.

Develop relationships with the “gatekeepers” and a stewardship program for “influentials” and key decision-makers.

Talk about issues other than money by communicating good news often.

Keep elected officials “in the loop”; their experience, skills, and knowledge can be the library’s greatest assets.

Avoid library jargon and complicated statistics.

Personalize the library experience: collect and retell patron stories.

WHY DON'T LIBRARIES GET THEIR FAIR SHARE?

Libraries have historically been challenged to maintain good relations with government officials and to receive adequate funding at budget time. Librarians are shortchanged because they:

- Downplay the importance of political connections.
- Are not well-informed about legislative or budget processes.
- Fail to communicate the value of their professional capabilities.
- Suffer from lingering negative perceptions and stereotypes.
- Are negotiating with non-librarians.
- Believe that everyone thinks that libraries are good.
- Make it easy for politicians to cut library budgets without consequences.
- Don't want to get involved in politics.
- Tend to be team players, consensus builders.
- Compete with more politically astute organizations, other worthy organizations and causes.

TRUSTEES AS PART OF THE POLITICAL PROCESS

Library board trustees should remember that, **in a sense, they are legislators**, for they **make decisions and pass on policies**, which have the effect of controlling and directing aspects of the library. Trustees, like legislators, are **public officials**, seeking and accepting responsibility for public institutions and funds.

Trustees encounter **the political process** once that same process has given them seats on a board. Most trustees will think of the legislative process as beginning with the state legislature, where laws are enacted, and where state support is determined. In Pennsylvania, the board must work with various layers of control—**municipal, county, and other officials**—who have certain powers in the process through which libraries gain support, especially financial support.

Trustees need to cultivate **frank and open relationships** with these officials, working with them to produce the best possible climate for libraries. Getting to know how that political process works is fascinating and absolutely necessary for an effective trustee.

Tip: Go to your library and bone up on how a bill becomes a law and how a budget gets passed.

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EFFECTIVE MEETINGS

OPEN PUBLIC MEETINGS

Public library boards usually hold **monthly meetings**, and law mandates that they be **open to the public** and **publicly announced**. Meeting notices must be advertised in the **newspaper** at least **three days prior** to the meeting and also be **posted** at the main office of the library or wherever the meeting will take place. Additionally, announcements can also be made on **local radio** or **TV broadcasts** and on your library's **website**.

Pennsylvania's "**Sunshine Law**" specifies when and how such notice for meetings is required. The **public and the press may attend**, and arrangements must be made for **space** and their **seating**. They are entitled to have **copies of the agenda**, and the agenda must contain a time where they can **make comments or ask questions** of the board.

To review the exact requirements of the Pennsylvania Sunshine Law, go to: www.newpa.com.

EXECUTIVE SESSIONS

Law allows executive sessions or private meetings of the board. These are not open to the public. Your bylaws should specify when and how private meetings are held. Though the actual meeting is conducted in private, it should be publicly announced, and the subject for discussion also be made public. Executive sessions are usually held to discuss personnel matters.

EXECUTIVE MEETING NOTICE

The Pennsylvania law on open meetings (the so-called "Sunshine Law"), Act 84 of 1986, requires public libraries which municipalities have designated as their agencies to make meetings of the boards of directors open to the public. Meeting notices must be advertised in the newspaper at least three days prior to the meeting and also be posted at the principal office of the agency, or wherever the meeting will take place.



MEETING DOS AND DON'TS

THE BOARD'S BUSINESS

A Handbook for Public Library Trustees states that “a library board has an important first step: to develop a written statement to differentiate the function of the library board and that of the librarian/staff.” The *Handbook* goes on to list what the business of the board should be at its regular meetings:

- To discuss and decide policy issues.
- To carry out legal responsibilities.
- To hear and ask questions about what the library is accomplishing in the day-to-day functions.
- To assist the librarian in solving problems, especially those which relate to community needs and opinions.
- To review financial progress and the implementation of the budget.
- To work toward excellent library services.



THE DIRECTOR'S BUSINESS

The director and library staff **prepare all supporting materials** as needed for a meeting. On some boards, it is the director who takes the minutes, but it is recommended that an administrative assistant be given that job. This allows the director to focus on participating in the meeting. The director submits a **written monthly report**, participates in **discussions**, **adds explanations** where needed, and **answers any questions** posed by board members. The director also provides materials that contribute to **the education of the board** in current library issues. Most importantly, the director **informs the board** and leads the discussion on **the future growth of the library**, addressing how the organization will change in order to satisfy the future needs of the people who live and work in the community.

MAKING MEETINGS PRODUCTIVE

- Be on time and do not leave early.
- Arrive prepared.
- Keep to the points on the agenda.
- Contribute ideas.
- Avoid dominating the discussions.
- Listen and do not interrupt.
- Speak succinctly.
- Be open and positive.

By adhering to the behaviors in the above list, you will earn the gratitude and respect of all and have the satisfaction of attending productive meetings that accomplish the library's goals.

SETTING THE AGENDA

The board president and the director jointly develop the agenda. The topics come from the business at hand and from suggestions of board members and staff. The order of business follows a template used for each meeting. It is prepared in advance and mailed, emailed or otherwise distributed before the meeting, along with any written reports. The board packet should be in board members' hands at least one week prior to the meeting.

CONDUCTING THE MEETING

Often called “parliamentary procedure”, rules of order help a meeting to run smoothly. *Robert's Rules of Order*—the classic guide—is available at any bookstore.

The meeting must **start and end on time**. The president or chairperson of the board is designated to lead the meeting, with the vice-president or vice-chair acting in his/her absence. Calling the meeting to order, the chairperson **sets the tone**. Using the prepared agenda, he/she is the meeting's **facilitator**, helping the group focus on the **agenda items**, keeping everyone **on track**, encouraging **participation**, and remaining **neutral**. The chairperson **closes the meeting** and manages the meeting's **follow-up tasks**.

BOARD PACKETS MAY INCLUDE:

- A request for confirmation of attendance
- Contact person's information
- Start and end times
- Suggestions for how to prepare for the meeting
- Anticipated outcomes
- List of action items
- Timeframes for each item and who will lead the discussion

MAKING DECISIONS

Bylaws should state how decisions are made. Are they made by **majority rule** or by **consensus**? If bylaws don't state which method, it would be a good idea to have a discussion on voting practice. There are many different kinds of **decision-making methods**.

One six-step model your board may wish to consider is:

1. Define the issue and determine if it needs action.
2. Gather all the facts.
3. Think about options and solutions.
4. Consider pros and cons.
5. Select the best option.
6. Discuss how the board will explain the decision to any stakeholders.

DIFFERENCES OF OPINION

What happens if you don't agree with a decision that the board has made? You are free to disagree, and a courteous airing of different points of view keeps things open and honest. As a duly appointed member of the board, your opinion needs to be heard. Your point of view may not have carried this time, but there will be many other decisions that need to be made.

ASSESS YOUR BOARD'S DECISION-MAKING

Are discussions lively?

Are dialogue and different points of view encouraged?

Do I feel free to join in the discussion?

Are the chairperson and other board members receptive to comments?

Are everybody's points acknowledged?

Can I live with the decision?

Was it the process or the decision that I didn't like?

If the answer to all of the above questions is "no", then you may have to consider resigning from the board.

PUBLIC COMMENT

There are many issues that can spark controversy and arouse strong emotions. **Free speech**, **censorship** of materials, **Internet access**, **use of meeting space**, **funding** and **building construction** are just a few. There will always be someone who disagrees with library policies or actions.

Having a place on the agenda for **public comment** and courteous consideration of all who do speak will go a long way towards **earning the respect of the community**. Opportunities to hear public comment also ensure the board knows what the **"hot buttons"** are and **where the community stands**.

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WEBSITES

www.ala.org/alta

www.boardsource.org



TO BUILD OR NOT TO BUILD? FACILITIES CONSTRUCTION AND RENOVATION

THE INEVITABILITY OF CONSTRUCTION AND RENOVATION

In a predictable period of time, a successful library will **outgrow its space**, and the library board will be confronted by the choice of **renovating or enlarging the existing facility, searching for space to convert, or building a new facility on a new site**. The decision to build or renovate is one of the most important faced by library trustees and can be a true test of board relationships and organizational commitment.

The need for additional space in a library should never come as a surprise. Long before it is time to start construction, the board and the library director should be monitoring key indicators such as:

- Population growth and demographic change
- Increased library usage
- Addition of new library services
- Increased acquisitions
- Aging facilities
- Lifestyle changes and community trends

“My good opinion of a town or village was based largely on the existence of two facilities for its inhabitants and visitors: public libraries and public conveniences.”

—*Emmanuel Shinnwall*

KEY QUESTIONS

A building project has enormous ramifications, and library trustees need to approach the decision in an informed, disciplined, and non-emotional manner. **A library should never expand or build until all options have been considered and key questions answered.**

The fundamental issues are:

- What impact will current demand and projected use have on space, size, design and location?
- Is a new or improved facility required to accommodate new/expanded services?
- Does the existing facility meet standards for serving the projected population?
- Would a redesign of the existing space solve our problem?
- Is the library facility in the proper location when considering traffic patterns, population shifts, parking, etc.?
- What are the space requirements for public, administrative and support services?
- A new building means at least twice (often more times) the patron usage. Is the library financially capable of increasing the library budget to cover additional staffing and other operating expenses? (A new building may also mean additional furniture/shelving and increased user expectations.)

THE ROLE OF TRUSTEES IN BUILDING PROJECTS

Trustee commitment is essential to the success a building project. The responsibilities of the board include:

Reviewing and understanding all information that will influence the decision to build.

Establishing a building committee.

If fundraising is required, establishing a campaign committee.

Securing the support of municipal officials and community leaders.

Selecting consultants.

Actively participating in fundraising.

Issuing bids and selecting contractors.

Collaborating with the director to develop the building plan and monitor progress.

Supporting the director through the process.

THE ROLE OF THE DIRECTOR

The ability of the director to orchestrate the construction project is integral to the ultimate success of the building initiative. A director is responsible for:

Predicting the need for a new facility well in advance of construction.

Assisting the board in establishing a timetable for building.

Planning for continuation of library services during construction or determining how limiting services will impact library in areas such as funding.

Providing the board with the information that it needs to make a well-considered decision.

Coordinating the development of the building plan.

Supporting the ongoing work of the building and fundraising committee.

Researching building consultants, architects, and contractors.

Working the with architect, space planner, and the contractor.

Cheering the board on!

LIBRARY CONSTRUCTION AND RENOVATION CAN CAUSE PUBLIC DEBATE

Library Boards contemplating the construction or renovation of a library facility should **never underestimate the public outcry that can ensue**. Communities are often very **attached to their existing public library**. Their sentiments are particularly strong if the building is a **beloved community landmark**. Especially if the only way to build a new facility is to relocate it **outside the community**, residents can also respond very negatively. Basically, **no community ever wants to “lose” its library**—even if it involves moving to a site a mile away.

In order to avoid heated and unpleasant public debate, trustees should **take the pulse of the community** to determine the level of public support for the proposed building project. This can be accomplished by **conducting research** and **initiating discussions with municipal authorities** and **opinion makers** to learn how much opposition trustees can expect when they publicize the details about the building project.

WHAT KIND OF HELP WILL YOU NEED?

WORKING WITH A BUILDING CONSULTANT

Many libraries turn to a building consultant—a librarian who has experience in building projects. Names of qualified consultants are available through the district library center.

If the board decides to contract with a building consultant, it should reach a clear understanding regarding the scope of services, work product and fees. A building consultant could be asked to provide:

- A study of the present library and its space needs and service requirements.
- An analysis of the study with recommendations for the size of a new library.
- Recommendations on the allocation of space.
- Input from board and staff on service expansions.
- Estimates of square foot costs of the new space. (If additions, conversions, etc. are involved, a consultant will evaluate these solution as well.)
- Studies of access to the library, including location and parking.
- Consultation with the board on available options to gain space.
- Making certain the library will be in compliance with the Americans with Disabilities Act (ADA).

Facilities Assessments and Building Programs: What's the Difference?

A facilities assessment is a review of a library building's condition and major systems. It can also take into consideration functionality and the appropriate allocation of space. Strategic plans sometimes integrate or are supported by separate facilities assessments.

A building program is a formal document prepared by a building consultant for the architect to use in designing a new building or expanding an existing one. It makes recommendations pertaining to the size and type of space that should be built, spatial relationships, and major features, such as parking, lighting, and HVAC.

TAKE A FIELD TRIP

The trustees and the library director will learn a great deal by visiting new libraries in Pennsylvania or in neighboring states. These trips provide insights into the latest trends in library design and the opportunity to get excited about your new library building.

When reviewing the credentials of architects and contractors, it is wise to tour other facilities they have designed and constructed. Always check the credentials of building consultants, architects, contractors and interior designers to confirm that previous clients have been more than satisfied with their performance.

WHERE WILL THE MONEY COME FROM?

KEYSTONE GRANTS

The **Keystone Recreation, Park and Conservation Grant** was established in 1993, and is maintained through the Realty Transfer Tax.

Two types of grants are available: **Mini Grants and Major Projects**. Mini Grants provide grants of \$50,000 and below to make libraries accessible to persons with disabilities and for non-routine maintenance such as replacement of leaking roofs. Major Projects provide larger grants to assist in the construction of new buildings and major renovations or additions to existing buildings.

Grants can provide **up to 50% of the costs of eligible projects**. Municipalities and public libraries must demonstrate local funds are available to pay the remaining 50% or more of project costs,

Libraries considering applying for Keystone Grants should check with the **District Consultant** from their District Library Center.

CAPITAL CAMPAIGNS

If a library concludes that the only way to raise the money that it will need for a new facility is to conduct a capital campaign, it will have to establish a **campaign committee** and possibly hire a **professional fundraising consultant**. The consultant can conduct a **feasibility study**, which will help determine the amount of funds that can be raised and can also test possible campaign themes. The **District Consultant** can help you find names of reputable firms.

Capital campaigns require **extensive board support**, and can take **several years** to complete, depending on the amount of money to be raised, and require **meticulous organization**.

HOW IS A BUILDING PROGRAM ORGANIZED?

BUILDING PROGRAM STEPS

Once the source of funds is determined, the board can proceed with firm planning. Usual steps for a building program include:

- Crafting a statement of how a new facility will improve services and benefit the community.
- Translating the building statement into an architectural plan.
- Conducting meetings with board and staff until consensus is developed.
- Securing the support of the municipality.
- Drawing up firm plans and specifications for the building.
- Putting the plans out for bid, following legal requirements.
- Accepting bids, signing contracts and authorizing the start of the construction.
- Monitoring the progress of construction under the supervision of the architect and such other personnel as needed. Construction managers are useful here!
- Making decisions pertaining to space allocation, interior design and landscaping, and soliciting and awarding related bids.
- Scheduling final inspections, moving day and the delivery of equipment, furniture and services.
- Planning dedication ceremonies and public relations.
- Paying final bills and auditing records.
- Celebrating success!

CHECKLIST FOR A SUCCESSFUL BUILDING PROJECT

Has the board:

Secured the commitment of all its members?

Reached an informed decision to build?

Developed a viable plan for securing funds?

Ensured that finances for an adequate operating budget are available?

Generated community support?

Reviewed the building plan?

Complied with all local ordinances?

Adhered to state public contracts law and regulations?

Planned how and where services will be provided during the construction process (if it's necessary to adjust them)?

Reviewed bids carefully and objectively?

Planned for a community room, along with the library, to meet program needs?

Issued requests for amended bids if necessary?

Established a committee or team?

Provided a process for issuing change orders?

Demanded excellence?

Tracked the expenditure of funds responsibly?

Leveraged the public relations opportunities of a new facility?

Met frequently to keep all trustees informed?

Created a detailed plan for moving into the facility?

Thanked the director?

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BRANDING AND MARKETING

APPLY BUSINESS LESSONS TO LIBRARIES

Increasingly, libraries are taking the best lessons from businesses and applying them to their particular challenges. Taking its cue from the for-profit world, a library will find that **a disciplined, research-based, consistent program of branding and marketing attracts support and increases use.**

BRANDING IS:

The promise that the library will live up to the expectations that it has created with its customers.

The experience the customers have with all aspects of the library.

The “buzz” about the library experience.

“The aim of marketing is to know and understand the customer so the product or service fits him and sells itself.”

—Peter Drucker

MARKETING IS IMPORTANT FOR LIBRARIES BECAUSE IT:

- Generates strategic thinking.
- Uses up-to-date research.
- Considers trends in library service.
- Forces library leaders to look closely at what people need and want.
- Matches customer needs to the libraries’ collections to ensure that no customer base is overlooked.

