Library Directors One-Stop Guide

2012 Version

New Director's Workshop
August 16, 2012
Indiana State Library

Welcome New Directors

Dear Esteemed Colleagues:

Indiana libraries are a great value for Hoosiers. In these difficult economic times, the public library remains the only place many Hoosiers have access to new technologies, the Internet, and free entertainment opportunities. Indiana libraries are so much more than a bricks and mortar repository of books. Today, the local library is a catalyst for economic development, provider of professional development and lifelong education services, gateway to digital information and online resources, and cultural and civic center of the community. During this time of heightened scrutiny and concern over local spending and property taxes, it's reassuring to see that Indiana libraries remain a beacon of fiscal responsibility and efficiency by providing at least $2.38 in direct economic benefits to the community per each dollar in cost.

As libraries move into the 21st century we face challenges, but remember that you are never alone. Chances are someone in Indiana's statewide library community will have overcome the very same obstacles you may one day face. Also, do not hesitate to contact the Indiana State Library for help or reassurance. The State Library staff is dedicated to providing you assistance on wide range of library issues, including programming, law, professional development, board policies and so much more.

This handbook was developed as a tool you can turn to for answers to common questions. Please call our staff if you need clarification or assistance with anything covered in this handbook. You are also welcome to join one or more listservs for Indiana librarians to find help from your peers and other library staff.

Congratulations on your recent appointment as an Indiana public library director. I wish you the best of luck in all your future personal and professional endeavors.

Warmest Regards,

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LIBRARY DIRECTOR'S ONE-STOP GUIDE

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ISL Overview Director's Manual

Indiana State Library: Open for Exploration

The Indiana State Library was established in 1825 to provide library services to Indiana's state governmental officials and employees. Since that time, its responsibilities have expanded to provide services to all citizens of Indiana, including special populations such as the blind and visually impaired, to collect and preserve all types of information about the state of Indiana, to support the development of the library profession, and to strengthen the services of all libraries within Indiana.

Today, the Indiana State Library houses the vast collections with over two million volumes and three million manuscripts, as well as thousands of maps, federal documents, microfilm, and more. Just as the Library of Congress serves as the historical repository for our nation, the State Library is responsible for collecting and preserving all types of information and data about Indiana. The State Library proudly maintains two of the largest Indiana History and Genealogy collections in the World.

Services for Public Libraries

The Library Development Office (LDO) of the Indiana State Library provides assistance and consultation to librarians, trustees, and community leaders on all aspects of library programming, laws, standards, statistics and operations, including:

- Administration of LSTA funds for improvement of library services;
- Development and provision of workshops, including new director and trustee training, grant support, and budget workshops;
- Collecting, compiling and disseminating statistics on Indiana libraries;
- Maintaining and publishing directories and lists of shared resources and other reciprocal borrowing opportunities;
- Providing consultation and education concerning public library law and standards; and
- Administering statewide library services, such as ILL, delivery services & Evergreen Indiana.

Library Services & Technology Act

The State Library administers the Library Services & Technology Act (LSTA) grant program through the distribution of federal LSTA funds for the purposes of increasing the use of technology in libraries, fostering better resource sharing among libraries, and targeting library services to special populations. The State Library annually awards sub-grants to Indiana libraries for programs in the areas of library technology, digitization, innovation and programming for underserved populations.

Statewide Library Services

The State Library administers several statewide library services, which are made possible through LSTA funding. These innovative technology and resource sharing solutions collectively save Indiana libraries millions of dollars annually.

INSPIRE: For more than a decade, INSPIRE has helped Hoosiers get ahead of the curve at work and in the classroom with the credible information they need instantly. INSPIRE offers free online access to thousands of magazine and journal articles, online research tools, study aids and resources for jobseekers through a virtual portal available to Hoosiers 24/7 from their home, work, school or public library computer. Hoosiers performed over 50 million individual INSPIRE searches in 2011.

INfoExpress, a statewide library delivery service for interlibrary loan (ILL) materials and other resources, is available to all Indiana libraries. Public libraries that are active lenders of resources or on Evergreen Indiana are eligible heavily subsidized one to two-days-a-week service.

Evergreen Indiana is a growing consortium of 100 Indiana libraries using the Evergreen open source integrated library system (ILS). Evergreen Indiana collectively saves public libraries millions of dollars in annual licensing, technology and support costs associated with maintain a library catalogue. The Evergreen catalogue enables patrons to place holds from home, or go to any Evergreen library statewide to access more than 6,000,000 items.

Digitization Services: The State Library administers LSTA sub-grants to libraries for the purpose of digitizing Indiana's historical records. The primary goal is to develop content for Indiana Memory (IndianaMemory.org) a collaboration of historical and cultural organizations enabling free online access to Indiana's unique cultural and historical heritage through a variety of digital formats. The State Library also does extensive user training and performs large-scale digitization projects for both Indiana Memory and as part of the National Digital Newspaper Program.