BRANDING IS IMPORTANT FOR LIBRARIES BECAUSE IT:

- Builds a positive image, visibility, and familiarity.
- Supports libraries as they face increased competition from retailers and the Internet.
- Is an important way to reach out to all potential customers and build loyalty and respect.
- Reinforces the importance of libraries to elected officials.
- Communicates to supporters that they are giving money to a successful organization.

TOGETHER, MARKETING AND BRANDING:

Project professionalism.

Communicate the library's value to the community.

Build staff and supporter morale.

THE DIFFERENCE BETWEEN BRANDING AND MARKETING IS:

One of emphasis, but they are inseparable.

Branding infuses all aspects of a library's operations and communications.

Marketing focuses on strategies that ensure the library is meeting the needs of all internal and external "segments".

NOTE: Public relations is not a substitute for branding or marketing. This is the most common mistake made by libraries!

"The world does not automatically beat a path to the man with a better mousetrap."

—Theodore Levitt

MARKETING ASKS:

- Whom are we targeting in the marketplace?
- What are we offering them?
- What drives their decisions to use (or not use) the library?
- What is their experience when they use the library?
- What could we do better?
- What should we stop trying to do?
- How can we better communicate with them?

ANSWER QUESTIONS WITH PRIMARY RESEARCH

Focus groups are effective for learning what a small group of people think about the library.

Surveys are a more accurate method of learning what library users and non-users in your community know and most people in a distinct group think about the library.

VISUAL BRANDING

Visual branding is the **disciplined presentation** of logo, tagline, graphics features, etc. in all publications, advertising, public relations, and special events.

LOGO

A **logo** is a strong, compact **visual representation** of the qualities that the library wishes to communicate; a logo presents the library's exact name and can incorporate branch name and tagline.

TAGLINE

A **tagline** is a **succinct statement** of those distinguishing qualities and values the library wishes to communicate: "Answers for Everyone About Everything" "Where the County Learns" "Information on Demand", etc. Strong taglines are often derived from research with library users and potential users.

GRAPHIC STANDARDS

Graphics standards may include information on the **proper use** of the tagline and logo, color system, approved formats, papers, etc. Graphics standards manuals are preferably **formal, detailed documents** or, more frequently with libraries, informal instructions on the appropriate presentation of the logo.

STEPS TO SUCCESSFUL MARKETING

I. SEGMENT YOUR MARKET

Marketing segmentation asks:

- Whom is the library currently serving?
- Whom could the library serve better?

When you consider answers to these questions, you may consider separating out “**external**” and “**internal**” groups, depending on their perspectives of the library.

EXAMPLES OF “EXTERNAL” MARKET SEGMENTS ARE:

Senior citizens
 Families with young children
 Non-English speakers
 Teenagers who seek homework assistance
 Small business owners
 Elected officials
 The media

EXAMPLES OF “INTERNAL” MARKET SEGMENTS ARE:

Current library users
 Friends of the Library
 Trustees
 Vendors
 Financial supporters
 Staff

2. TAILOR YOUR MESSAGE

What do libraries have for sale? A great deal beyond books!

Research shows that the public has a very **limited understanding** of what products and services the library makes available. The result is that **many resources are underutilized**.

A goal of marketing activities should be to **increase the awareness of the impressive menu of library products and capabilities** they can access when they visit the library including:

- Information experts
- Answers to questions
- Electronic resources
- DVDs, CDs and videos
- Resources for school and educational classes
- Place to study
- Meeting rooms
- Government documents
- Maps
- Materials that help children read and learn
- Resources for businesses
- Programs for children and adults
- Large print materials

3. COMMUNICATE VIA THE APPROPRIATE MEDIUM

Most libraries do not have the funds to pay for conventional advertising in newspapers and magazines. However, there are a wide variety of marketing materials that they can use.

The trick is to market the right products and services to the right market segment using the most effective marketing distribution channels.

To current library users

- Internal signage
- Posters and flyers
- Bookmarks
- Newsletters
- Banners
- Promotional items

To non-users

- Website
- Radio PSAs
- Brochures
- Church bulletins
- Community events
- Bumper stickers

THE BEST MARKETING PRACTICES:

- Reflect research
- Support mission and vision
- Support the brand
- Maximize resources
- Are strategic
- Are targeted
- Are consistent
- Are professional, clear, and appealing
- Are measurable
- Communicate at all levels
- Are supported with quality customer service

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RELATING TO THE PUBLIC

Public Relations (PR) is the **public recognition** that an institution earns for being a respected organization that provides quality products and services. PR is also the term used to describe the **relationship between an organization and the public**. The most common mistake that libraries make is to assume that PR is a substitute for marketing. **A well-crafted and executed public relations program supports the library’s strategic and marketing plan—but never replaces it.**

Public relations is a communications tool that can **favorably influence public opinion, enhance an organization’s image and protect that image** in a moment of crisis. In a library, **PR is an integral component of advocacy.**

TRUSTEES CAN AND SHOULD SUPPORT PUBLIC RELATIONS

Trustees are library ambassadors in their communities. In this capacity, they need to:

Be well-informed about the library and its services.

Listen to hear what residents know or don’t know about the library.

Make presentations to community groups about the library.

Convey information about important issues such as budgets and construction projects.

Maintain dialogues with community leaders to evaluate their support for the library.

Identify “information gaps” about the library and help address them.

Identify themselves as library trustees and provide information about how they can be contacted.

Be vocal and visible library advocates.

ENSURING PUBLIC RELATIONS SUCCESS

AS A GROUP, LIBRARY TRUSTEES SERVING AS A BOARD HAVE A RESPONSIBILITY TO:

- Help develop a proactive PR plan (especially for crisis situations)
- Fund the PR program
- Participate in the library's public relations plan
- Evaluate the impact of PR

BAD THINGS HAPPEN TO GOOD ORGANIZATIONS!

Unfortunately, even the best-managed libraries can experience a public relations crisis. A public relations crisis is any situation that can adversely affect the library and its reputation. Most of these negative situations center on:

- Business practices and ethics
- Financial problems
- False advertising
- Disasters
- Safety, health and environmental problems
- Product and service failures
- Worker misconduct
- Legal issues
- Sex, pornography

PR TOOLS OF THE TRADE

- Press kit
- Feature stories
- Special events
- Press releases
- Public relations calendar
- Media training
- Interviews
- Presentations
- Community relations
- Government relations
- Media relations/contacts and lists
- Publicity
- Letters to the editor

WHY LIBRARIES?

Unfortunately, libraries across the state can and sometimes do become the victims of **adverse publicity**. There are a number of reasons that good people trying to do the right thing become the subject of newspaper headlines. Libraries are **highly visible public institutions**. The public has a **sense of ownership**. Libraries often lack the resources and the expertise to **cultivate the press** and **head off negative publicity**. They are challenged to serve **diverse constituencies** with widely differing agendas.

All of the **social issues** that impact the community at-large find their way into public libraries. These include:

- Mental illness
- Sexual harassment
- Discrimination
- Health and safety
- Individuals with disabilities
- Child abuse and neglect
- Homelessness
- Internet access
- Censorship
- Privacy and confidentiality
- Individual rights and freedom

AVOID A CRISIS WHENEVER POSSIBLE!

Well-managed libraries and effective library boards anticipate problems and take steps to avoid them or minimize them with:

- Written policies that meet legal standards.
- Training for staff and trustees.
- Information about issues that are causing problems in libraries.
- Proactive rather than reactive strategies.
- A crisis management plan.
- A designated spokesperson.
- Positive relationships with media.

COMPONENTS OF A CRISIS MANAGEMENT PLAN

An effective crisis management plan includes:

A team authorized to make decisions.

Guidelines for making a problem a priority.

Protocols for contacting key individuals.

Training for front line staff.

A designated spokesperson.

Procedures for producing and disseminating information.

Communication with internal and external audiences.

A checklist of questions that media will ask.

Up-to-date copies of policies.

Written policies regarding the roles of attorneys and of communications staff.

Procedures for monitoring public response to the event.

Postcrisis analysis and report.

Sample scenarios for trial runs.

THE ROLE OF THE DESIGNATED SPOKESPERSON

Unfortunately, PR situations are often made worse because the media is getting **mixed messages** and **conflicting information** from **more than one source**. This situation can be avoided if **one individual** at the library is designated to speak for the library. This individual should be **trained to manage difficult media situations**, and everyone in the library should know **who that person is** and **refer all questions and requests for information** to him/her.

Depending on the situation and the issue under discussion, the spokesperson might be the **director**, the **head of the board** or **another person from library administration** such as the **director of public or community relations**.

THE ROLE OF THE SPOKESPERSON IS TO:

- Understand crisis management.
- Control information.
- Be well versed on the problem.
- Fill in information gaps.
- Educate and translate library jargon.
- Understand how the media works.
- Know how to handle the tough questions.
- Be credible/quotable.
- Disseminate only appropriate information.
- Assure consistency.
- Assure conformance with policies and procedures.
- Provide for prompt follow-up with press.
- Inform internal stakeholders at critical points.

CRISIS MANAGEMENT 101

When trouble occurs, trustees, the director, and staff should remember:

- Never cover up a problem.
- Do nothing that will make the situation worse.
- Be open and honest.
- Admit a mistake and explain how you will fix it.
- Demonstrate concern.
- Be responsive/avoid delays.
- Crises sometimes present opportunities.

WHAT DO TRUSTEES NEED TO KNOW TO MAKE A DECISION?

As an event or crisis evolves, it is important to ask:

What happened?

What information do we have?

What information do we need?

Who has that information?

Who knows about the situation?

Who needs to know?

What are the short-term consequences?

What are the long-term implications?

RESOURCES

Henry, Rene A. *You'd Better Have a Hose if You Want to Put Out the Fire*. Gollywobbler Productions 2000.

Ihrig, Alice. *Public Relations as a Library Trustee's Responsibility, Not New—Just Different*. (ALTA Publication #10.) Chicago: American Library Association, 1990.

Yaverbaum, Eric. *Public Relations Kit for Dummies*. New York: Wiley Publishing, 2001

GOOD LIBRARIES

WE ALL WANT GOOD LIBRARIES!

It's very simple. The goal of all Pennsylvanians involved in delivering public library services is to ensure that our communities have good libraries. But what characteristics define a "good library"? How do you know a library measures up?

GIVE YOUR LIBRARY THE TEST BY ASKING:

Does my library provide easy access to a well-organized collection of materials and quality services?

Does my library satisfy state standards?

Does competent and qualified staff manage my library?

Does my library enjoy the support of its community?

Does my library understand and satisfy the needs of our community for information, recreation, and enrichment?

Is my library adjusting to the changes taking place in our community?

Does my library make maximum use of the resources that are available?

Does my library facilitate a planning process that solicits input from the community?

Does my library encourage the broadest possible use of its materials and services?

Does my library have a committed and effective board?

Is my community a better place to live and work because of my library?

LIBRARIANSHIP LAWS



FIVE NEW LAWS OF LIBRARIANSHIP

Libraries serve humanity.

Respect all forms by which knowledge is communicated.

Use technology intelligently to ensure service.

Protect free access to knowledge.

Honor the past and create the future.

LIBRARY BENEFITS



LIBRARIES ARE GOOD FOR THE COMMONWEALTH BECAUSE THEY...

Inform citizens

Break down barriers

Level the playing field

Value the individual

Nourish creativity

Open kids' minds

Return high dividends

Build communities

Make families friendlier

Offend everyone

Offer sanctuary

Preserve the past

American Libraries. December, 1995

*George M. Eberhart. The Whole Library Handbook
3. Chicago: The American Library Association, 2000.
pp. 9-11*

WOULD YOU BELIEVE?

Pennsylvanians check out an average of more than five books a year.

They spend \$23.11 a year for public library services—less than the average retail cost of one hardcover book at a bookstore.

According to “2003 Pennsylvania Library Statistics”, state-aided public libraries circulated 61,919,634 items in a one year period.

Librarians estimate that the average cost of an item that is checked out is \$15.15. *(This means that the citizens of Pennsylvania would have had to pay \$938,083,455.10—or almost one billion dollars—if they had to purchase the items that our libraries circulate!)*

99.8% of Pennsylvania public libraries provide access to the Internet. Libraries make available 6,883 Internet terminals for public use.

Public libraries outnumber McDonald’s in Pennsylvania—a total of 681, including branches.

Interlibrary loan services circulate 1,594,401 items annually—each at the request of a resident of the Commonwealth.

756,740 Pennsylvanians visit a public library during an average week. Standing single file, the line of visitors would stretch from Philadelphia to Erie.

Board Member Annual Affirmation of Service

I continue to be fully supportive of the library’s mission purpose, goals, and leadership.

I understand that board membership requires the equivalent of 6 days per year of my time, including preparation and meetings. I am able to give that time during the 12 months ahead, and I expect to attend all board and committee meetings unless I give the respective chairman advance notice of my need to be absent for good cause.

I intend to contribute financially to the work of our organization during the year and will help open doors to friends who may be interested in contributing to our work.

I will willingly avoid situations which may be judged to be a conflict of interest policy.

If anything should occur during the year that would not allow me to keep these intentions of being a positive contributor to our board, I will take the initiative to talk to the officers about a voluntary resignation to allow another to serve who is able to be fully involved.

Signed _____ **Date** _____

Non Profit Professional Liability Policy

UNITED STATES LIABILITY
INSURANCE GROUP



190 South Warner Road
Wayne, PA 19087-2191
1-800-523-5545
www.USLI.com

THIS POLICY JACKET TOGETHER WITH THE DECLARATIONS PAGE,
COVERAGE FORM AND ENDORSEMENTS, IF ANY, COMPLETE THIS POLICY.

THE ENCLOSED DECLARATIONS DESIGNATES THE ISSUING COMPANY.

USL-DOJ (4/00)

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COVERAGE PART A. NON PROFIT DIRECTORS AND OFFICERS LIABILITY

NOTICE: This is a **Claims Made** Policy. This Policy only covers those **Claims** first made against the **Insured** during the **Policy Period** or Extension Period, if purchased. **Defense Costs** shall be applied against the Retention.

In consideration of the payment of the premium and reliance upon all statements made and information furnished to the **Company**, including the statements made in the **Application** and all attachments and materials submitted therewith, and subject to all the provisions of this Policy, the **Company** agrees as follows:

I. INSURING AGREEMENT

A. The **Company** will pay on behalf of the **Insured** **Loss** excess of the Retention not exceeding the Limit of Liability for which this coverage applies that the **Insured** shall become legally obligated to pay because of **Claims** first made against the **Insured** during the **Policy Period** or during the Extension Period, if applicable, for **Wrongful Acts** arising solely out of an **Insured's** duties on behalf of the **Organization**.

B. The **Company** has the right and duty to defend any **Claim** to which this insurance applies, even if the allegations of the **Claim** are groundless, false, or fraudulent. The **Company** may investigate any **Claim** and settle any **Claim** with the **Insured's** consent as the **Company** deems expedient, but the **Company** is not obligated to pay any **Loss** or defend any **Claim** after the Limit of Liability has been exhausted by payments of **Loss**.

II. FULL PRIOR ACTS COVERAGE PROVISION

Coverage shall apply to any **Claim** first made against the **Insured** for **Wrongful Acts** arising solely out of an **Insured's** duties on behalf of the **Organization** committed prior to the expiration date of this Policy, provided that the **Claim** is first made during the **Policy Period**, or the Extension Period, if applicable, and written notice of said **Claim** is reported to the **Company** as soon as practicable. There shall be no coverage for any **Claim** reported to the **Company** later than 60 days after the end of the **Policy Period** or after the expiration of the Extension Period, if applicable.

However, coverage shall not apply to any **Claim** based upon or arising out of any **Wrongful Act** or circumstance likely to give rise to a **Claim** of which any **Insured** had knowledge, or otherwise had a reasonable basis to anticipate might result in a **Claim**, prior to the earlier of:

A. the inception date of this Policy; or

B. the inception date of the first Policy of this type the **Company** has issued to the **Parent Organization**, provided that the **Company** has written continuous coverage for the **Parent Organization** from such date to the inception date of this Policy.

III. DEFINITIONS

A. "**Application**" means:

- (1) the Application for this Policy, a copy of which is attached hereto; and
- (2) the Application(s), including any material herewith, for all previous policies issued by the **Company** providing continuous coverage until the inception date of this Policy together with any material submitted with the Application for this Policy, all of which shall be retained on file and deemed a part of this Policy as if physically attached hereto.

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B. “**Claim**” means:

- (1) any written notice received by any **Insured** that any person or entity intends to hold such **Insured** responsible for a **Wrongful Act**, or
- (2) any judicial or administrative proceeding initiated against any **Insured** seeking to hold such **Insured** responsible for a **Wrongful Act**, including any appeal therefrom.