Consultation Services: The State Library is the authority on laws, standards, library budgets and state requirements affecting Indiana's public libraries. LDO Consultants are available for one-on-one consultation and also provide essential training for new directors & trustees. They also specialize and train in the areas grants, literacy, library finance, e-rate and resource sharing.

Library Statistics: The State Library collects and compiles an annual report of public library statistics that assists federal, state and local entities in identifying needs, measuring effectiveness of library programming, identifying best practices, and developing plans to improve and strengthen services. Specifically, local libraries may use these findings as talking points with patrons, legislators and other local decision makers.

Professional Development and Certification

The Professional Development Office (PDO) supports the advancement and development of library staff in all Indiana libraries for improved services to the citizens of Indiana. The PDO includes specialists in the areas of programming, children's services, continuing education opportunities, and services available from the Indiana State Library.

Continuing Education: PDO staff provides educational opportunities via in-house, online and on-site workshops. Indiana librarians are also eligible to enroll in free classes from national providers like Lyrasis and WebJunction.

Certification: The PDO handles all aspects of library certification, including program administration, consultation services and approval of LEU eligibility for course providers.

Children's Services: Provides training and consulting services related to children's services throughout the state. Primarily focuses on early literacy, facilitating programs like Collaborative Summer Library Program, Every Child Ready to Read and other initiatives.

Regional Consultants: The PDO's team of regional library consultants provides on-site programming, marketing, consulting and continuing education support and services to libraries within their geographical area of the state.

Chapter 1

Duties of the Director and Library Board

Public Library standards (590 IAC 6) define the role of the director and board members (see Chapter 3).

A. Library Director and Library Board

The library board is responsible for hiring a full-time library director with the education and experience required by the Librarian Certification Rule (590 IAC 5).

The director is the administrative head of the library and is responsible to the library board for the operation and management of the library.

The library board and director shall maintain their functions as follows:

(1) The board is responsible for governance and policy.

(2) The director is responsible for administration, and is responsible to library board for the operation and management of the library.

IN the Public Trust is the trustee manual. According to page D-2, **the director has the responsibility to:**

- Implement board policies
- Represent the library in negotiations, public relations and other public events
- Recommend staff for hiring
- Direct, supervise, educate, evaluate and discipline all staff
- Prepare the annual budget for approval by the board
- Manage the finances of the library
- Oversee the assets of the library
- Plan the annual operations of the library to fit into the long-range plan of the board
- Assist the board in the governance of the library by informing the board of the status of the library and recommending policy direction for the board
- Report to the board the results of board actions
- Remain current and knowledgeable about the library and appropriate methods of operation

- Prepare an annual report of the progress of the library and submit that report to the board and to the Indiana State Library.

The library director is the person ultimately responsible for the library. Even though the board is governing the library, the director is managing it and all of its resources. This includes the facilities, finances, personnel, and inventory.

Depending on the size of the library, you will either be working with a team of professionals which you will oversee in their management of select resources, or you will be the one and only manager juggling the management of everything – or something in between.

The first duty of the new director is to find out which scenario fits your library, and roll with it. Either you will be fixing a stopped-up toilet and scraping ice off of the sidewalks in between budget and programming meetings, or you will be making sure that these tasks get done while you deal with issues only the large libraries encounter, such as investments and foundations.

One thing you need to realize, however, is that you are not alone. That is what this guide is all about – to provide you with the resources and contact information you will need to manage your library. The State Library is here to aid you in your quest to provide Indiana residents with top-notch library service.

Another resource is your peers. Many directors in Indiana have mentored new library directors in the past, and many continue to do so. Get on a listserv www.in.gov/library/listservs.htm ask questions, check out statistics on the ISL website www.in.gov/library/plstats.htm to find libraries of similar size and call those directors. Librarians in Indiana are a very giving bunch, so don't reinvent the wheel. You will be asked to provide payback someday!

The following is adapted from the Small Library Project Pamphlet #3, "The Trustee of a Small Public Library," published by American Library Association. Also included here are requirements found in section 6-1-4 of **590 IAC 6 Minimum Standards for Public Libraries.** Please see Chapter 2 in this manual for full recommendations.

Recommended Duties of the Library Board

1. Maintain separate function from the director: board is responsible for governance and policy.
2. Operate in compliance with Ind. laws
3. Employ a full-time library director with the education and experience required by the Librarian Certification Rule (590 IAC 5)
4. Know the program and needs of the library in relation to the community; keep abreast of standards (see Chapter 3 for newest standards).
5. Comply with state and federal laws affecting the library and employment procedures.
6. Adopt proposed library budget that adequately funds library's programs and purpose.
7. Establish a library policy for book and materials selection commensurate to your community size and adhering to standards.
8. Establish, support and participate in a planned public relations program.
9. Attend all board meetings and see that accurate records are kept on file at the library.

Recommended Duties of the Director

1. Maintain separate function from the board: director carries out policy of board, and is responsible for administration, operation and management of library.
2. Keep the board informed of Indiana Laws and legislation.
3. Keep board informed on certification requirements and keep up-to-date on certification.
4. Prepare regular reports embodying the library's current progress and future needs; cooperate with the board to plan and carry out the library program. Comply with newest standards. (See chapter 3)
5. Provide documentation for board drafting personnel policies and procedures.
6. Prepare an annual budget for the library in consultation with the board and give a current report of expenditures against the budget at each meeting.
7. Select and order books and materials to support your community adhering to standards with regard to your community.
8. Maintain an active program of public relations.
9. Attend all board meetings.

Recommended Duties of the Library Board

10. Attend regional, state, and national trustee meetings and workshops, and affiliate with the appropriate professional organizations.
11. Be aware of the services of the Indiana State Library.
12. Report regularly to governing officials and the general public.

Recommended Duties of the Director

10. Affiliate with state and national professional organizations and attend professional meetings and workshops.
11. Make use of Indiana State Library services and library consultants.
12. Report regularly to the library board, to the officials of local government, and to the general public.

B. Working with the Library Board

When you were hired, you became an employee of your library's board of trustees. Most of the time, working with your library board will be easy, because you and the library board have a common interest and a common mission: to provide your community with the best possible library service. Good board members will be your best allies in working for better service. They will bring ideas, encouragement and enthusiasm to the library.

The keys to working with your library board are **respect, communication, and tact**. As a new librarian, recognize that the library and the library board have a history. The board is used to doing things in certain ways. Unless they have had serious problems, board members are not likely to be interested in changing what they see as successful. They are not likely to change things unless you can give them good reasons, and even then, it may take some time for them to develop trust of your judgment.

During your first year, you probably will want to spend more time in trust building rather than in problem solving with your library board. Try to get to know each board member personally, find out what they think about the library and where they want the library to be going.

It is also vitally important to communicate as much information as possible to your library board members. If you see a potential difficulty coming up, make sure that the board is aware of it, even if you are afraid it reflects badly on you. No one likes to be surprised by a major problem that everyone else saw coming. At the same time, do not dwell on the negative. Make sure that the board knows about the library's successes too.

While it is true that the library board is charged with setting policy, you will know more about the day-to-day operations of the library. Board members sometimes have ideas that simply are not workable or that will end up hurting the library. As the library director, it is your duty to inform the board of what you expect the practical consequences of their decisions will be. However, once the decision is made, it is your responsibility to carry it out to the best of your ability, even if you don't agree with it.

Another problem that sometimes occurs is when a board member interferes with the administration of the library. The trustee may come in and tell you to make changes, interfere with the work of your staff, or go out into the community and misrepresent the library's position on various issues. In these cases, it is important for you to remember that legally individual board members have no power over the library. It is only when the board acts as a group at an official meeting that library policy is made.

It is all well and good to know that an individual board member doesn't have the authority to interfere with the administration of the library, but s/he still represents one seventh of your boss. If this trustee has been on the board for a long time or is an officer of the board, s/he may even have more power than that with the board. What do you do in a case like this?

1. First, remember to keep your cool. Treat the request with respect and tact.

2. Second, tell the board member that you do not feel comfortable making the change without the full board acting on it. Tell the board member that you will ask the board chair to put the issue on the agenda for the next board meeting or even to call a special meeting if necessary.
3. Third, look for some alternative that you can use without board approval to solve the problem between the time the problem arises and the next board meeting. Make sure that the alternative that you choose conforms to present policy.

What should you do if the board makes a decision that you do not agree with? Unless the decision is illegal or unethical, it is your responsibility to carry out the decision as best you can. Try to make it work and don't express your negative opinion to the public or staff. If the decision creates problems for the library, document these and bring them to the board. Don't forget if the decision turns out to be a good one, however, to compliment the board on it. (**Idaho Librarian Survival Manual**)

1. New Trustees

Once new trustees have come on the board, it is very useful if your board members and you can give the new trustee an orientation to the library. You should also make sure that new trustees have received a copy of **IN the Public Trust**, the manual for Indiana public library trustees, as well as copies of important local documents, such as bylaws, policy statements, and minutes from the previous year. Please download a copy of **IN the Public Trust** from the Library Development Office website at www.in.gov/library/3274.htm. If you need assistance with this, please contact the office at 1-800-451-6028, or ldo@library.in.gov. By working with trustees while they are new on the board, you can build the kind of positive relationship that will most benefit your library.

2. Certificate of Appointment Public Library Board Member

Once appointed by an appointing authority, according to IC 36-12-2-19, the appointing authority needs to provide the new board member with a completed "Certificate of Appointment". The new board member must take the oath of office within 10 days of receiving the Certificate of Appointment. A copy of the Certificate of Appointment must be provided to the library director for the purpose of filing the certificate with the official papers of the library. The Certificate of Appointment must also be filed with the clerk of the circuit court in your county within 30 days from taking the oath of office or the library board appointment becomes **null and void** (IC 5-4-1).

The certificate is found at this URL: www.in.gov/library/files/plbmcertap.pdf.)