A **Claim** shall be considered first made when an **Insured** or its legal representative or agent first receives notice of the **Claim**.

C. “**Company**” means the insurer identified in the Declarations.

D. “**Defense Costs**” means reasonable and necessary legal fees and expenses incurred by the **Company**, or by any attorney designated by the **Company** to defend the **Insureds**, resulting from the investigation, adjustment, defense and appeal of a **Claim**. **Defense Costs** include fees, costs, costs of attachment or similar bonds (but without any obligation on the part of the **Company** to apply for or furnish such bonds), but does not include salaries, wages, overhead or benefits expenses of any **Insured**.

E. “**Employee**” means any person whose labor or service is engaged by and directed by the **Organization** and includes leased, part-time, seasonal and temporary employees, and volunteers. An **Employee**’s status as an **Insured** will be determined as of the date of the **Wrongful Act** that results in a **Claim**.

F. “**Individual Insureds**” means any persons who were, now are, or shall be directors, trustees, officers, employees, volunteers or committee members of the **Organization**, including their estates, heirs, legal representatives or assigns in the event of their death, incapacity or bankruptcy.

G. “**Insured(s)**” means the **Organization** and the **Individual Insureds**.

H. “**Loss**” means damages and settlements, but does not include fines, penalties imposed by law, sanctions, taxes, the multiplied portion of any multiple damage award, and matters deemed uninsurable under the law pursuant to which this Policy shall be construed. This definition does not exclude punitive damages unless such damages are uninsurable under applicable law.

I. “**Organization**” means:

- (1) the **Parent Organization**; and
- (2) any **Subsidiary** of the **Parent Organization**.

J. “**Parent Organization**” means the entity named in Item 1. of the Declarations.

K. “**Policy Period**” means the period from the effective date of this Policy to the Policy expiration date set forth in the Declarations, or its earlier cancellation or termination date, if any.

L. “**Subsidiary**” means any nonprofit entity, association or corporation of which the **Parent Organization** owns more than 50% of the voting stock, or in cases where no stock has been issued, controls such **Subsidiary** at the time of Policy inception, and shall be limited to any **Subsidiary** identified as such in the **Application**.

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After the Inception Date of this Policy, **Subsidiary** shall also include any non profit entity whose assets total less than 25% of the total consolidated assets of the **Parent Organization** as of the inception date of this Policy, and which becomes a **Subsidiary** during the **Policy Period**. The **Parent Organization** shall provide the **Company** with full particulars of the new **Subsidiary** as soon as practicable, but no later than the expiration of this Policy.

An entity which becomes a **Subsidiary** during the **Policy Period** whose assets total 25% or more of the total consolidated assets of the **Parent Organization** as of the inception date of this Policy shall be covered as a **Subsidiary** only if:

- (1) the **Parent Organization** provides written notice to the **Company** of such **Subsidiary** as soon as practicable, but within 60 days of the entity becoming a **Subsidiary**;
- (2) the **Parent Organization** provides the **Company** with such information as the **Company** may deem necessary;
- (3) the **Parent Organization** accepts any special terms, conditions, exclusions or additional premium charge as may be required; and
- (4) the **Company**, at its sole discretion, agrees to provide such coverage.

A **Subsidiary** which is sold or dissolved:

- (1) after the inception date of this Policy and which was an **Insured** under this Policy; or
- (2) prior to the inception date of this Policy and which was an **Insured** under a prior Policy issued by the **Company**;

shall continue to be an **Insured**, but only with respect to **Claims** first made during the **Policy Period** or Extension Period, if applicable, arising out of **Wrongful Acts** committed or allegedly committed during the time that the entity was a **Subsidiary** of the **Parent Organization**.

M. "**Wrongful Act**" means any actual or alleged act, error, omission, misstatement, misleading statement, neglect or breach of duties:

- (1) by the **Organization** or by the **Individual Insureds** arising solely from their capacity with the **Organization**; or
- (2) asserted against the **Individual Insureds** because of their status as such.

It is further agreed that the same **Wrongful Act**, and interrelated series of **Wrongful Acts** or a series of similar or related **Wrongful Acts** by one or more **Insureds** shall be deemed to be one **Wrongful Act** and to have commenced at the time of the earliest **Wrongful Act**.

IV. EXCLUSIONS

The **Company** shall not be liable to make payment for **Loss** or **Defense Costs** in connection with any **Claim** made against any **Insured** arising out of, directly or indirectly resulting from or in consequence of, or in any way involving:

A. any actual or alleged bodily injury, sickness, humiliation, mental anguish, emotional distress, assault, battery, disease or death of any person, or damage to or destruction of any tangible property including any resulting loss of use; provided that this exclusion shall not apply to **Claims** for libel, slander or

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defamation that result from a Wrongful Act. However, coverage afforded for libel, slander or defamation shall be excess of the **Insured's** General Liability Policy;

B. brought about or contributed to in fact by any dishonest, fraudulent or criminal **Wrongful Act** or by any **Wrongful Act** committed with intent to cause damage;

C. any of the **Insureds** gaining in fact any profit, remuneration or advantage to which such **Insured** was not legally entitled;

D. the actual, alleged or threatened discharge, dispersal, release or escape of smoke, vapors, soot, fumes, acids, alkalis, toxic chemicals, liquids or gases, noise, waste materials, or other irritants, contaminants or pollutants into or upon land, the atmosphere or any water course or body of water, whether or not such actual, alleged or threatened discharge, dispersal, release or escape is sudden, accidental or gradual in nature, or any cost or expense arising out of any request, demand, or order that any **Insured** or others test for, monitor, clean up, remove, contain, treat, detoxify or neutralize any pollutants;

E. any radioactive, toxic or explosive properties of nuclear material which includes, but is not limited to, source material, "special nuclear material", and "by product material" as those terms are defined in the Atomic Energy Act of 1954 and any amendments thereto and any similar provisions by any federal, state or local statutory or common law;

F. that portion of any **Claim**, demand or action seeking relief or redress in any form other than money damages provided that this exclusion will not apply to **Defense Costs** for such a **Claim**;

G. any pension, profit sharing, welfare benefit or other employee benefit program established in whole or part for the benefit of any **Individual Insured**, or based upon, arising out of or in any way involving the Employee Retirement Income Security Act of 1974 (or any amendments thereof or regulations promulgated thereunder) or similar provisions of any federal, state or local statutory law or common law.

H. any **Claim** by, at the behest of, or on behalf of the **Organization** and/or any **Individual Insured**; provided that this Exclusion shall not apply to:

(1) any derivative action on behalf of, or in the name or right of the **Organization**, if such action is brought and maintained totally independent of, and without the solicitation, assistance, participation or intervention of, any of the **Insureds**; or

(2) a **Claim** that is brought and maintained by or on behalf of any **Individual Insured** for contribution or indemnity which is part of or results directly from a **Claim** which is otherwise covered by the terms of this Policy;

I. any actual or alleged: refusal to employ; termination of employment; employment related coercion, demotion, evaluation, reassignment, discipline, workplace conditions, false imprisonment, defamation, harassment, humiliation, or discrimination of employment; other employment-related practices, policies, acts or omissions; or discrimination or sexual harassment by an **Insured** against any person(s) or entity; or negligence involving any of the foregoing;

it being understood that this Exclusion applies whether the **Insured** may be held liable as an employer or in any other capacity and to any obligation to contribute with or indemnify another with respect to such **Claim**;

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J. any actual or alleged breach of contract;

K. any pending or prior litigation, administrative or regulatory proceeding, claim, demand, arbitration, decree, or judgment of which an **Insured** had written notice before the inception date of this Policy; or any fact, circumstance, event, situation, or **Wrongful Act** which before the inception date of this Policy was the subject of any notice under any other similar policy of insurance; or any future **Claims** or litigation based upon the pending or prior litigation or derived from the same or essentially the same facts, actual or alleged;

provided that, if this Policy is a renewal of a policy or policies previously issued by the **Company** and if the coverage provided by the **Company** was continuous from the inception date of the first such other policy to the inception date of this Policy, the reference in this exclusion will mean the inception date of the first Policy under which the **Company** began to provide continuous coverage to the **Insured**;

L. the rendering or failure to render medical, psychological or counseling services or referrals

M. any **Claim** against any **Subsidiary** or its Insured Persons for any **Wrongful Act** occurring prior to the date that such entity became a **Subsidiary** or any **Wrongful Act** occurring at any time that such entity is not a **Subsidiary**; or

N. the portion of any **Claim** covered under any other Coverage Part of this Policy.

No **Wrongful Act** of any **Individual Insured** nor any fact pertaining to any **Insured** shall be imputed to any other **Individual Insured** for purposes of determining the applicability of exclusions B. and C.

V. LIMITS OF LIABILITY AND RETENTION

Regardless of the number of **Insureds** under this Policy, **Claims** made or brought on account of **Wrongful Acts** or otherwise, the **Company's** liability is limited as follows:

A. the Limit of Liability specified in the Declarations as annual aggregate shall be the maximum liability for **Loss** from all **Claims** to which this Coverage Part applies;

B. the Limit of Liability specified in the Declarations as the Limit for each **Claim** shall be the maximum liability for **Loss** for each **Claim** to which this Coverage Part applies;

C. **Defense Costs** shall be in addition to the Limit of Liability as shown in the Declarations, except for when Item G. below applies;

D. subject to the Limits of Liability provisions stated above, the **Company** shall be liable to pay only **Loss** in excess of the Retention specified in the Declarations hereof as respects each and every **Claim** to which the Coverage Part applies.

E. the **Company** shall have no obligation to pay any part or all of the Retention specified in the Declarations for any **Claim** on behalf of any **Insured**. If the **Company**, at its sole discretion, elects to pay any part or all of the Retention, the **Insureds** agree to repay such amounts to the **Company** upon demand;

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F. the Retention shall not apply to **Loss** paid to or on behalf of an **Individual Insured** when the **Organization** has not paid **Loss** to or on behalf of an **Individual Insured** as indemnification subject to the terms and conditions of Section VIII. Presumption of Indemnification/ Deletion of Retention;

G. the Limit of Liability for the Extension Period, if applicable, shall be a part of and not in addition to the limit specified in the Declarations;

H. **Claims** based upon or arising out of the same **Wrongful Act**, interrelated **Wrongful Acts**, or a series of similar or related **Wrongful Acts** shall be considered a single **Claim** and shall be considered first made during the **Policy Period** or Extension Period, if applicable, in which the earliest **Claim** arising out of such **Wrongful Act(s)** was first made and all **Defense Costs** and **Loss** for such **Claims** shall be subject to the one Limit of Liability that applies to such earliest **Claim**;

I. the Limit of Liability for this Coverage Part shall apply separately to each consecutive annual period starting with the beginning of the **Policy Period** shown in the Declarations. If this Policy is issued for a period of more than twelve (12) months but less than twenty four (24) months or if the **Policy Period** is extended after issuance, the additional period will be deemed part of the last preceding annual period for the purposes of determining the Limit of Liability.

VI. UNLIMITED REPORTING PERIOD FOR FORMER DIRECTORS AND OFFICERS

If the **Parent Organization** shall cancel or non-renew this Policy for a reason other than being sold, acquired or bankrupt, each Director or Officer that was an **Insured**, but who did not serve as a Director or Officer at the time of the cancellation or non-renewal, shall be provided an unlimited extension of coverage granted by this Policy to report any **Claim(s)** first made against the Director or Officer after the date of such cancellation or non-renewal.

However, this extension of coverage shall only be afforded in the event that the **Wrongful Act** was committed before the date of cancellation or non-renewal, and no Directors and Officers Liability policy, or policy providing essentially the same type of coverage, or extension period, is in effect at the time the **Claim** is made.

VII. EXTENSION PERIOD

A. If the Company or the **Parent Organization** declines to renew or non-renews this Policy or if the **Parent Organization** cancels this Policy for reason other than non payment of premium, the **Parent Organization** shall have the right to purchase an extension of coverage granted by this Policy to report any **Claim(s)** first made against the **Insured** during the twelve (12) months, or twenty-four (24) months or thirty-six (36) months after the date of such cancellation or non-renewal (depending upon the Extension Period purchased), but only in respect of any **Wrongful Act** committed before the date of such cancellation or non-renewal.

The additional premium for the Extension Period shall be 30% of the annual premium set forth in the Declarations for the twelve (12) month period, 75% of the annual premium set forth in the Declarations for the twenty-four (24) month period, and 120% of the annual premium set forth in the Declarations for the thirty-six (36) month period. The Extension Period begins on the termination date of the Policy. The **Parent Organization** must notify the **Company** in writing and must pay the additional premium set forth above no later than thirty (30) days after the effective date of such cancellation or non-renewal.

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B. All premium paid with respect to an Extension Period shall be deemed fully earned as of the first day of the Extension Period. For the purpose of this clause, any change in premium terms or terms on renewal shall not constitute a refusal to renew.

C. The Limits of Liability available during the Extension Period shall not exceed the balance of the Limits of Liability in effect at the time the Policy is terminated.

D. Coverage for **Claim(s)** first received and reported during the Extension Period shall be in excess over any other valid and collectible insurance providing substantially the same coverage as this Policy.

VIII. PRESUMPTION OF INDEMNIFICATION / DELETION OF RETENTION

Regardless of whether **Loss** resulting from any **Claim** against an **Individual Insured** is actually indemnified, the Retention set forth in the Declarations shall apply to any **Loss** if indemnification by the **Organization** is legally permissible. The certificate of incorporation, charter, articles of association or other organizational documents of the **Organization**, including bylaws and resolutions, will be deemed to have been adopted or amended to provide indemnification to the **Individual Insured** to the fullest extent permitted by law.

However, if and **Individual Insured** is not indemnified for **Loss** solely by reason of the **Organization's** financial insolvency or because indemnification is not legally permissible, an **Individual Insured's** Retention as stated on the Declarations for Coverage Part A. Non Profit Directors and Officers Liability, shall be amended to \$0. This change in Retention shall not affect any other terms or conditions of this Policy.

IX. SPOUSAL EXTENSION

If a **Claim** against an **Individual Insured** includes a **Claim** against the lawful spouse of such **Individual Insured** solely by reason of (1) such spousal status, or (2) such spouse's ownership interest in property or assets that are sought as recovery for **Wrongful Acts**, any **Loss** which such spouse becomes legally obligated to pay on account of such **Claim** shall be deemed **Loss** which the **Individual Insured** becomes legally obligated to pay as a result of the **Claim**.

All definitions, exclusions, terms and conditions of this Policy, including the Retention, applicable to any **Claim** against or **Loss** sustained by such **Individual Insured** shall also apply to such spousal **Claim** or **Loss**.

The extension of coverage afforded by this Section IX, shall not apply to the extent the **Claim** alleges any wrongful act, error, omission, misstatement, misleading statement or neglect or breach of duties by such spouse.

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COVERAGE PART B. EMPLOYMENT PRACTICES LIABILITY

NOTICE: This is a **Claims Made** Policy. This Policy only covers those **Claims** first made against the **Insured** during the **Policy Period** or Extension Period, if purchased. **Defense costs** shall be applied against the Retention.

In consideration of the payment of the premium and reliance upon all statements made and information furnished to the **Company**, including the statements made in the **Application** and all attachments and materials submitted therewith, and subject to all the provisions of this Policy, the **Company** agrees as follows:

I. INSURING AGREEMENT

A. The **Company** will pay on behalf of the **Insured Loss** excess of the Retention not exceeding the Limit of Liability for which this coverage applies that the **Insured** shall become legally obligated to pay because of **Claims** first made against the **Insured** during the **Policy Period** or during any Extension Period, if applicable, for **Wrongful Employment Acts** arising solely out of an **Insured's** duties on behalf of the **Organization**.

B. The **Company** has the right and duty to defend any **Claim** to which this insurance applies, even if the allegations of the **Claim** are groundless, false, or fraudulent. The **Company** may investigate any **Claim** and settle any **Claim** with the **Insured's** consent as the **Company** deems expedient, but the **Company** is not obligated to pay any **Loss** or defend any **Claim** after the Limit of Liability has been exhausted by payments of **Loss**.

II. FULL PRIOR ACTS COVERAGE PROVISION

Coverage shall apply to any **Claim** first made against the **Insured** for **Wrongful Employment Acts** arising solely out of an **Insured's** duties on behalf of the **Organization** committed prior to the expiration date of this Policy, provided that the **Claim** is first made during the **Policy Period**, or the Extension Period, if applicable, and written notice of said **Claim** is reported to the **Company** as soon as practicable. There shall be no coverage for any **Claim** reported to the **Company** later than sixty (60) days after the end of the **Policy Period** or after the expiration of the Extension Period, if applicable.