3. Ensuring attendance of board members at meetings

The simplest way to get better attendance is to ask an attorney to explain board member liability to your board members. Missing a meeting is risky. If those who attend take action that is illegal, even those who were not there to vote are at risk. Being there and voting "no" on the action is much better protection. A vacancy occurs whenever a member is absent from

six (6) consecutive regular board meetings for any cause other than illness. The appointing authority shall be notified by the secretary of the board of a vacancy. (IC 36-12-2-20(b))

A few points to consider regarding your board meetings:

1. Are meetings businesslike and productive?
2. Are meetings under two hours?
3. Are the agenda items board level items or are the board dealing with trivial matters?
4. Is everyone encouraged to participate?
5. Does another board member contact the missing board member(s) after the meeting and encourage them to attend next time?

4. Engaging Board members in planning and participating in library projects

Be positive. Get board members to buy into planning. As ideas are mentioned and discussed, ask the board member who seems most interested or who suggested something in particular to chair a committee to develop that plan or policy. Be sure to use people from the community, staff, Friends of the Library, teachers, etc., on the committee with the board member. It is always good to get the ideas of a wide range of the community. Again, be positive. Get the board excited. Brainstorm, but don't run a topic into the ground. Your excitement can be contagious. Serve food!

5. Sample Library Board Bylaws

These are **suggestions** only. They indicate the points to be covered, but each library board must adapt them to fit local conditions. Bylaws are required by Indiana Public Library Standards, 590 IAC 6, in order for the library to be in compliance with standards and qualify for state and federal funds and must be on file at Indiana State Library. 590 IAC 6-1-4(g) "The library shall have written bylaws that outline its purpose and its operational procedures and address conflicts of interest issues and nepotism. The by-laws shall be reviewed at least every three years. A copy of the bylaws shall be submitted to the Indiana State Library."

Article I Membership, Purpose and Authority

Section 1. The _____ Public Library is a municipal corporation and Class [#] library organized under the public library provisions of IC 36-12. The purpose of the library is to meet the educational, information, and recreational interests and needs of the public.

Section 2. In accordance with the provisions of IC 36-12, the library board of _____ Public Library shall consist of members chosen for their fitness for public library trusteeship.

Section 3. The library board shall govern the library under according to the purposes and authority set forth in IC 36-12, as amended, and such other Indiana and federal laws as affect the operation of the Library.

Article II Officers

Section 1. Officers of the board shall be a President, Vice President, Secretary and Treasurer.

Section 2. The officers shall be elected at the January meeting and shall serve a term of one year. Vacancies in office shall be filled at the next regular meeting of the board after the vacancy occurs.

Section 3. The duties of the officers shall be such as by custom and law and the rules of this board usually devolve upon such officers in accordance with their titles. (Or the duties might be defined here.)

Article III Meetings

Section 1. The library board shall meet on the (___) of each month at (___) o'clock at the (location). The (name a month) meeting shall be the annual meeting.

Section 2. Special meetings may be called by the President, or upon written request of 2 members, for the transaction of business as stated in the call. Notice stating the time and place of any special meeting and the purpose for which called shall be given each member of the board at least 2 days in advance of such meeting and to the local media 48 hours in advance, as according to law.

Section 3. A quorum for the transaction of business shall consist of a majority-equal to 50% of the number of seats established by law- plus one. This is regardless of any current vacancies on the library's board. Any vote by a board which does not have a quorum present may be legally invalid.

Section 4. Order of business may be:

Call to order

Reading and approval of minutes

Approval of bills

Report of the librarian

Committee reports

Communications

Unfinished business

New business

Adjournment

Section 5. *Robert's Rules of Order*, last revised edition, shall govern the parliamentary procedure of the board.

Article IV Committees

(Suggestion: Special committees for the study of special problems may be appointed by the chairman, with the approval of the board, to serve until the final report of the work for which they were appointed has been filed at a regular library board meeting. Bylaws might include provision for standing committees appointed by the president at the first meeting following the annual meeting, to serve for one year. A **finance committee**, which might be either a standing committee or a special committee, would assist the library director in preparing the annual budget and represent the library board to justify it before the governing body.

In most matters, the board's most effective operation is as a committee of the whole. Boards of larger libraries may need other committees to advise the librarian and to represent the board in the community on such subjects as buildings and maintenance, personnel, library program, and extension of service.

Special committees may investigate, study, and report all matters on which the board can **act** more expeditiously as a whole.)

Article V Library Director

The library director shall be considered the executive officer of the board and shall have sole charge of the administration of the library under the direction and review of the board. The library director shall be held responsible for the care of the building(s) and equipment, for the employment and direction of the staff, for the efficiency of the library's service to the public, and for the operation of the library under the financial conditions set forth in the annual budget. The library director shall attend all library board meetings, except those at which her/his appointment, salary, or performance is to be discussed or decided.

Article VI Ethics for Library Trustees

Trustees, in the capacity of trust imposed upon them, shall observe ethical standards with absolute truth, integrity and honor.

Trustees must promote a high level of service while observing ethical standards.