However, coverage shall not apply to any **Claim** based upon or arising out of any **Wrongful Employment Act** or circumstance likely to give rise to a **Claim** of which any **Insured** had knowledge or otherwise had a reasonable basis to anticipate might result in a **Claim**, prior to the earlier of:

A. the inception date of this Policy; or

B. the inception date of the first Policy of this type the **Company** has issued to the **Parent Organization**, provided that the **Company** has written continuous coverage for the **Parent Organization** from such date to the inception date of this Policy.

III. DEFINITIONS

A. "**Application**" means:

(1) the Application for this Policy, a copy of which is attached hereto; and

(2) the Application(s), including any material herewith, for all previous policies issued by the **Company** providing continuous coverage until the inception date of this Policy together with any material

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submitted with the Application for this Policy, all of which shall be retained on file and deemed a part of this Policy as if physically attached hereto.

B. "Claim" means:

- (1) any written notice received by any **Insured** that any person or entity intends to hold such **Insured** responsible for a **Wrongful Employment Act**, or
- (2) any judicial or administrative proceeding initiated against any **Insured** seeking to hold such **Insured** responsible for a **Wrongful Employment Act**, including any proceeding conducted by the Equal Employment Opportunity Commission or similar federal, state or local agency and any appeal therefrom.

A **Claim** shall be considered first made when an **Insured** or its legal representative or agent first receives notice of a **Claim**.

C. "Company" means the insurer identified in the Declarations.

D. "Defense costs" means reasonable and necessary legal fees and expenses incurred by the Company, or any attorney designated by the Company to defend the Insureds, resulting from the investigation, adjustment, defense and appeal of a Claim. Defense Costs include other fees, costs, costs of attachment or similar bonds (without any obligation on the part of the Company to apply for or furnish such bonds,) but does not mean salaries, wages, overhead or benefits expenses of any Insured.

E. "Discrimination" means:

- (1) the termination of an employment relationship;
- (2) a demotion or failure to hire or promote any individual; or
- (3) any other limitation or classification of an **Employee** or applicant for employment which would deprive any individual of employment opportunities or adversely affect any individual's status as an **Employee**;

because of race, color, religion, age, sex, disability, pregnancy, national origin, marital status, sexual orientation or other protected class or characteristic established under applicable federal, state, or local statute or ordinance, regulation or order.

F. "Employee" means any person whose labor or service is engaged by and directed by the Organization and includes leased, part-time, seasonal and temporary workers and volunteers. An Employee's status as an Insured will be determined as of the date of the Wrongful Employment Act which results in the Claim.

G. "Harassment" means:

- (1) sexual harassment including unwelcome sexual advances, requests for sexual favors or other verbal or physical conduct of a sexual nature that are made a condition of employment, are used as a basis for employment decisions, or create a work environment that is hostile, intimidating or offensive or that otherwise interferes with performance; or
- (2) other workplace harassment which creates a work environment that is hostile, intimidating or offensive or that otherwise interferes with performance.

H. "Individual Insureds" means any persons who were, now are, or shall be directors, trustees, officers, employees, volunteers or committee members of the Organization, including their estates, heirs, legal representatives or assigns in the event of their death, incapacity or bankruptcy.

I. "Insured(s)" means the **Organization** and the **Individual Insureds**.

J. "Loss" means damages and settlements, but does not include fines, penalties imposed by law, sanctions, taxes and matters deemed uninsurable under the law pursuant to which this Policy shall be construed. This definition does not exclude punitive damages or exemplary damages or the multiplied portion of any multiple damage award unless such damages are uninsurable under applicable law.

K. "Organization" means:

- (1) the **Parent Organization**; and
- (2) any **Subsidiary** of the **Parent Organization**.

L. "Parent Organization" means the entity named in Item 1. of the Declarations.

M. "Policy Period" means the period from the effective date of this Policy to the Policy expiration date set forth in the Declarations, or its earlier cancellation or termination date, if any.

N. "Retaliation" means any actual or alleged retaliatory treatment against an **Employee** because of:

- (1) the exercise of or attempt to exercise an **Employee's** rights under law;
- (2) an **Employee's** disclosure of or threat to disclose to a governmental agency or superior acts of actual or alleged wrongdoing by any Insured;
- (3) the filing of any claim under any federal, state or local "whistle-blower" law including the Federal False Claims Act; or
- (4) **Employee** strikes or slowdowns.

O. "Subsidiary" means any nonprofit entity, association or corporation, of which the **Parent Organization** owns more than 50% of the voting stock, or in cases where no stock has been issued, controls such **Subsidiary** at the time of Policy inception, and shall be limited to any **Subsidiary** identified as such in the **Application**.

After the Inception Date of this Policy, **Subsidiary** shall also include any non profit entity whose assets total less than 25% of the total consolidated assets of the **Parent Organization** as of the inception date of this Policy, and which becomes a **Subsidiary** during the **Policy Period**. The **Parent Organization** shall provide the **Company** with full particulars of the new **Subsidiary** as soon as practicable, but no later than the expiration of this Policy.

An entity which becomes a **Subsidiary** during the **Policy Period** whose assets total 25% or more of the total consolidated assets of the **Parent Organization** as of the inception date of this Policy shall be covered as a **Subsidiary** only if:

- (1) the **Parent Organization** provides written notice to the **Company** of such **Subsidiary** as soon as practicable, but within 60 days of the entity becoming a **Subsidiary**;
- (2) the **Parent Organization** provides the **Company** with such information as the **Company** may deem necessary;
- (3) the **Parent Organization** accepts any special terms, conditions, exclusions or additional premium charge as may be required; and
- (4) the **Company**, at its sole discretion, agrees to provide such coverage.

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A **Subsidiary** which is sold or dissolved:

- (1) after the inception date of this Policy and which was an **Insured** under this Policy; or
- (2) prior to the inception date of this Policy and which was an **Insured** under a prior Policy issued by the **Company**;

shall continue to be an **Insured**, but only with respect to **Claims** first made during the **Policy Period** or Extension Period, if applicable, arising out of **Wrongful Acts** committed or allegedly committed during the time that the entity was a **Subsidiary of the Parent Organization**.

P. "**Third Party**" means any person(s) with whom an **Insured** in their capacity as such interacts

Q. "**Third Party Discrimination**" means discrimination by an **Insured** in their capacity as such against a **Third Party** based upon such **Third Party's** race, religion, age, sex, disability, national origin, sexual orientation or other protected class or characteristic established under applicable federal, state or local statute or ordinance.

R. "**Third Party Sexual Harassment**" means any unwelcome sexual advances, requests for sexual favors or other verbal or physical conduct of a sexual nature that is made by an **Insured** in their capacity as such against a **Third Party**.

S. "**Wrongful employment act**" means any actual or alleged act of:

- (1) **Discrimination**;
- (2) **Harassment**;
- (3) **Retaliation**;
- (4) **Wrongful Termination**;
- (5) employment related misrepresentation
- (6) negligent evaluation, training or supervision of **Employees**;
- (7) failure to enforce adequate policies and procedures relating to any **Wrongful Employment Act**;
- (8) wrongful discipline
- (9) wrongful deprivation of career opportunity
- (10) negligent violation of the Family Leave Act of 1993;
- (11) acts described in clauses (1) through (10) above arising from the use of the **Organization's** Internet, e-mail, telecommunication or similar systems, including the failure to provide and enforce adequate policies and procedures relating to such use of the **Organization's** Internet, e-mail, telecommunication or similar systems;

committed or allegedly committed by the **Organization** or by an **Individual Insured** acting solely within his/her capacity as such involving any **Employee**, former **Employee** or applicant for employment with the **Organization**; or asserted against any **Insured** because of his/her status as such.

Wrongful Employment Act shall also include any actual or alleged act of:

- (12) **Third Party Discrimination**
- (13) **Third Party Sexual Harassment**

It is further agreed that the same **Wrongful Employment Act**, and interrelated series of **Wrongful Employment Acts** or a series of similar or related **Wrongful Employment Acts** by one or more

Insured shall be deemed to be one **Wrongful Employment Act** and to have commenced at the time of the earliest **Wrongful Employment Act**.

T. "**Wrongful Termination**" means the actual or constructive termination of an employment relationship or the demotion of or the failure to promote any **Employee** in a manner which is illegal and wrongful or in breach of an implied agreement to continue employment. **Wrongful Termination** shall not include a termination which is or is alleged to be in breach or violation of an express contract of employment or an express obligation to make payments in the event of the termination of employment.

IV. EXCLUSIONS

The **Company** shall not be liable to make payment for **Loss** or **Defense costs** in connection with any **Claim** made against any **Insured** arising out of, directly or indirectly resulting from or in consequence of or in any way involving:

A. any actual or alleged bodily injury, sickness, disease or death of any person, or damage to or destruction of any tangible property including any resulting loss of use; provided that this exclusion shall not apply to **Claims** for mental anguish, emotional distress, invasion of privacy, or humiliation, libel, slander or defamation that result from a **Wrongful Employment Act**;

B. conduct of the **Insured** or at the **Insured's** direction that is fraudulent, dishonest or criminal provided that this exclusion will not apply to: (1) **Defense Costs** incurred until such conduct is proven in fact to be fraudulent, dishonest or criminal; or (2) to the strictly vicarious liability of any **Insured** for the fraudulent, dishonest or criminal conduct of another **Insured**;

C. any pension, profit sharing, welfare benefit or other employee benefit program established in whole or in part for the benefit of any **Individual Insured**, or based upon, arising out of or in any way involving the Employee Retirement Income Security Act of 1974 (or any amendments thereof or regulations promulgated thereunder) or similar provisions of any federal, state or local statutory law or common law;

D. any obligation under a worker's compensation, disability benefits, insurance benefits or unemployment compensation law, or any similar law; provided this exclusion will not apply to any **Claim** for actual or alleged **Retaliation**;

E. any pending or prior litigation or administrative or regulatory proceeding of which an **Insured** had written notice before the inception date of this Policy; any fact, circumstance, event, situation, or **Wrongful Employment Act** which before the inception date of this Policy was the subject of any notice under any other similar policy of insurance; or any future **Claims** or litigation based upon the pending or prior litigation or derived from the same or essentially the same facts, actual or alleged;

provided that, if this Policy is a renewal of a policy or policies previously issued by the **Company** and if the coverage provided by the **Company** was continuous from the inception date of the first such other policy to the inception date of this Policy, the reference in this Exclusion will mean the inception date of the first Policy under which the **Company** began to provide continuous coverage to the **Insured**;

F. any liability or costs incurred by any **Insured** to modify any buildings or property in order to make said building or property more accessible to provide continuous coverage to the **Insured**;

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G. any lockout, strike, picket line, replacement of worker(s) or other similar actions resulting from labor disputes or labor negotiations; provided that this Exclusion will not apply to a **Claim** for actual or alleged **Retaliation**;

H. any **Claim** against any **Subsidiary** or its Insured Persons for any **Wrongful Act** occurring prior to the date that such entity became a **Subsidiary** or any **Wrongful Act** occurring at any time that such entity is not a **Subsidiary**; or

I. the National Labor Relations Act, Labor Management Relations Act and amendments thereto, or any similar state, federal, or local law; provided that this Exclusion will not apply to a **Claim** for actual or alleged **Retaliation**;

J. the portion of any **Claim** covered under any other Coverage Part of this Policy; or

K. any **Insured's** actual or alleged liability for damages under any express contract or agreement; provided that this exclusion does not apply to liability for a **Wrongful Employment Act** which an **Insured** would have in the absence of the contract or agreement.

V. LIMITS OF LIABILITY AND RETENTION

Regardless of the number of **Insureds** under this Policy, **Claims** made or brought on account of **Wrongful Acts** or otherwise, the **Company's** liability is limited as follows:

A. the Limit of Liability specified in the Declarations hereof as annual aggregate shall be the maximum liability for **Loss** from all **Claims** to which this Coverage Part applies;

B. the Limit of Liability specified in the Declarations as the Limit for each **Claim** shall be the maximum liability for **Loss** for each **Claim** to which this Coverage Part applies;

C. **Defense costs** shall be in addition to the Limit of Liability as shown in the Declarations, except for when Item F. below applies;

D. subject to the Limits of Liability provisions stated above, the **Company** shall be liable to pay only **Loss** in excess of the Retention specified in the Declarations hereof as respects each and every **Claim** to which this Coverage Part applies.

E. the **Company** shall have no obligation to pay any part or all of the Retention specified in the Declarations for any **Claim** on behalf of any **Insured**. If the **Company**, at its sole discretion, elects to pay any part or all of the Retention, the **Insureds** agree to repay such amounts to the **Company** upon demand;

F. the Limit of Liability for the Extension Period, if applicable, shall be a part of and not in addition to the limit specified in the Declarations;

G. **Claims** based upon or arising out of the same **Wrongful Employment Act**, interrelated **Wrongful Employment Acts**, or a series of similar or related **Wrongful Employment Acts** shall be considered a single **Claim** and shall be considered first made during the **Policy Period** or Extension Period in which the earliest **Claim** arising out of such **Wrongful Employment Act(s)** was first made and all **Defense costs** and **Loss** for such **Claims** shall be subject to the one Limit of Liability that applies to such earliest **Claim**;

H. the Limit of Liability for this Coverage Part shall apply separately to each consecutive annual period starting with the beginning of the **Policy Period** shown in the Declarations. If this Policy is issued for a period of more than twelve (12) months but less than twenty four (24) months or if the **Policy Period** is extended after issuance, the additional period will be deemed part of the last preceding annual period for the purposes of determining the Limit of Liability.

VI. UNLIMITED REPORTING PERIOD FOR FORMER DIRECTORS AND OFFICERS

If the **Parent Organization** shall cancel or non-renew this Policy, each Director or Officer that was an **Insured**, but who did not serve as a Director or Officer at the time of the cancellation or non-renewal, shall be provided an unlimited extension of coverage granted by this Policy to report any **Claim(s)** first made against the Director or Officer after the date of such cancellation or non-renewal.

However, this extension of coverage shall only be afforded in the event that the **Wrongful Employment Act** was committed before the date of cancellation or non-renewal, and no Directors and Officers Liability policy (or policy providing essentially the same type of coverage) or extension period is in effect at the time the **Claim** is made.

VII. EXTENSION PERIOD

A. If the **Company** or the **Parent Organization** declines to renew or non-renew this Policy or if the **Parent Organization** cancels this Policy for reason other than non payment of premium, the **Parent Organization** shall have the right to purchase an extension of coverage granted by this Policy to report any **Claim(s)** first made against the **Insured** during the twelve (12) months, or twenty-four (24) months or thirty-six (36) months after the date of such cancellation or non-renewal (dependent upon the number of months the Extension Period is purchased), but only in respect of any **Wrongful Employment Act** committed before the date of such cancellation or non-renewal.

The additional premium for the Extension Period shall be 30% of the annual premium set forth in the Declarations for the twelve (12) month period, 75% of the annual premium set forth in the Declarations for the twenty-four (24) month period, and 120% of the annual premium set forth in the Declarations for the thirty-six (36) month period. The number of months purchased for the Extension Period shall start on the termination date of the Policy. The **Parent Organization** must notify the **Company** in writing and must pay the additional premium set forth above no later than thirty (30) days after the effective date of such cancellation or non-renewal.

B. All premium paid with respect to an Extension Period shall be deemed fully earned as of the first day of the Extension Period. For the purpose of this clause, any change in premium terms or terms on renewal shall not constitute a refusal to renew.

C. The Limits of Liability available during the Extension Period shall not exceed the balance of the Limits of Liability in effect at the time the Policy is terminated.

D. Coverage for **Claim(s)** first received and reported during the Extension Period shall be in excess over any other valid and collectible insurance providing substantially the same coverage as this Policy.

VIII. SPOUSAL EXTENSION

If a **Claim** against an **Individual Insured** includes a **Claim** against the lawful spouse of such **Individual Insured** solely by reason of (a) such spousal status, or (b) such spouse's ownership interest in property or assets that are sought as recovery for **Wrongful Employment Acts**, any **Loss** which such spouse

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becomes legally obligated to pay on account of such **Claim** shall be deemed **Loss** which the **Individual Insured** becomes legally obligated to pay as a result of the **Claim**.

All definitions, exclusions, terms and conditions of this Policy, including the Retention, applicable to any **Claim** against or **Loss** sustained by such **Individual Insured** shall also apply to such spousal **Claim** or **Loss**.

The extension of coverage afforded by this Section VIII. shall not apply to the extent the **Claim** alleges any wrongful act, error, omission, misstatement, misleading statement or neglect or breach of duties by such spouse.

Library Bill Of Rights

The American Library Association affirms that all libraries are forums for information and ideas, and that the following basic policies should guide their services.

1. Books and other library resources should be provided for the interest, information and enlightenment of all people in the community the library serves. Materials should not be excluded because of the origin, background or views of those contributing to their creation.
2. Libraries should provide materials and information presenting all points of view on current and historical issues. Materials should not be proscribed or removed because of partisan or doctrinal disapproval.
3. Libraries could challenge censorship in the fulfillment of their responsibility to provide information and enlightenment.
4. Libraries could cooperate with all persons and groups concerned with resisting abridgement of free expression and free access to ideas.
5. A person's right to use a library should not be denied or abridged because of origin, age, background or views.
6. Libraries which make exhibit spaces and meeting rooms available to the public they serve should make such facilities available on an equitable basis, regardless of the beliefs or affiliations of individuals or groups requesting their use.

Adopted June 18, 1948.

Amended February 2, 1961, June 27, 1967, and January 23, 1980,
Inclusion of "age" reaffirmed January 23, 1996
by the ALA Council.

The Freedom To Read

A joint statement by the American Library Association and the Association of American Publishers originally issued in May of 1953, revised in January 1972, January 16, 1991 and July 12, 2000.

(The complete text is available from ALA, 50 E. Huron St., Chicago, IL 60611, or the Association of American Publishers, Inc., 1 Park Ave., New York, NY 10016.)

1. It is in the public interest for publishers and librarians to make available the widest diversity of views and expressions, including those which are unorthodox or unpopular with the majority.
2. Publishers, librarians and book sellers do not need to endorse every idea or presentation contained in the books they make available. It would conflict with the public interest for them to establish their own political, moral or aesthetic views as a standard for determining what books should be published or circulated.
3. It is contrary to the public interest for publishers or librarians to determine the acceptability of a book on the basis of the personal history or political affiliations of the author.
4. There is no place in our society for efforts to coerce the taste of others, to confine adults to the reading matter deemed suitable for adolescents or to inhibit the efforts of writers to achieve artistic expression.
5. It is not in the public interest to force a reader to accept with any book the prejudgment of a label characterizing the book or author as subversive or dangerous.
6. It is the responsibility of publishers and librarians, as guardians of the people's freedom to read, to contest encroachments upon that freedom by individuals or groups seeking to impose their own standards or tastes upon the community at large.
7. It is the responsibility of publishers and librarians to give full meaning to the freedom to read by providing books that enrich the quality and diversity of thought and expression. By the exercise of this affirmative responsibility, bookmen can demonstrate that the answer to a "bad" book is a good one; the answer to a "bad" idea is a good one.

NOTE: "Books" as used in this statement include all kinds of materials acquired for library use.

THE U.S.A. PATRIOT ACT

On October 26, 2001, President Bush signed the U.S.A. PATRIOT Act into law. This act expands both domestic law enforcement and international intelligence agencies' investigative and surveillance powers. The Patriot Act amended over 15 federal statutes to include the laws that govern criminal procedure, wiretapping, computer fraud and abuse, immigration and the laws governing privacy of students' records. The FBI and law enforcement agencies now have expanded powers to access educational, business, library and medical records (also stored electronic data).

This act allows an FBI agent to present a search warrant for "any tangible thing" to include books, papers, floppy disks, computers with hard drives, circulation, Internet use, and registration records. The agent does not have to demonstrate "probable cause" to the library, only that the materials relate to an ongoing investigation related to intelligence activities or terrorism. The FBI agent must demonstrate to a special court that there is good cause for these records/materials to be confiscated. Any warrant issued under the Foreign Intelligence Surveillance Act does not allow libraries or librarians, under penalty of law, to disclose that a warrant was issued or that records were taken. The patron cannot be told that his/her records are under investigation.

The PATRIOT Act also extends telephone monitoring laws (pen register, trap and trace) that will include addressing and routing information for all Internet traffic, URL web pages, and e-mail and IP addresses. The agents seeking warrants under the pen register statute only need to verify that the information being sought is relevant to an investigation. A library receiving the monitoring order is to cooperate with agents in the installation of a monitoring device. The library or librarian, again, cannot disclose that communications are being monitored.

Librarians often feel uncomfortable being caught between the requirements of the law and protecting their patrons' privacy. The library's policies should be reviewed and updated. Libraries should avoid creating and retaining unnecessary library records. Some libraries destroy circulation records as soon as possible after statistics have been obtained. All library staff should know the procedures for handling law enforcement requests, and refer the agent to the director or the library's legal counsel. If the library has no legal counsel, assistance can be obtained from Jenner & Block, Freedom to Read Foundation's legal counsel. The phone number is 1-800-545-2433, ext. 4223.

GUIDELINES FOR LIBRARIANS ON THE U.S.A. PATRIOT ACT* What to do before, during and after a “knock at the door?”

*Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001
Public Law 107-56 (October 26, 2001)

Many libraries have already seen an increase in law enforcement inquiries following the September 11th terrorists' attacks. In libraries and other institutions, law enforcement authorities have sought access to patron records, including electronic mail and other electronic communications. With passage of the U.S.A. PATRIOT Act on October 26, 2001, many new questions have been raised about how to comply with the new law and how the PATRIOT Act provisions relate to current laws governing criminal and foreign intelligence investigations as well as to state and local privacy laws. As always, the best course is to prepare before the “knock at the door.” ALA provides the following guidelines for librarians to share with their staffs and local legal counsels. This is *not legal advice* but suggested guidance and direction so that local libraries – whether academic, public or school libraries – can prepare themselves to do what is legal and appropriate.

BEFORE

CONSULT YOUR LOCAL LEGAL COUNSEL

These issues are complex and absolutes that apply to every situation are rare. You will need legal experts familiar with your unique situations and local and state laws to help make sure that your policies and procedures are appropriate and legal. You will want to make sure that your local counsel is aware that legal inquiries under the U.S.A. PATRIOT Act may be an issue for your institution.

REVIEW YOUR POLICIES

The U.S.A. PATRIOT Act does not require institutions to make changes in policies or computer systems. However, with a possible increase in requests from law enforcement, and the pervasiveness of technology in the daily transactions of libraries, you will want to review and address your policies on retention of and access to all types of information. Make decisions regarding data, logs and records of all types, digital and paper, to be discarded or saved. Establish a system for referring requests for operational records, as well as other types of information within your institution. Plan for service continuity in the event that workstations, servers or backups are removed or made inoperable.

TRAIN YOUR STAFF

Every member of your staff should understand your policies for three important reasons:

- 1) Anyone on your staff could be approached by law enforcement. Every staff member should know what to do if he or she is presented with a request. A system for referring requests from law enforcement should be clearly communicated to all staff so that everyone, from the circulation assistant to the library director, knows what to do. Often, a library or institution will designate one staff person to receive all such requests.

2) Technology has made data ubiquitous and access to it effortless. Many people within your organization may have unexpected roles to play in implementing your policies. Your policy is only as good as the trained people who carry it out.

3) Knowledgeable staff will assure that your library is complying with all appropriate laws and protect against any institutional or personal liability.

DURING

FOLLOW YOUR POLICIES

Sound policies can provide order and justification during what can be a chaotic time. They can help prevent surprises and help ensure that the best possible thinking and judgment go into your responses. Policies and plans will not help you if they are not understood and followed by all of the institution's employees.

CONSULT YOUR LOCAL LEGAL COUNSEL

Most inquiries made by law enforcement are lawful and in good order. However, it is imperative to call on your own legal counsel when presented with a request. Legal counsel will help you respond appropriately and legally, while protecting you and your staff from possible liability due to an unlawful request. Legal counsel can help you sort through your responsibilities under the myriad of federal, state and local laws, that both protect privacy and require access.

DOCUMENT YOUR COSTS

The U.S.A. PATRIOT Act provides for some reimbursement of costs if an entity is asked by law enforcement to perform certain types of assistance in data collection. It is unclear what the guidelines will be for reimbursement. Document all costs incurred.

AFTER

CONSULT YOUR LOCAL LEGAL COUNSEL

Once law enforcement leaves your premises, your responsibilities may not be over. There are different rules for sharing information with others about who is being investigated or what types of information you have provided to law enforcement. With whom you are allowed to speak and what you are allowed to talk about varies depending upon whether the inquiry is made under criminal or foreign intelligence investigation laws. You will want to consult with your local legal counsel to be sure that you and your staff meet any legal requirements to conceal the inquiries of law enforcement or conversely, to fulfill any affirmative legal requirements to disclose what records may have been released.

FOLLOW UP

Consult with counsel; implement your policies; and pursue any appropriate reimbursements. Determine whether you will have to maintain any subsequent information or records. The Washington Office will be tracking the impact of this legislation, so when allowed by law and the advice of counsel, inform the Washington Office of your experiences.

American Library Association/Washington Office/January 19, 2002

Dauphin County Library System Circulation and Patron Account Policy

Dauphin County Library System (DCLS) issues library cards that entitle patrons to borrow circulating materials from its branches. DCLS's goal is to provide its patrons with convenient and effective ways to use its collections.

PATRON REGISTRATION

To borrow materials and place reserves and interlibrary loan requests from the Dauphin County Library System, a person must register for a library card.

A free library card will be issued to any PA resident residing or owning property in the service area of an Access PA library. (An Access PA library participates in the Statewide Library Card Program, which allows any Pennsylvanian who is a registered borrower in good standing at a participating public library to borrow from any other participating public library in the state.) Applicants must present proper identification and complete and sign a library card application in which the applicant agrees to accept responsibility for all fines, fees, or charges incurred.

Each patron may have only one library account.

A parent or guardian is responsible for all materials and charges on his/her minor child's card. Library cards will not be issued to any person who is the guardian on an existing account in precollections or referred to a credit agency, nor will a card be issued to a minor if the responsible adult signing the card has an existing account in precollections or referred to a credit agency.

Minors (those persons under 18 years of age) must have a parent or guardian present proper identification and sign the application card to accept responsibility for that minor.

Emancipated Minors must present proper identification (including a court issued document stating that they are emancipated) when applying for a library card. The applicant must agree to accept responsibility for all fines, fees, or charges incurred.

CARDS FOR PATRONS WITHOUT A LIBRARY SERVICE AREA

Adults who do not reside or own property in the service area of an Access PA library may purchase a card for a fee. These cards can be used at any Dauphin County Library System location. If a patron chooses to renew the card, the fee is charged at each renewal.

Cards may be purchased for juvenile patrons if a parent or guardian signs the application, and the application bears the information from an acceptable form of identification. The same fee applies.

Materials checked out on these library cards cannot carry a due date that extends beyond the expiration date of the card.

PC SERVICES CARD

PC Services Cards are issued for Internet use and online database access only. Any adult or juvenile, resident or non-resident, who does not have the appropriate ID to qualify for full library privileges or does not reside in the service area of an Access PA library can apply for these cards. These cards are free and are necessary to access the Internet from our libraries.

DISTRICT AND INTERLIBRARY LOANS

When materials are not owned by DCLS, the library may request, on behalf of a patron, to borrow an item from a district library. If the item is not available at a district library, staff will use the appropriate databases to pursue borrowing that item from a library outside the district. DCLS will reciprocate by lending our materials to other libraries.

When DCLS borrows materials from other libraries, the system will abide by the lending period and rules of the library that has loaned the material.

DCLS patrons must establish a library account before they can request or check out interlibrary loan materials.

RENEWAL OF MATERIALS

Most DCLS items may be renewed once. Materials that are on hold for another patron may not be renewed. Items that have been renewed once may only be renewed a second time with a supervisor's permission. A patron may check out an item again after it has been in the library for a minimum of 24 hours.

OVERDUE MATERIALS

Patrons are responsible for returning library materials on time. DCLS may charge fines for materials that are returned after their due date. The DCLS Board of Trustees sets all fines and fees.

LOST LIBRARY MATERIALS

Patrons are responsible for the cost of replacing library materials that they have lost, in addition to a processing fee.

DAMAGED AND INCOMPLETE MATERIALS

Patrons are responsible for the entire cost of replacing an item that has been damaged while in their possession, including cataloging and processing fees.

Patrons are responsible for the cost of replacing an item for which the patron has lost parts.

Patrons are responsible for the cost of replacing packaging that is damaged while in their possession.

DELINQUENT PATRON ACCOUNT

Patrons are responsible for payment of all fines and fees charged to their accounts. The library has the right to revoke a patron's borrowing privileges until fines and fees have been paid. In addition, all cards associated with an account in precollections or referred to a credit agency will have borrowing privileges frozen. To be "associated" with an account means that the same adult is listed on all the accounts, whether as the patron or the responsible party. "Precollect" refers to accounts that have 45.00 or more in fines and fees.

COST RECOVERY

Dauphin County Library System has the right to seek effective means of recovering library materials or their replacement value when items are long past due. It may become necessary to assign a patron account to a credit agency or bring legal suit before a magistrate or other court of law. (Retention of Library Property After Notice to Return; 18 PA CSA ** 6708)

05-11-05; reviewed by Library Services Committee

Dauphin County Library System Displays and Exhibits Policy

PURPOSE:

The Dauphin County Library System maintains Exhibit Cases (glass – enclosed and secured) and exhibit areas (walls or padded dividers used for the display of art) available at some of the libraries.

The Library supports the Library Bill of Rights (American Library Association): Article I states, “ Materials should not be excluded because of the origin, background, or views of those contributing to their creation.” Article II states, “Materials should not be proscribed or removed because of partisan or doctrinal disapproval.” Article VI maintains that exhibit space should be made available “on an equitable basis, regardless of the beliefs or affiliations of individuals or groups requesting their use.”

Approval of a display or exhibit does *not* indicate that the library endorses any cause or activity.

PRIORITIES AND GUIDELINES:

Due to limited display/exhibit space, priority is given to the following:
Dauphin County Library System, and their Friends of the Library groups
State, Dauphin County, and local government
Educational, cultural, civic, and recreational organizations of Dauphin County

All exhibits must support/enhance the Dauphin County Library Systems’ Collections. We reserve the right to add materials from our collections to exhibits. Use of Display/Exhibit are at the invitation of the Library Director/Branch Manager. Exhibits or displays that have not been approved by the Director/Branch Manager will be removed.

The following types of items will not be accepted:

Materials devoted solely to commercial products or services for profit-making business, with exceptions made for educational materials

Prices may not be attached to articles displayed; exception being those articles sponsored by the Dauphin County Library System or its representatives

Persons responsible for the display/exhibit shall arrange their own materials under the general supervision of library staff, furnish their own items necessary for display/exhibit and be responsible for any damage to library property. In addition, persons, organizations or groups placing materials must agree to assume all risk for articles exhibited.

The Library reserves the right to limit the size, number of items, the schedule of any display, and the frequency with which an artist or organization may have a display.

Exhibits may be displayed for one month, unless the Branch Manager in charge of the library makes an exception. At the end of that time, all displays/exhibits must be dismantled and removed from display/exhibit area by the person responsible for the display/exhibit.

APPEAL:

Refusal to allow the use of the display/exhibit areas may be appealed by putting a request in writing within thirty (30) days to the Executive Director. The Executive Director will respond within thirty (30) days. If the Library denies the request, an additional appeal may be made to the Board of Trustees of the Dauphin County Library System within thirty (30) days of receipt of the appeal. The Board will respond with a final decision within forty-five (45) days.

5-11-05; approved by Library Services Committee

**Dauphin County Library System
Gift Acceptance Policy**

Approved by the DCLS Board of Trustees July 20, 2004

Introduction

This document sets forth the general policy and guidelines of the Dauphin County Library System (DCLS) with respect to the acceptance of gifts, donations and contributions.

I. DCLS Gift Philosophy

The Board of Trustees of the Dauphin County Library System actively encourages gifts and contributions that will assist the library system in better serving the needs of the community. DCLS values and recognizes gifts of many types both for the service assistance they provide and as a means of improving the library system's communication with and connection to those it serves.

II. Donor Rights

DCLS adheres to the "Donor Bill of Rights" developed by the American Association of Fund Raising Counsel (AAFRC), the Association for Healthcare Philanthropy (AHP), the Council for Advancement and Support of Education (CASE), and the Association of Fundraising Professionals (AFP):

Philanthropy is based on voluntary action for the common good. It is a tradition of giving and sharing that is primary to the quality of life. To assure that philanthropy merits the respect and trust of the general public, and that donors and prospective donors can have full confidence in the not-for-profit organizations and causes they are asked to support, we declare that all donors have these rights:

To be informed of the organization's mission, of the way the organization intends to use donated resources, and of its capacity to use donations effectively for their intended purposes.

To be informed of the identity of those serving on the organization's governing board, and to expect the board to exercise prudent judgment in its stewardship responsibilities.

To have access to the organization's most recent financial statements.

To be assured their gifts will be used for the purposes for which they were given.

To receive appropriate acknowledgment and recognition.

To be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law.