Trustees must avoid situations in which personal interests might be served or financial benefits gained at the expense of library users, colleagues or the institution.

Trustees will not use the library for personal advantage or the personal advantage of friends or relatives.

It is incumbent upon any Trustee to disqualify himself/herself immediately whenever the appearance of a conflict of interest exists.

Article VII Nepotism

Board members and their immediate family members (as defined below) will be excluded from

consideration for employment by the organization.

Employees shall not hold a position with the organization while they or members of their immediate family (as defined below) serve on the board of directors or any committee of the board.

Employees may not hold a job over which a member of their immediate family exercises supervisory authority. In this section and sections 1 and 2 above, immediate family includes the following: husband, wife, son, son-in-law, daughter, daughter-in-law, father, father-in-law, mother, mother-in-law, brother, brother-in-law, sister, sister-in-law, grandparents, and grandchildren.

Article VIII Amendments

These bylaws may be amended at any regular meetings of the library board with a quorum present, by majority vote of the members present, providing the amendment was stated in the agenda for the meeting.

Sample Nepotism Template to Include in the Bylaws

Part One

1. Board members and their immediate family members (as defined below) will be excluded from consideration for employment by the organization.

2. Employees shall not hold a position with the organization while they or members of their immediate family (as defined below) serve on the board of directors or any committee of the board.

3. Employees may not hold a job over which a member of their immediate family exercises supervisory authority. In this section and sections 1 and 2 above, immediate family includes the following: husband, wife, son, son-in-law, daughter, daughter-in-law, father, father-in-law, mother, mother-in-law, brother, brother-in-law, sister, sister-in-law, grandparents, and grandchildren.

Part Two

It is well accepted that employment of relatives in the same area of an organization can cause serious conflicts and problems with favoritism and employee morale. In these circumstances, all parties, including supervisors, leave themselves open to charges of inequitable consideration in decisions concerning work assignments, transfer opportunities, performance evaluations, promotions, demotions, disciplinary actions, and discharge. In addition to claims of partiality in treatment at work, personal conflicts from outside the work environment can be carried into day-to-day working relationships.

It is XYZ's policy that relatives of persons currently employed by XYZ may be hired only if they will not be working directly for or supervising a relative. If already employed, they cannot be transferred into such a reporting relationship. If the relative relationship is established after employment, the individuals concerned shall decide who is to be transferred. If that decisions is not made within 30 calendar days, management shall decide.

In other cases where a conflict or the potential for conflict arises, even if there is no supervisory relationship involved, the parties may be separated by reassignment or terminated from employment.

For the purpose of this policy, a relative is defined to include spouses, parents, children, brothers, sisters, brothers-and sisters-in-law, father- and mothers-in-law, stepparents, stepbrothers, stepsisters, and stepchildren. This policy also applies to individuals who are not legally related but who reside with another employee.

Part Three

EMPLOYMENT OF SPOUSES: With respect to the employment of relatives, XYZ reserves the right to:Refuse to place one spouse under the direct supervision of the other spouse where such has the potential for creating an adverse effect on supervision, safety, security, or morale.

a. Refuse to place both spouses in the same department, division, program or facility where such has the potential for creating an adverse effect on supervision, safety, security, morale, or involves potential conflicts of interest.

EMPLOYMENT OF OTHER RELATIVES: Relatives, up to and including first cousins of any agency employee, board of trustee or any:

a. Person exercising, hiring, promotion, and termination authority may not be hired into agency service without approval of the chief executive or the executive committee of the board of trustees.

b. Relatives within the third degree of kinship by blood or marriage of any agency employee, regardless of status, will not be hired in the same department, division, program, or facility where such has the potential for creating an adverse effect on supervision, safety, security, morale or involves potential conflicts of interest without the written prior approval of the chief executive.

c. If two (2) employees marry or become related, or cohabit and a conflict arises, only one (1) of the employees will be permitted to stay with XYZ unless reasonable accommodations can be made to eliminate the potential problems. The decision as to which relative will remain with XYZ must be made by the two (2) employees within three (3) calendar days or by XYZ on the basis of service value.

IC 35-44-1-3 Conflict of interest

Sec. 3. (a) A public servant who knowingly or intentionally:
(1) has a pecuniary interest in; or
(2) derives a profit from;
a contract or purchase connected with an action by the governmental entity served by the public servant commits conflict of interest, a Class D felony.
(b) This section does not prohibit a public servant from receiving compensation for:
(1) services provided as a public servant; or
(2) expenses incurred by the public servant as provided by law.
(c) This section does not prohibit a public servant from having a pecuniary interest in or deriving a profit from a contract or purchase connected with the governmental entity served under any of the following conditions:
(1) If the:

(A) public servant is not a member or on the staff of the governing body empowered to contract or purchase on behalf of the governmental entity;

(B) functions and duties performed by the public servant for the governmental entity are unrelated to the contract or purchase; and

(C) public servant makes a disclosure under subsection (d)(1) through (d)(6).