To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.

To be informed whether those seeking donations are volunteers of the organization or hired solicitors.

To have the opportunity for their names to be deleted from mailing lists that an organization may intend to share.

To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.

IV. Types of Gifts

DCLS will accept gifts of various kinds, such as gifts of cash and non-cash property, including securities, life insurance, real property, tangible personal property, intangible personal property, business ownership interests and other non-cash property of value.

1. Monetary Gifts

All checks must be made payable to Dauphin County Library System and shall in no event be made payable to an employee, agent, or volunteer for the credit of DCLS. Unrestricted gifts of \$500 or less may be accepted by the Branch Manager of any library or by the Community Relations Department. Unrestricted gifts of more than \$500 will be accepted by the Community Relations Department. All restricted monetary gifts will be referred to the Development Committee for review. See paragraph IX. Restricted Gifts below.

2. Gifts-in-Kind

Gifts-in-Kind that provide services or consumables to a specific branch may be accepted by the Branch Manager on condition of approval by the Community Relations Department or the Development Committee. Gifts of equipment, goods, or services that would constitute useful additions to the library are encouraged. Since proposed gifts-in-kind may place demands upon the library in terms of special requirements (e.g., electrical, space, humidity control, maintenance, etc.), it is essential that the Community Relations Department be notified in advance of all such potential donations. If it is determined that the library is able to accept the donation, all pertinent information (e.g. value, general description, and purposes for which it will be used) will be forwarded to the Development Committee for its acceptance. Obtaining valuation is the responsibility of the donor. Appraisal costs cannot be borne by the library.

3. Library Materials

Gifts of library materials may be accepted by any DCLS staff member and will be added to the library collection or Friends Group book sales in accordance with the DCLS Collection Development Policy. DCLS staff are not authorized to turn away donations of library materials. Disposal of unacceptable items will be at the discretion of the Collection Development Department and the Senior Management Team.

4. Gifts of Real Estate

Gifts of real estate may be accepted only by the Development Committee. No gift of real estate shall be accepted without first being appraised as to value and evaluated as to potential environmental problems, where appropriate, by a party chosen by DCLS, who shall have no business or other relationship to the donor. In general, real estate will be accepted only if it is likely to be readily marketable and is not likely to involve significant carrying charges or administrative burdens until it can be sold. Any real estate accepted by DCLS will be sold as promptly as possible. The Development Committee may make exceptions to these real estate policies in particular cases. The acceptance of real estate encumbered by a mortgage requires approval by the Development Committee.

5. Gifts of Securities

Gifts of marketable securities may be accepted only by the Development Committee. Such gifts will be sold as soon as practicable at the market rate and the net proceeds used to provide library service as agreed by the donor and the Development Committee.

Gifts of securities that are not readily marketable will be submitted to the Development Committee for an acceptance decision. DCLS will consider acceptance of gifts subject to economic conditions, such as the assumption of donor indebtedness, joint tenancy arrangements with donors, provisions for life estates and other economic stipulations that may obligate DCLS. Generally, DCLS will agree to accept such gifts in cases where there is a reasonable expectation that periodic cash flow from the properties will exceed the debt service requirements and / or obligations. In no event will DCLS enter into agreements that will place a material obligation or a lien upon library system assets or general budget revenues.

If the gift produces unrelated business income to DCLS, for federal income tax purposes, the income tax obligation will be taken into consideration when assessing the periodic cash flow requirements.

6. Gifts of Tangible Property

DCLS will not accept jewelry, artwork, collections, and other tangible personal property unless the employee, agent or volunteer reviewing the gift on behalf of DCLS has reason to believe the property has a value in excess of \$100. Such property can only be accepted by the Development Committee.

Unless approved by the Development Committee, DCLS will not accept tangible personal property unless there is reason to believe the property can be sold quickly, nor will it accept personal property that the library system is obligated to own in perpetuity. DCLS will not accept perishable property or property that requires special facilities or security to safeguard properly without prior approval of the Development Committee.

DCLS may accept tangible personal property only after the Development Committee receives and reviews a qualified appraisal of the property.

Only the Development Committee may represent to a donor that property will or will not be held by DCLS for a requisite period of time or for purposes related to its tax-exempt status. Donors should be notified at the time of receipt of a gift that DCLS will, as a matter of corporate policy, cooperate fully in all matters related to tax investigations of non-cash charitable gifts.

7. Deferred Gifts

A. Bequests

Bequests intended for the library should be made to the Dauphin County Library System. In the event of inquiry by a prospective donor, representations as to the future acceptability of property proposed to be left to DCLS in a will or by other deferred gifts shall be made only by the Executive Director or the Community Relations Director in consultation with the Chair of the Development Committee.

Gifts from the estates of deceased donors consisting of property DCLS cannot accept shall be rejected only by action of the Development Committee. The legal counsel of DCLS will expeditiously communicate the decision of the Development Committee to the legal representatives of the estate. Any dissatisfaction with the decision of the Development Committee indicated by any representative of the estate or any family member of the deceased shall be communicated to the Community Relations Director as quickly as possible.

Where possible, intended bequests of property other than cash or marketable securities should be brought to the attention of DCLS's Community Relations Director, who should make every attempt to encourage the donor to conform his or her plans to the gift acceptance policies of DCLS.

Unrestricted bequests are intended for the general purposes of the library and are of special benefit in allowing flexibility to meet the library's greatest needs. If relatively modest, the bequest will either be accepted as an annual expendable gift or added to the general unrestricted funds functioning as endowment. Should the donor specify that the principal be used as an endowment fund, the minimum dollar requirement of \$10,000 must be met.

Restricted bequests allow donors to support and promote special interests but may only be accepted if the bequest meets the applicable minimum dollar requirement of \$10,000. DCLS recommends that any specified purposes be described as broadly as possible and that detailed limitations and restrictions be avoided where possible. The Community Relations Director should be consulted before a proposal to establish a restricted bequest is made. The right to refuse a gift, as defined in the Restricted Gifts paragraph is reserved.

B. Charitable Remainder Trusts

In general, DCLS will not serve as trustee of a charitable remainder trust for the benefit of the institution. This policy may be waived only by approval of the Board of Trustees following recommendation of the Development Committee.

The Development Committee will identify a number of corporate fiduciaries in which it has confidence. However, DCLS will not recommend a particular fiduciary to a donor. DCLS will pay the fees for management of a charitable remainder trust only upon approval of the Development Committee.

The Development Committee and other employees and volunteers who act on behalf of DCLS should become familiar with the types of property generally accepted by corporate fiduciaries as suitable contributions to charitable remainder trusts. Employees and other persons acting on behalf of DCLS shall not make representations as to the manner in which charitable remainder trust assets will be managed or invested by a corporate fiduciary.

Charitable remainder trusts and all other deferred gifts shall be encouraged as a method the donor may use to make gifts to DCLS while retaining income he or she may need for any number of personal purposes. Such trusts shall not be recommended as tax avoidance devices or as investment vehicles.

C. Charitable Gift Annuities and Deferred Payment Charitable Gift Annuities

Charitable gift annuities and deferred payment charitable gift annuities must be approved by the Development Committee prior to acceptance.

Donor transfers are part charitable gift and part purchase of an annuity depending on the age of the annuitant(s). A minimum of \$10,000 is required.

Gift annuity rates of return shall be those most recently approved by the American Council on Gift Annuities (ACGA) at the time of the gift.

D. Pooled Income Funds

DCLS may in the future establish a pooled income fund.

In the event that DCLS establishes a pooled income fund, these gift acceptance policies will be amended to include policies regarding the acceptance of contributions to the fund and the administration and management of the fund.

E. Life Estate Gifts

Donors generally shall not be encouraged to make gifts to DCLS of real property under which they maintain a life interest in the property. Such transfers often are not in the best interest of the donor, and the potential for negative publicity for DCLS exists in the case that the donor would need to sell the property to generate funds and find that a relatively small portion of the proceeds would be available to the donor as owner of the life estate.

DCLS may accept life estate gifts by approval of the Development Committee in situations where the involved asset appears to be a minor portion of the donor's wealth and the committee is satisfied that full disclosure of the possible future ramifications of the transaction has been made to the donor.

F. Gifts of Life Insurance

DCLS will encourage donors to name DCLS as total or partial beneficiary of insurance policies they have purchased on their lives.

DCLS will not agree to accept gifts from donors for the purpose of purchasing life insurance on their lives without prior approval of the Development Committee. In no event shall insurance be purchased unless DCLS has demonstrated an insurable interest under applicable state law.

DCLS may not endorse particular insurance companies or products for use in funding gifts to DCLS.

In no event shall a representative of DCLS furnish lists of donors to anyone for the purpose of marketing life insurance for the benefit of donors or DCLS.

G. Legal Counsel

All bequest and planned gift donors are advised to seek legal counsel prior to finalizing wills and other plans for deferred gifts.

DCLS may not endorse particular legal representatives to represent donors for the purpose of making gifts to DCLS.

H. Endowment Fund Contingency Clause

Donors are asked to recognize that over time, the needs, policies, and circumstances at the library system may change in unforeseen ways. To serve the best interests of DCLS's service population, the Board of Trustees should be given the ability to make use of funds while continuing to memorialize or honor the person for whom the endowment is named.

V. Payment of Fees Related to Gifts

1. Finder's Fees or Commissions

DCLS will pay no fee or commission of any kind to any party as consideration for directing a gift to DCLS.

2. Professional Fees

DCLS may from time to time retain and pay the reasonable fees and expenses of attorneys, accountants, appraisers, and other professional advisors in connection with gifts to DCLS. In such cases, it shall be understood that such professional advisors are representing DCLS.

In particular cases, with the prior approval of the Development Committee, DCLS may agree to pay the fees and expenses of professional advisors retained by the donor. In such cases, it shall be understood that such advisors are representing the donor. The donor shall be informed that payment of such fees may result in taxable income to the donor.

VI. Fund Raisers

DCLS-recognized and approved Friends of the Library groups and DCLS are the only organizations authorized to raise funds in the library system's name. DCLS Friends of the Library groups must submit all fund raising activities to the Community Relations Department for review at least six weeks in advance of the event or mailing. DCLS will assist Friends of the Library groups with fund raising by providing some key support services, such as mailing lists from the library database, and public relations assistance.

Proposals for fund raising activities by other organizations to benefit the library system should be submitted to the Executive Director and Community Relations Director, who will approve the proposals for submission to the Development Committee for final approval. The Development Committee will make its decision based in part upon the compatibility of the organization and its proposed activity with the library system's mission, and timing of the proposed activity in the context of other DCLS fund raising activities. It will also consider questions of perceived library endorsement of the organization's product, service or message in making its decision.

In general, DCLS will not serve as a collection point or agent for fund raising activities that benefit other institutions or programs. Some exceptions may be made based on the requesting organization's relationship with the library system and/or the relationship of its mission to the library's. All such requests must be submitted to the Community Relations Department for approval.

VII. Valuation of Non-Monetary Gifts

Neither the library staff, the Development Committee nor the Board will issue a written or verbal statement of monetary value to the donor of non-monetary gifts, though the deemed value of the gift may be a factor in accepting the donation. Where recognition is dependent upon the value of a gift—whether a gift in kind, a book or collection of books or other type of non-monetary gift—an independent, qualified appraisal may be initiated by the prospective donor and at the donor's expense. As a courtesy, the library staff may offer donors, at the latter's request, pricing source materials or provide a list of appraisers. In the absence of an appraisal, and for purposes of donor

recognition as provided for above only, the Development Committee will exercise its discretion in establishing a gift's value. The Community Relations Director, or a staff member designated by the Community Relations Director, may provide, on request, a letter of acknowledgment to a donor describing the gift and its apparent condition.

VIII. Recognition and Reporting of Gifts

DCLS will acknowledge in writing all gifts that have been finally accepted by the DCLS Development Committee or an authorized staff member. All gifts will be recognized in an appropriate manner, in accordance with the "Gift Recognition Procedures" produced by the Community Relations Department. The Development Committee will review these procedures annually and make any recommendations for changes. DCLS donors will be listed in the annual report prepared by the Community Relations Department each year. In addition, the Development Committee will be responsible for timely communication to the prospective donor when a gift is not accepted.

IX. Restricted Gifts

DCLS will make every attempt to honor the donor's wishes in the use of gifts made to the library system. Gifts made to specialized funds or earmarked for specific building or other projects will be tracked separately and expended accordingly. DCLS may accept gifts restricted by donors, provided the nature of the restriction is consistent with the library system's overall programs or, in the case of property gifts, the donor restrictions will be stated in writing and retained on file in Community Relations Office.

However, the Development Committee and the Board of Trustees reserve the right to refuse any gift the conditions of which are not compatible with the library's mission or which compromise the library system's collection development or other policies.

X. Unrestricted Gifts

Unrestricted monetary gifts may be placed in the DCLS general operating fund and used as part of the general budget process.

**Dauphin County Library System
Use of Meeting Rooms/Library Facilities**
Approved by the Board of Trustees on March 18, 2003

Statement of Principle:

The Dauphin County Library System is a limited public forum and provides meeting room space for library system programs and for other meetings and programs of an informational, educational, cultural, business or civic nature. All groups, not-for-profit and for-profit, are invited to apply for use of the library system's meeting rooms.

Dauphin County Library System subscribes to the principles set forth in the American Library Association Library Bill of Rights as reaffirmed January 23, 1996.

The Dauphin County Library System provides meeting room space as a public service but does not endorse the view or opinions of groups utilizing these facilities.

Meetings held in the libraries are considered public meetings and open to all wishing to attend, subject to health and safety requirements of the Pennsylvania Department of Labor and Industry for public gatherings. A schedule of meeting room bookings is posted publicly.

Meeting Room Privileges:

Organizations not fulfilling their obligations as stated in this and other library system policies and procedures may be denied use of the library's meeting room facilities until such time as these obligations have been met to the library system's satisfaction.

Available Meeting Rooms:

Library	Maximum Occupancy
East Shore Area Library Room A	60
East Shore Area Library Room B	45
East Shore Area Library Room A & B	105
Elizabethville Area Branch Library	75
Kline Branch	40
Northern Dauphin Branch Library	50

If a meeting room is unavailable, a small group may meet elsewhere in the library, provided it does not interfere with general library business or programs.

Scheduling a Meeting Room:

1. The group or individual desiring to use the meeting rooms must complete an application form available in the library. **Applicants must be adults age 18 and over, be a resident within the Dauphin County service area (excluding Hershey and Middletown service areas), and have a library card with the Dauphin County Library System.**
2. Meetings may be scheduled up to four months at a time, in trimesters from January 1 to April 30, May 1 to August 31, and from September 1 through December 30 of each calendar year. Applications are generally taken one month before the start of the trimester. After the initial booking period, organizations may reserve meeting rooms for times still available on a first-come, first-served basis. The Library typically contacts the group within 7 working days confirming or denying the request.
3. In the event that a meeting is cancelled, the library must be notified as soon as possible so that the space may be made available to others. If the group or individual wishes to use a different room at the East Shore Area Library than the one assigned, they must request a change from staff.
4. **The library system reserves the right to schedule and alter room assignments according to the library system's needs.** If the library cancels or changes the use of a meeting room, the library staff will notify the group or individual as soon as possible.
5. Repeated use of meeting room and library facilities is limited to twice a month, to allow all members of the community the opportunity to use the facilities. A request to use the facilities with greater frequency or for a number of consecutive days shall request written permission from the Branch Manager.

Meeting Hours:

The time of the program must correspond to the hours the library is open to the public, and the group or individual must vacate the meeting room by the library's closing time. An exception is made for programs directly related to the library (Friends meetings, library committee meetings, etc.). Library staff must be in the building for such exceptions.

Eligible Meeting Room Users:

In general, groups are prioritized in the following order when there are conflicting requests for rooms:

1. **Library and Friends of Library Programs** – which involve efforts of library staff.
2. **Local Government Meetings/Programs** – official meetings or programs of the Commonwealth, Dauphin County or county municipal government agencies/departments.
3. **Programs of an Educational, Cultural, Civic, or Social Organization** – prepared for the public.
4. **Activities of Profit-Making Organizations/Businesses**, including classes, workshops, and meetings held with the intention of generating revenue for their own organization/business.
5. **Sales Activities**

Due to insurance considerations, exercise programs and classes may not be held in library meeting rooms. An adult 18 or over must be present for all meetings.

Meeting Room Fees and Sales in a Meeting Room:

The use of meeting rooms is free of charge as long as the meetings or programs are open to the public, are free of charge, and do not generate revenue. If revenue is generated, **the fee for each meeting room used or reserved is \$40 per hour per room (at the East Shore Area Library, Rooms A & B combined have a fee of \$60 per hour)**. Revenue is defined as proceeds from sales, admission or attendance fees, or tuition by a non-profit, for-profit, or governmental organization, group, or agency. This includes "free" educational programs which intend to generate future revenues for the presenter(s).

An exception is made for profit-making endeavors held for the benefit of the library. An organization or individual wishing to charge a fee or to sell items or services for the benefit of the library must obtain written permission from the Executive Director before such an event occurs.

No reservation is final until payment is received.

Furniture Arrangement:

The library has chairs and tables available. Arrangement for the number of tables needed should be made in advance with staff. The organization handles its own room setup and may arrange furnishings as needed, as long as the furnishings are not at risk of damage. Walls may not be used for mounting or hanging pictures, displays, posters, etc.

Equipment, materials, or furniture belonging to any group cannot be stored in the library buildings.

Audiovisual Equipment:

A limited number of audiovisual devices, such as video players and overhead projectors, may be available from the library. They must be reserved at least two weeks ahead of the meeting. Contact the branch for details.

Clean Up and Damage:

The sponsoring group or individual making application for use of facilities **assumes all responsibility for damage to library property and for leaving the premises in the condition in which they were found, including the arrangement of furnishings and the cleanup of trash. A minimum \$30 fee will be assessed** for excessive cleanup or if a room is not vacated by the scheduled time. Damage to the facility will be billed to the group or individual responsible for the room and could result in restriction from further use.

Smoking and Alcoholic Beverages:

Smoking is not permitted in library buildings, and the consumption of alcoholic beverages is not permitted in library buildings or on library property.

Questions and Appeals:

Questions and regarding meeting-related policies and procedures may be resolved by the East Shore Library Administrator, appropriate Branch Manager or Regional Branch Administrator. The Public Services Director and Executive Director may also resolve serious issues as warranted.

A patron may appeal a meeting room decision by appealing the action or denial via written request to the Executive Director within fourteen (14) days of the denial of library service.

The Dauphin County Library System Board of Trustees shall be the final authority in granting or refusing permission for the use of library facilities.

Dauphin County Library System Policy on Postings and Handouts

Purpose:

The Dauphin County Library System maintains bulletin boards and brochure racks for the purpose of disseminating library, government, community and public service information of educational or cultural interest. Display of such items does not constitute DCLS endorsement of the items' content.

The Library supports the Library Bill of Rights: Article I states, "Materials should not be excluded because of the origin, background, or views of those contributing to their creation." Article II states, "Materials should not be proscribed or removed because of partisan or doctrinal disapproval." Article VI maintains that exhibit space should be made available "on an equitable basis, regardless of the beliefs or affiliations of individuals or groups requesting their use."

Priorities and Guidelines:

Due to limited display space, priority is given to announcements and publications of the following: Dauphin County Library System, and their Friends of the Library groups
Capital Area Library District Libraries.
Other area libraries
State, Dauphin County, and local government
Educational, cultural, civic, and recreational organizations of Dauphin County.

The following types of items will not be accepted:

Materials devoted solely to commercial products or services for profit-making business, with exceptions made for announcements of educational or cultural opportunities.
Petitions for public signature from outside organizations

Procedures:

All notices, posters and literature must be approved before display. Library staff have the responsibility for approval or disapproval. Approved items for posting will be imprinted with a Dauphin County Library System stamp and dated before they are displayed.

Due to limited space for materials, bulletin board and pamphlet racks may be cleared weekly to allow new materials to be displayed. Staff may discard items not approved for placement, outdated materials, and excess copies of any items received.

The library does not assume responsibility for items damaged or stolen.

Appeal:

Refusal to post or distribute materials may be appealed by putting a request in writing within thirty (30) days to the Library Director. The Library Director will respond within thirty (30) days. If request to post or distribute is denied by the Library, an additional appeal may be made to the Board of Trustees of the Dauphin County Library System within thirty (30) days of receipt of the refusal. The Board will respond with a final decision within thirty (30) days.

Approved:

Dauphin County Board of Trustees, March 16, 2004

DCLS User Behavior Policy

Approved by Library Board February 25, 2003

The Dauphin County Library System intends to provide a quiet, safe and supportive environment for all users and staff engaged in library activities. The Library is a limited public forum, therefore, all members of the public are encouraged to read, study, and use Library materials, programs or services.

Overall, users may not engage in any act which disrupts or prevents the normal or intended use of the Library by any other users or staff, and may lose Library privileges if they do so.

The following specific activities and behaviors seriously interfere with the provision of Library service, are prohibited in all buildings, are grounds for immediate expulsion from Library facilities and may result in loss of all Library privileges for a period of up to one year:

1. Cutting, tearing, defacing, breaking or injuring Library materials or property.
2. Any criminal activities.
3. Using, giving away or selling any controlled substance or intoxicating liquors, or being under the influence of alcohol or controlled substances.
4. Use of abusive, threatening, harassing or offensive language.
5. Physically abusing or assaulting other patrons or staff.
6. Engaging in sexual activity including solicitation, sexual harassment, and indecent exposure.
7. Smoking.
8. Bringing any weapon into the Library unless otherwise permitted by law.
9. Using library computers in a manner prohibited by the DCLS "Internet Acceptable Use Agreement".

Library users engaged in the following activities will be asked to cease the behavior and may be told to leave the Library for the rest of the day. Any subsequent violations may result in the loss of Library privileges for a period up to one year:

10. Eating, drinking, or displaying open food or liquid containers unless done so in a specially designated area of the Library.
11. Sleeping.
12. Inappropriate or excessive restroom use, including bathing, shaving, hair or clothes washing.
13. Monopolizing library space, seating, tables or equipment to the exclusion of other patrons and staff.
14. Obstructing aisles, walkways, or doors with self or personal effects.
15. Failing to keep personal belongings to oneself. The Library is not responsible for stolen or lost property and the Library shall not be used for storage of personal belongings.
16. Presenting poor personal hygiene, including offensive and pervasive odors which are a nuisance to others.
17. Unreasonable noise, including loud talking, singing, playing of audio equipment which disturbs others, and boisterous activity.
18. Leaving children under the age of seven unattended by a parent or authorized adult.
19. Soliciting, begging, and selling any items.
20. Distributing of or posting of any printed materials except through authorized Library procedures.
21. Entering without shirt or shoes
22. Using cell phones outside of designated areas.
23. Entering with animals, except certified assistance animals or those pre-approved for library programs.

These rules shall be applied in a neutral and nondiscriminatory manner to protect the property, users and staff of the Dauphin County Library System, and to maintain the availability of library resources for all users.

Any patron who violates these rules and regulations may be denied the privilege of access to the Library System. A patron whose privileges have been denied may have that decision reviewed by the Board of Trustees by appealing the denial via written request to the Library Director within fourteen (14) days of the denial of library service.

Sample Performance Evaluation Form for Library Director’s Evaluation

SUBJECTIVE SECTION

1. Employee and supervisor will each draft an annual evaluation which answers these questions:
 - What are the major responsibilities of the position?
 - How has the employee’s performance contributed to the success of the organization in the past year?
 - What goals or objectives were not achieved? What prevented the achievement of those goals? How are the unfulfilled goals going to be addressed?
 - How could the employee contribute to the success of the organization in the next year? What are the individual goals and objectives? What specific activities will be undertaken to improve professional performance?

OBJECTIVE SECTION

Factor 1: Job Knowledge

NARRATIVE:

The employee displays a high level of technical competency; plans and performs duties in a professional manner with minimal supervision. He/she is active in anticipating trends, in identifying new services and in improving existing services. The employee regularly participates in professional development activities.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

Factor 2: Planning and Budgeting

NARRATIVE:

The employee participates enthusiastically in the library’s planning processes; gathers input, evaluates and provides feedback to those processes. He/she prepares draft, revised and final budgets to support the goals and objectives of the library; implements and controls the budgeting process; provides regular status reports.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

Factor 3: Organizing and Staffing

NARRATIVE:

The employee engages in ongoing planning and organizing activities to assure that the library's goals and objectives are achieved and all deadlines are met.

The employee regularly reviews projects, setting priorities and maximizing resources. When necessary, he/she reprioritizes and reallocates resources.

He/she will identify and assign the most appropriate staff to specific projects and will consult with and monitor the staff's progress – making needed adjustments – to assure timely completion of the project.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

Factor 4: Judgment and Decision-Making

NARRATIVE:

The employee makes decisions.

In this process, he/she is responsible for analyzing issues without prejudice or bias; for gathering input from accurate sources and expert personnel. He/she should anticipate outcomes and offer alternative actions. Throughout this process, communication should be timely and consistent.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

Factor 5: Board Relations

NARRATIVE:

The employee carries out the directives of the Board and aids the Board in accomplishing the goals and objectives of the Library.

In that endeavor, he/she recognizes the differences in the personal and professional needs of the Board members and is active in moving these individuals to consensus.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

Factor 6: Human Relations

NARRATIVE:

The employee exhibits courtesy, self-control, patience, and discretion in dealing with Board members, staff, and other members of the Library.

When conflicts arise, he/she deals with them in a timely and effective manner; moving parties to resolution, away from greater disagreement.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

Factor 7: Communications

NARRATIVE:

The employee engages in ongoing communications – written and spoken – with all individuals and groups served by the Library.

In all instances, the communication should be timely, precise, professional, and courteous.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

Factor 8: Supervision

NARRATIVE:

The employee sets standards for the performance of subordinates and clearly communicates those standards to the employee. He/she establishes goals and objectives and monitors progress toward the accomplishment of those goals and objectives.

The employee does regular reviews and evaluations of job performance.

He/she maintains a positive and productive work environment and regularly encourages professional development through increasingly more responsible tasks and through opportunities for continuing education.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

Factor 9: Advocacy

NARRATIVE:

In addition to active networking in library and information science organizations, the executive director seeks to develop relationships, contacts, and partnerships with business, government, non-profit and community organizations that could be sources of support for the library's advocacy and fundraising efforts.

The Executive Director shares information about these efforts with the Board and acts a catalyst – encouraging the Board toward similar efforts and educating them in effective techniques.

RATING:

HIGHLY COMPETENT	COMPETENT	DEVELOPMENT NEEDED	NOT COMPETENT	NOT APPLICABLE

COMMENTS:

2004 ANNUAL REPORT

BERKS COUNTY COMMISSIONERS

Judy Schwank
Tom Gajewski
Mark Scott

SYSTEM BOARD OF DIRECTORS

Robert Jones, President
Ron Shaffer, Vice President
Jane Cole, Secretary-Treasurer
Sharon Lucas
Ruth Perkins
John Smith
Jane McEachern

2004 EXPENDITURES

Distributed to Member Libraries 2,732,603
Programs and Services 837,663
Salaries 654,021
TOTAL EXPENDITURE 4,224,287

2004 REVENUE

State 1,524,235
County 2,641,307
Townships/Boroughs 24,979
Federal 33,766
TOTAL REVENUE 4,224,287

Figures represent System HQ budget only.

STATISTICS

System-wide circulation **2,146,776**
System-wide collection **624,083**
Programs held **3,792**
Program attendance **74,762**
Reference questions answered **72,556**
Total registered borrowers **221,210**



HIGHLIGHTS OF 2004

Rotary Auction raised \$23,000
Rotary Club of Reading and Rotary Club of West Reading-Wyomissing furnished \$1,000 to each Berks County public library for children's materials.

If you Build it...Spring Township Library opened its doors in 2004. In addition, an E-Library public information kiosk was installed at the Oley GA. There are now 23 public library sites and three bookmobiles providing free educational & recreational resources to the citizens of Berks County.

Discover New Trails at Camp Read-a-Lot! Summer reading club attracted over 9,000 Berks County children, who read an average of 39 books each. Attendance at programs numbered over 27,000 county-wide.

2004 AWARDS

Pennsylvania Library Association awarded two Best Practices Awards to: **Boyetown Community Library** for their **Parenting a Preschooler**, a three session workshops teaching good parenting skills and, **Reading Public Library** for their bi-lingual **Read to Your Baby** workshops to teach teen mothers-to-be about the importance of early learning experiences for their babies.

The third annual **System Awards** honored the following outstanding achievements by individuals and groups in 2004:

Dreisbach Award for Exemplary Service
Pat & Garland Bear, *Muhlenberg Community Library*

Elected Official Award
Pennsylvania Senator Michael O'Pake

Trustee of the Year
Michelle Kircher, *Exeter Community Library*

Outstanding Program
Camp Survivor - Teen Summer Reading Program, *Schuylkill Valley Community Library*
Summer Camp at the Library - *Boone Area Library*

Outstanding Fundraising Effort
Junior Friends of Schuylkill Valley Community Library
Waddfestest - *Boone Area Library*

Certificates of Merit
Rotary Club of Reading
Rotary Club of West Reading-Wyomissing

Public Relations Award
Womelsdorf Community Library
Honorable Mention - Exeter Community Library



Public Libraries = SYSTEM MEMBER LIBRARIES

System Headquarters & Support Services
610-378-5260
Julie Rinehart, Administrator

Bernville Area Community Library
Bernville 610-488-1302
Tamsen Ercole, Director

Bethel-Tulpehocken Public Library
Bethel 717-933-4060
Elizabeth Caruso, Director

Boone Area Library
Birdsboro 610-582-5666
Carol Lewis, Director

Boyetown Community Library
Boyetown 610-369-0496
Mara Weller, Acting Director

Brandywine Community Library
Topcon 610-682-7115
Cheryl Knight, Director

Exeter Community Library
Exeter Twp. 610-406-9431
Sue Shippe, Director

Fleetwood Area Public Library
Fleetwood 610-944-0146
Lots Bailey, Director

Hamburg Public Library
Hamburg 610-562-2843
Daniel LaRue, Director

Louisa Gonser Community Library
Kutztown 610-683-3820
Karen Howard, Director

Mifflin Community Library
Shillington 610-777-3911
Diane Pawling, Director

Muhlenberg Community Library
Laureldale 610-929-0589
Sue Davis, Director

Reading Public Library
Reading 610-655-6350
Frank Kasprovicz, Director

Robesonia Community Library
Robesonia 610-693-2654
Holly Matthews, Director

Schuylkill Valley Community Library
Leesport 610-926-1555
Scott Kline, Director

Sinking Spring Public Library
Sinking Spring 610-678-4311
Sondra Westbrook, Director

Spring Township Library
Spring Twp. 610-373-9888
Kathy Thren, Director

Village Library
Morgantown 610-286-1022
Andrea Bersler, Director

Wernersville Public Library
Wernersville 610-678-8771
Janet Moore, Director

West Lawn/Wyomissing Hills Library
West Lawn 610-678-4888
Wendy Gilbert Hampton, Director

Womelsdorf Community Library
Womelsdorf 610-589-1424
Melanie Mochenbacher, Director

Frequently Asked Questions Concerning Local Financial Effort

What expenditures do and what expenditures don't count toward local financial effort?

Cash receipts, except State and Federal funds that are spent as part of the annual operating costs of the library are counted as local financial effort. Funds received from municipalities, through fundraising or donations that are spent are counted toward Local financial effort. As for County funds, they are only to be counted as part of the local financial effort for one library. So, for example, if the County library is using the County funds toward their local financial effort, they will not be included in the local funding effort of another local library.

Gifts can count, but only if they were purchased specifically for the library (and the library has a copy of the receipt.) In kind gifts do not count.

Income from investments spent on operating costs does count toward local financial effort, but if the income is invested, it does not. Income from rental fees or nonresident fees may be counted, if the fees are spent. Rent actually paid to a landlord counts, but if the "rent" is not actually charged (an estimated value) it does not. Shared utilities, such as janitorial services, do count, but they are not to exceed 15% of the library's local effort.

In terms of capital expenditures, the amount of capital expenditures that is included in local financial effort may not exceed 10% of the total operating expenditures of the library.

Some items that cannot count toward local financial effort include the following: the value of volunteer labor, investments, repayment of loans, and the cost of raising money.

How do you calculate local financial effort per capita?

Take the total amount spent that is allowable toward local financial effort (as noted above) and divide by the number of residents in the local library's service area for state aid purposes. The answer will be the per capita amount of library spending.

Why do we have to maintain local financial effort? Why can't we save the funds for future needs?

The reason for maintaining (and progressively exceeding the prior year's) local financial effort is to improve libraries.

How do we monitor local financial effort during the course of the year?

When you prepare your budget, be sure to figure out the local financial effort. Make sure that the total local financial effort is more than the previous year. Then, during the course of the year, spend your entire budget.

Please explain what gifts count toward local financial effort.