(2) If the contract or purchase involves utility services from a utility whose rate structure is regulated by the state or federal government.

(3) If the public servant:

(A) is an elected public servant or a member of the board of trustees of a state supported college or university; and

(B) makes a disclosure under subsection (d)(1) through (d)(6).

(4) If the public servant:

(A) was appointed by an elected public servant or the board of trustees of a state supported college or university; and

(B) makes a disclosure under subsection (d)(1) through (d)(7).

(5) If the public servant:

(A) acts in only an advisory capacity for a state supported college or university; and

(B) does not have authority to act on behalf of the college or university in a matter involving a contract or purchase.

(6) If the public servant:

(A) is employed by the governing body of a school corporation and the contract or purchase involves the employment of a dependent or the payment of fees to a dependent; and

(B) makes a disclosure under subsection (d)(1) through (d)(6).

(7) If the public servant is under the jurisdiction of the state ethics commission as provided in IC 4-2-6-2.5 and obtains from the state ethics commission, following full and truthful disclosure, written approval that the public servant will not or does not have a conflict of interest in connection with the contract or purchase under IC 4-2-6 and this section. The approval required under this subdivision must be:

(A) granted to the public servant before action is taken in connection with the contract or purchase by the governmental entity served; or

(B) sought by the public servant as soon after the contract or purchase as the public servant becomes aware of the facts that give rise to a question of conflict of interest.

(d) A disclosure required by this section must:

(1) be in writing;

(2) describe the contract or purchase to be made by the governmental entity;

(3) describe the pecuniary interest that the public servant has in the contract or purchase;

(4) be affirmed under penalty of perjury;

(5) be submitted to the governmental entity and be accepted by the governmental entity in a public meeting of the governmental entity prior to final action on the contract or purchase;

(6) be filed within fifteen (15) days after final action on the contract or purchase with:

(A) the state board of accounts; and

(B) if the governmental entity is a governmental entity other than the state or a state supported college or university, the clerk of the circuit court in the county where the governmental entity takes final action on the contract or purchase; and

(7) contain, if the public servant is appointed, the written approval of the elected public

servant (if any) or the board of trustees of a state supported college or university (if any) that appointed the public servant.

(e) The state board of accounts shall forward to the state ethics commission a copy of all disclosures filed with the board under IC 16-22-2 through IC 16-22-5, IC 16-23-1, or this section.

(f) The state ethics commission shall maintain an index of all disclosures received by the commission. The index must contain a listing of each public servant, setting forth the disclosures received by the commission made by that public servant.

(g) A public servant has a pecuniary interest in a contract or purchase if the contract or purchase will result or is intended to result in an ascertainable increase in the income or net worth of:

(1) the public servant; or

(2) a dependent of the public servant who:

(A) is under the direct or indirect administrative control of the public servant; or

(B) receives a contract or purchase order that is reviewed, approved, or directly or indirectly administered by the public servant.

(h) It is a defense in a prosecution under this section that the public servant's interest in the contract or purchase and all other contracts and purchases made by the governmental entity during the twelve (12) months before the date of the contract or purchase was two hundred fifty dollars ($250) or less.

(i) Notwithstanding subsection (d), a member of the board of trustees of a state supported college or university, or a person appointed by such a board of trustees, complies with the disclosure requirements of this chapter with respect to the member's or person's pecuniary interest in a particular type of contract or purchase which is made on a regular basis from a particular vendor if the member or person files with the state board of accounts and the board of trustees a statement of pecuniary interest in that particular type of contract or purchase made with that particular vendor. The statement required by this subsection must be made on an annual basis.

(j) This section does not apply to members of the governing board of a hospital organized or operated under IC 16-22-1 through IC 16-22-5 or IC 16-23-1.

(k) As used in this section, "dependent" means any of the following:

(1) The spouse of a public servant.

(2) A child, stepchild, or adoptee (as defined in IC 31-9-2-2) of a public servant who is:

(A) unemancipated; and

(B) less than eighteen (18) years of age.

(3) Any individual more than one-half (1/2) of whose support is provided during a year by the public servant.

As added by Acts 1978, P.L.144, SEC.7. Amended by Acts 1981, P.L.304, SEC.1; P.L.329-1983, SEC.1; P.L.66-1987, SEC.28; P.L.13-1987, SEC.16; P.L.183-1988, SEC.1; P.L.109-1988, SEC.3; P.L.197-1989, SEC.3; P.L.2-1993, SEC.185; P.L.22-1995, SEC.3; P.L.1-1997, SEC.149

IC 5-16-11-5.5 Conflicts of interest; consultants

Sec. 5.5. (a) A consultant has a conflict of interest if any of the following apply:

(1) The entity has given a gift or gifts:

(A) to the consultant, the consultant's spouse, or the consultant's unemancipated children;

(B) that have a total fair market value of more than one hundred dollars ($100); and

(C) within the preceding year.