The distinction in gifts that are and are not allowable for local financial effort is explained in The Library Code as follows: Gifts of money which are expended for public library service may be counted as part of local financial effort, and the monetary value of gifts of books, supplies or other operating materials may be included as part of the local financial effort of the library if the items were purchased specifically for the library. In cases where value for the items is claimed, the library shall have available among its records receipts or invoices that clearly show the cost of the items and indicate that the purchase was made specifically for presentation to the library. The value of gifts in kind not specifically purchased for the library is not allowable as a portion of local financial effort.

(22 PA Code § 131.53)

If books are purchased specifically for the library, then the gift of books counts towards the library's local financial effort. Likewise, if NEW items (other than books) are donated to the library, they also count toward local financial effort.

Because the regulation specifically states that items must be purchased specifically for the library, used items cannot be counted toward local financial effort. Used items were originally purchased for another purposes and do not fit within the scope of the regulation.

The last sentence of the regulation is where confusion begins to develop. This sentence prohibits the library from counting in-kind gifts toward their local financial effort. The definition of in-kind gifts is "a gift of something other than money; goods or commodities." The generally used interpretation of in-kind includes the provision of services.

Using this definition along with the first portion of the regulation, the only gifts (goods or services) that a library may count toward local financial effort are those items that an individual and/or business purchased specifically for the library. If a business is providing supplies/products that it typically sells for profit, the gift may be counted for local financial effort.

What gifts do not count toward local financial effort?

Program supplies, prizes, gifts and food may not be counted toward local financial effort if the library would have done without the item had it not been given to them. Other gifts that do not count include services (in-kind), travel expenses, used items and baked goods (considered a donation). Estimated expenses paid by a municipality should be submitted on a Green, Shared Cost Sheet.

The following budget form can be used for planning purposes. This form is based on the financial section of the annual report required by Commonwealth Libraries.

BUDGET FORM

Use the following budget form to report the anticipated general operating income and expenditures of the library. General fund incomes from state, federal and local sources are to be included. This does not include the beginning balance from the previous year, income for capital expenditures, the value of in-kind service or the value of gifts.

INCOME

FEDERAL INCOME

LSTA		
Other (specify)		
Total Federal Income		

STATE INCOME

State Aid		
Statewide Card		
Other (specify)		
Total State Income		

KEYSTONE GRANTS

LOCAL GOVERNMENT INCOME:

Include School District, employment program income, etc.

<u>Name of Municipality or School District</u>	<u>Amount</u>
Total Local Government Income	

INCOME FROM OTHER LOCAL SOURCES

Dividend and Interest Income	_____
Income from Merchandise Sold	_____
Income from Fund Drive	_____
Income from Contracted Services	_____
Monetary Gifts and Donations	_____
Grants	_____
Non-Resident Fees	_____
Fines	_____
Lost Book Charges	_____
Library Use Charges and Rentals (Not Fines)	_____
Other Charges and Rental of Property	_____
Miscellaneous (Do Not Include Sales Tax)	_____
 Total Income from Other Sources	 _____

TOTAL INCOME _____

OPERATING EXPENDITURES

SALARIES AND WAGES EXPENDITURES

Library Personnel	_____
Maintenance, Security	_____
Total Salaries and Wages	_____

BENEFITS EXPENDITURES (Library's Share Only)

Unemployment Tax	_____
Social Security Tax	_____
Retirement	_____
Medical and Life Insurance	_____
Disability Income Protection (Workman's Compensation)	_____
Unemployment Compensation	_____
Other (specify)	_____
Total Benefits	_____

COLLECTION EXPENDITURES

Books	_____
Periodicals	_____
Audio-Visual Materials	_____
Microforms	_____
Library Materials in Electronic Format Available for Public Use. Include software and data on CD-ROMs, magnetic tapes and magnetic discs.	_____
Electronic Information Services Available to Public on Internet	_____
Connection fees to an Internet provider or communications company used SOLELY for Internet access	_____
Library Supplies and Collection Maintenance	_____
Total Collections Expenditures	_____

OTHER OPERATING EXPENDITURES

Furniture and Equipment	_____
Office and Computer Supplies	_____
Computer Equipment and Software, Administration and Automation	_____
Lease of Other Types of Equipment	_____
Maintenance on:	
Computer Equipment	_____
Computer Software	_____
General Office Equipment	_____
Rent to Private Landlord	_____
Insurance	_____
Maintenance on Building and Grounds	_____
Utilities (actual, not shared costs)	_____
Postage and Freight	_____
Printing	_____
Telephone and Other Telecommunications	_____
Bibliographic Utilities	_____
Public Relations and Library Programs	_____
Contracted Services	_____
Training, Travel and Conferences	_____
Dues and Memberships	_____
Audit or Financial Report	_____
Interest Paid on Loans and Mortgages	_____

Bookmobile Purchase	_____
Bookmobile Insurance and Maintenance	_____
Miscellaneous Operating	_____
Mortgage Principal Paid	_____
Rent to Supporting Municipality	_____
Cost of Raising Money	_____

Total Other Operating Expenditures _____

TOTAL OPERATING EXPENDITURES _____

CAPITAL EXPENDITURES

Land	_____
Building _____ New	_____
_____ Addition	_____
_____ Major Alteration	_____
Furniture and Equipment	_____

Total Capital Expenditures _____

Sample Agenda For The Meeting Of A Local Library Board

Board functions translate neatly into this sample agenda for a board meeting. *(The board's agenda is developed by the board president and the librarian, and arises from custom and suggestions from board and staff. The agenda is prepared in advance and mailed or distributed with written reports prior to the meetings.)*

(NOTE: Many boards include a special agenda item for any comment from the audience. Others allow the public to participate as items are considered.)

Order of Business	Comments
<p>1. Call to order and recording of attendance. Determination that a quorum exists.</p> <p>2. Minutes of the previous meeting. Call for any corrections or additions. Motion to accept.</p> <p>3. Report of the Librarian</p> <ul style="list-style-type: none"> a. Library activities and general progress. b. Problems to share with the board. c. Feedback from the community. 	<p>If there is an audience, it is a courtesy to call the roll or to have nameplates.</p> <p>Copies should have been mailed with the agenda. It is not necessary to read the minutes aloud. Corrections should be carefully recorded and read. Remember that actions cannot be changed or any subsequent happenings added.</p> <ul style="list-style-type: none"> a. This "reporting" should be early on the agenda because it is basic to discussion. b. Problems requiring background information, such as repair estimates or budget shifts or staff requirements should be explained as part of the mailed agenda.
<p>4. Report of the Treasurer</p> <p>5. Report of the President and Trustees</p> <p>6. Policy Problems: operating problems that may require board actions, a shift in policies, new policies or policy interpretation.</p>	<p>The board should receive standardized financial reports regularly with the agenda so that questions can be spotted.</p> <p>Trustees should report on their activities, including meetings attended and community contacts made.</p> <p>Librarians and trustees should be encouraged to evaluate existing policies and to recommend changes and updates.</p>

<p>7. Planning: report of committees (Example: The board wants to consider bookmobile service in the next budget. A staff/community/trustee committee wishes to make a preliminary report of its feasibility study...)</p>	<p>Future concerns identified as part of the planning process should be worked on by committees or the board as a whole and reported to meetings as the work progresses.</p>
<p>8. Old Business (Example: The board has deferred an evaluation of the public lecture series until a staff report can be made.)</p>	<p>Usually a category for finishing off an item, or completing action. Each item of old business should be listed by "title" and status.</p>
<p>9. New Business (Example: Mr. North suggests we determine how many trustees will be attending Tuesday's workshop. The Chief of Police will be with us to discuss the laws on theft of library material.)</p>	<p>Courteous trustees will tell the president what item of business is to be raised.</p>
<p>10. Business for the Next Agenda</p>	<p>This agenda listing can be used to suggest new topics or ask for answers to questions requiring some research.</p>
<p>11. Announcements</p>	
<p>12. Adjournment to a date, time and place</p>	<p>The meeting should be adjourned to a certain time. If the regular meeting is running long, it can be adjourned to a time earlier than the next regular meeting, at which time the agenda would be completed.</p>

Understanding the Language of Librarians

Over the years, librarianship has developed a language with some unique terminology. Understanding the following common terms will help trustee and librarian to communicate!

Access—availability of the library and its services to residents of a service area. In a larger sense, the ability to reach information sources through a library and its cooperative links to additional sources.

Access PA Database—a project of the Pennsylvania Department of Education and the Office of Commonwealth Libraries, started in 1985 to provide a union catalog for the State of Pennsylvania. It was the first, and remains the largest statewide union catalog that includes the holdings of all types of libraries.

Accredited Library School—a college or university offering a library education program meeting standards of the American Library Association and officially accredited by a committee of ALA. The phrase “approved graduate library school” is used in Pennsylvania law.

ALA—American Library Association, the national professional library association.

ALTA—Association for Library Trustees and Advocates, a division of the American Library Association (ALA).

Barcode—a printed horizontal strip of vertical bars used for identifying specific items or users. The codes, which represent numerical data, are read by a bar code reader and interpreted via software or hardware decoders. In libraries, barcodes are affixed to both books and library cards to assist in circulation and collection control.

Book and Materials Selection—the decision-making process for library materials purchases. Selection is usually based on a policy adopted by the library board, the goals and objectives of the library, use of selection guides, such as those prepared by the American Library Association, funds available, and the skill of the library staff in meeting local needs. Materials include all types: books, periodicals, records, films, videocassettes, etc.

Call Numbers—the classification numbers of an item of library material, used to mark the item, shelve it properly, list it in the catalog and find it for a patron. The Dewey Decimal and the Library of Congress are two classification systems.

Cataloging—the process of physically describing library materials. A record is prepared for the library’s catalog using a standard format.

Certification—issued by the State Librarian to qualified persons meeting requirements set down in the PENNSYLVANIA CODE (Title 22: Chapter 133). Persons may be certified as professional librarian, provisional librarian or library assistant.

CD-ROM—Compact Disc, Read-Only Memory. A disc upon which data and/or multimedia information have been digitally recorded as optical rather than magnetic bits; the information can be read by a laser beam mechanism in a CD-ROM player.

CE—Continuing education.

Circulation—statistics showing library use by a count of materials checked out. Also the department or area of the library, which receives returned material and checks out materials to users.

Collection—a one-word term for the library's total holdings; the books, films, tapes, pictures, etc., that make up the materials the library has on hand for its users. A special collection refers to an area of specialization: for example, rare books, local history or regional authors.

Deposit Station—a public library service point in a community location such as a school, factory or store where a small collection of materials is established and rotated.

Dewey Decimal System—a method of classifying library materials based on the use of decimals and developed by Melvil Dewey.

District Advisory Council—an advisory group within a given library district, representative of local libraries, the District Library Center and all geographic areas; advises the District Library Center on the provision of district resources and services.

District Library Center—a public library designated by the State Librarian; provides back-up resources and services to the public libraries in its district. District Centers also provide consultant services to the libraries to help improve their services.

DVD—Digital video (or versatile) disc—A high-capacity CD requiring a special (DVD) player, often used for video recordings.

E-Book—a general term used to describe a text or monograph which is available in an electronic form and is read using a computer or other electronic device.

E-rate—a federal program that reimburses libraries for certain telecommunication costs.

Firewall—a gateway used to protect a server or a network from unauthorized access. A firewall generally consists of both hardware and software components.

FOLUSA—Friends of Libraries U.S.A. The national organization for Library Friends groups.

Hardware—the bolts, nuts, boards, chips, wires, transformers, circuits, etc. In a computer, the physical components of a computer system.

ILL or Interlibrary Loan—originally, one library borrowing from another in order to serve the user. Now, a system of interlibrary cooperation that allows libraries to provide materials for their users no matter in what library it may be located in the nation.

IMLS—Institute of Museum and Library Services. The federal agency that administers the Library Services and Technology Act (LSTA).

Integrated Library System—computer software that automates major library functions (the online catalog, circulation, book ordering, financial operations, etc.) using shared databases.

LAN—Local area network. A network of computers within an office or building (or other small area) linked together so as to be capable of direct communication with one another to share resources. (Compare WAN.)

Library of Congress (LC)—the library in Washington, D.C. that serves the U. S. Congress and other libraries in increasing forms of service. LC catalogs, while books, are in the publication process so that catalog cards can be available as soon as libraries purchase the book. Many libraries are using the LC classification system in place of the Dewey Decimal.

Linked system—a general term for a system formed by linking two or more separate automated library systems together to allow at least the simultaneous searching of the linked catalogs.

LSTA—Library Services and Technology Act. The major federal library funding law. The abbreviation LSTA is often also applied to the grant program funded by the act.

MLS—the Master of Library Science degree, taken as a fifth year of study beyond the bachelor level. Usually regarded as a minimum requirement for a professional librarian. (Pennsylvania issues certificates of professional librarian under several criteria. See PENNSYLVANIA CODE, Title 22:133.4.)

Media—in the library world, books and audio-visual materials.

NLW—National Library Week

OCLC—Online Computer Library Center, Inc. Producers of an international bibliographic utility (often itself called OCLC) used by libraries for cataloging information and a variety of related services.

OPAC—On-line Public Access Catalog. A computer-based library catalog, which has replaced the traditional card catalog in most modern libraries.

Output Measures—methods devised for measuring a library's performance, as determined by use of the library's resources and services.

PaLA—Pennsylvania's statewide organization for library staff representing all types of libraries.

PCBL—Pennsylvania Citizens for Better Libraries. A statewide advocacy group for individuals and library friends' organizations in Pennsylvania.

Periodical—a publication with a distinctive title, intended to appear in successive numbers or parts, at stated or regular intervals and, as a rule, for an indefinite time. Magazines and newspapers are examples of periodicals.

PHEAA—Pennsylvania Higher Educational Assistance Agency. A state grant program paying 80% of the cost of summer workers in nonprofit agencies.

PLA—The Public Library Association. A division of ALA (see above).

POWER Library—The POWER Library is offered as a service of Pennsylvania's public libraries, school libraries and the State Library. The POWER library provides access to thousands of full text periodical articles, newspapers, a major encyclopedia, photographs, pictures, charts, maps, and reference materials for children, teens and adults.

Processing—preparing books and other materials to be made available to the library's users. Some materials are ordered pre-processed, or ready for the shelf. Processing may include cataloging, preparation of cards, putting in book pockets and making protective covers.

PSLA—Pennsylvania's statewide organization for school library and media center staff.

Public Access Workstation—any computer or terminal available exclusively for public use in the library.

Rules and Regs—shorthand terminology for rules and regulations issued for the approval of plans for the use by libraries of state funds in Pennsylvania. These rules are developed by the Governor's Advisory Council.

Serials—publications that are issued in sequence, such as magazines, journals and newsletters. So-called because these publications carry serial numbers indicating volume and issue.

Shared System—A computerized catalog and circulation system shared by a number of libraries.

Shelf List—a kind of catalog or inventory of items as they appear on the library shelf. This list may include the "holdings" of a branch library.

Shelf Reading—physically checking the shelves to make certain the books are in the proper location, and reshelving books to their proper place.

Software—computer equipment and supplies such as programs, diskettes, language cards, printer paper, storage containers, etc.

SRP—Summer Reading Program. An umbrella term for the children's activities and programs that a public library provides during the summer.

Statewide Resource Center—in Pennsylvania, one of four libraries designated as a statewide library resource center. These libraries share their resources with other libraries in the state and generally hold large quantities and many kinds of materials. Each resource center orders and maintains in depth collections in certain specified subject areas. The four statewide resource center libraries are The Carnegie Library of Pittsburgh, The Free Library of Philadelphia, the Pennsylvania State University Libraries, and the State Library of Pennsylvania.

TDD—telecommunications device for the deaf. See TTY.

Title—a publication that forms a separate bibliographic whole, whether issued in one or in several volumes, reels, discs, slides, or parts. The term applies equally to printed materials, such as books and periodicals, and to audiovisual materials and microforms. Duplicate copies represent one title.

TTY—teletypewriter. TTY is interchangeable with TDD, but TTY is the term more generally used among the deaf. Also called a "text telephone."

Union Catalog—a listing of items, usually periodicals, but often films and books, of a number of libraries which combine their lists in order to locate materials quickly. The "lists" may be just that, or they may be on catalog cards or in a computer.

Vertical file—literally the upright office files used to hold pamphlets, brochures, articles, pictures and other items most easily organized by filing.

Volume—the physical units or items in a collection. Items that are packaged together as a unit, e.g., two compact discs, two films or two videocassettes, and are generally checked out as a unit. Should be counted as one physical unit, one volume.

WAN—Wide area network. A network of computers connecting widely separated offices or buildings (such as separate libraries across a region) and linked together so as to be capable of direct communication with one another to share resources. (Compare LAN.)

Weeding—disposing of books and other library materials no longer up-to-date or useful to the patrons of the library. Weeding keeps a collection current, makes way for new material, and provides ongoing evaluation of the library's material and its use.