(2) The consultant, the consultant's spouse, or the consultant's unemancipated children have an equitable or a legal interest in real property the value of which:

(A) either:

(i) is at least five thousand dollars ($5,000); or

(ii) comprises at least ten percent (10%) of the net worth of the consultant, the consultant's spouse, or the consultant's unemancipated children; and

(B) has been or would be increased or decreased if a contract were awarded to the entity.

(3) The consultant or the consultant's spouse is employed by the entity.

(4) The entity is the sole proprietorship or professional practice of the consultant or the consultant's spouse.

(5) The consultant or the consultant's spouse is a partner in the entity.

(6) The consultant or the consultant's spouse is an officer or a director of the entity.

(7) The consultant, the consultant's spouse, or the consultant's unemancipated children own stock or options to purchase stock in the entity and the stock or the options to purchase stock have a fair market value of more than ten thousand dollars ($10,000). This subdivision does not apply to the following:

(A) Time deposits or demand deposits in a financial institution.

(B) An insurance policy.

As added by P.L.52-1991, SEC.3.

IC 5-16-11-6 Conflict of interest disclosure; filing

Sec. 6. (a) A consultant shall file a conflict of interest disclosure if the consultant has a conflict of interest under section 5.5 of this chapter.

(b) The disclosure required under subsection (a) must describe the conflict of interest.

(c) The consultant shall file the disclosure required under subsection (a) within ten (10) days of the earlier of the following events:

(1) The closing day for receipt of bids.

(2) The award of the contract.

As added by P.L.73-1989, SEC.1. Amended by P.L.9-1990, SEC.12;

Lucrative Office

Article 2 Section 9 of the Constitution of Indiana, states:. No person holding a lucrative office or appointment under the United States or under this State is eligible to a seat in the General Assembly; and no person may hold more than one lucrative office at the same time, except as expressly permitted in this Constitution. Offices in the militia to which there is attached no annual salary shall not be deemed lucrative.
(History: As Amended November 6, 1984).

(2/93) Form 236

UNIFORM CONFLICT OF INTEREST DISCLOSURE STATEMENT
Indiana Code 35-44-1-3

A public servant who knowingly or intentionally has a pecuniary interest in or derives a profit from a contract or purchase connected with an action by the governmental entity served by the public servant commits conflict of interest, a Class D Felony. A public servant has a pecuniary interest in a contract or purchase if the contract or purchase will result or is intended to result in an ascertainable increase in the income or net worth of the public servant or a dependent of the public servant who is under the direct or indirect administrative control of the public servant; or receives a contract or purchase order that is reviewed, approved, or directly or indirectly administered by the public servant.

"Dependent" means any of the following: the spouse of a public servant; a child, stepchild, or adoptee (as defined in I.C. 31-3-4-1) of a public servant who is unemancipated and less than eighteen (18) years of age; and any individual more than one-half (•) of whose support is provided during a year by the public servant.

The foregoing consists only of excerpts from I.C. 35-44-1-3. Care should be taken to review I.C. 35-44-1-3 in its entirety.

1. Name and Address of Public Servant Submitting Statement:

_____

_____

2. Title or Position with Governmental Entity:

_____

3. a. Governmental Entity: _____

   b. County: _____

4. This statement is submitted (check one):
   a. ___ as a "single transaction" disclosure statement, as to my financial interest in a specific

contract or purchase connected with the governmental entity which I serve, proposed to be made by the governmental entity with or from a particular contractor or vendor; or

b. ___ as an "annual" disclosure statement, as to my financial interest connected with any contracts or purchases of the governmental entity which I serve, which are made on an ongoing basis with or from particular contractors or vendors.

5. Name(s) of Contractor(s) or Vendor(s):

_____

_____

6. Description(s) of Contract(s) or Purchase(s) (Describe the kind of contract involved, and the effective date and term of the contract or purchase if reasonably determinable. Dates required if 4(a) is selected above. If "dependent" is involved, provide dependent's name and relationship):

_____

_____

_____

_____

_____

7. Description of My Financial Interest (Describe in what manner the public servant or "dependent" expects to derive a profit or financial benefit from, or otherwise has a pecuniary interest in, the above contract(s) or purchase(s); if reasonably determinable, state the approximate dollar value of such profit or benefit.):

_____

_____

_____

_____

_____

_____

(Attach extra pages if additional space is needed)

8. Approval of Appointing Officer or Body (To be completed if the public servant was appointed by an elected public servant or the board of trustees of a state supported college or university):

I (We) being the _____ of

(Title of Officer or Name of Governing Body)

_____and having the power to appoint
(Name of Governmental Entity)

the above named public servant(s) to the public position to which he or she holds, hereby approve the participation to the appointed disclosing public servant in the above described contract(s) or purchase(s) in which said public servant has a conflict of interest as defined in Indiana Code 35-44-1-3; however, this approval does not waive any objection to any conflict prohibited by statute, rule, or regulation and is not to be construed as a consent to any illegal act.

_____	_____
_____	_____
_____	_____
Elected Official	Office

9. Effective Dates (Conflict of interest statements must be submitted to the governmental entity prior to final action on the contract or purchase.):

_____	_____
Date Submitted	Date of Action on Contract or Purchase

10. Affirmation of Public Servant: This disclosure was submitted to the governmental entity and accepted by the governmental entity in a public meeting to the governmental entity prior to final action on the contract or purchase. I affirm, under penalty of perjury, the truth and completeness of the statements made above, and that I am the above named public servant.

Signed: _____
(Signature of Public Servant)

Date: _____

Within 15 days after final action on the contract or purchase, copies of this statement must be filed with the State Board of Accounts, Indiana Government Center South, 302 West Washington Street, Room E418, Indianapolis, Indiana, 46204-2738 and the Clerk of the Circuit Court of the county in which the governmental entity executed the contract or purchase. A copy of this disclosure will be forwarded to the Indiana State Ethics Commission.

Handouts that are in the chapter:

Certificate of Appointment Public Library Board Member

www.in.gov/library/files/plbmcertap.pdf

Conflict of Interest Form

www.in.gov/sboa/files/Form236.pdf

IN The Public Trust

www.in.gov/library/3274.htm

Trustee Programs

Contact the LDO Office 1-800/451-6028 to set up an onsite presentation for an "Overview of IN the Public Trust" or other available programs.

Helpful information

IC 36-12-2 and IC 36-12-3 Public Libraries: Organization and Board Members

The code includes board appointment information, terms, meetings, treasurer information, duties, powers, etc.

www.in.gov/legislative/ic/code/title36/ar12/

Chapter 2

Public Library Standards

Public Library Standards are the standards set by the Indiana Library and Historical Board which **public libraries are required to meet to be able to receive any state or federal funds disbursed by the Indiana State Library in the form of grants or monetary awards**. The current standards are found in 590 IAC 6 www.in.gov/legislative/iac/T05900/A00060.PDF?.

The funds affected include:

- State technology grants
- E-rate funds for Internet connectivity
- Discounts on state-wide services for which the Indiana State Library charges (including InfoExpress)
- PLAC distribution
- Other state funds
- LSTA grants

Templates and advice for writing trustee bylaws, technology and long range plans are available from the Library Development Office. Questions about the standards should be addressed to Karen Ainslie or Edie Huffman, Library Development Office.

Questions regarding AccessPoint, www.in.gov/library/accesspoint.htm, a resource available to meet standards regarding web sites, should be addressed to Wendy Knapp, Professional Development Office.

Questions about the Evergreen Indiana Open Source Integrated Library System www.in.gov/library/evergreen.htm, a resource to meet standards regarding automation and a public access catalog, should be addressed to Shauna Borger, Library Development Office.

590 IAC 6 follows.

ARTICLE 6. GENERAL PROVISIONS

Rule 1. Standards of Eligibility to Receive State Funds

590 IAC 6-1-1 Purpose of rule

Authority: IC 4-23-7.1-11; IC 4-23-7.1-24
Affected: IC 4-23-7.1

Sec. 1. Standards for public libraries are established to:
(1) encourage libraries to maintain a minimum level of service; and
(2) establish criteria for eligibility to receive state and federal appropriations.

(Indiana Library and Historical Board; 590 IAC 6-1-1; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011)

590 IAC 6-1-2 Definitions

Authority: IC 4-23-7.1-11; IC 4-23-7.1-24

Affected: IC 4-23-7

Sec. 2. The following definitions apply throughout this article:

(1) "Bylaws" means the rules adopted by the library board for the:

(A) government of its members; and

(B) regulation of its affairs.

(2) "Class A" means libraries serving a population greater than thirty-nine thousand nine hundred ninety-nine (39,999).

(3) "Class B" means libraries serving a population of at least ten thousand one (10,001) but fewer than forty thousand (40,000).

(4) "Class C" means libraries serving a population of ten thousand (10,000) or less.

(5) "Collection expenditures" means items that are purchased with operating funds and made available to patrons by the library for loan and reference including:

(A) books;

(B) audiovisual materials;

(C) electronic media devices; and

(D) databases.

(6) "Continuing education" means an approach to education that encourages dynamic and continuous learning.

(7) "Director" means the librarian who is:

(A) the administrative head of the library; and

(B) responsible to the library board for the operation and management of the library.

(8) "Electronic media devices" means devices used by the public to directly access information, excluding peripherals and connectivity.

(9) "Evening hours" means the hours the library is open after 6:00 p.m.

(10) "Fixed location" means each main location, branch, or campus of a library district.

(11) "Full-time" means that the director is paid for:

(A) at least thirty-five (35) hours per week; or

(B) if the library is open fewer than thirty-five (35) hours per week, the number of hours that the library is open.

(12) "INSPIRE" means the virtual library composed of multiple on-line databases available to residents of Indiana.

(13) "Integrated library system" means software used to track:

(A) items owned;

(B) circulation; and

(C) patron records.

(14) "Library board" means the fiscal and administrative body of a public library.

(15) "Library sponsored program" means a workshop, program, seminar, or outreach program sponsored by the library, in which the library's staff plays a significant role,

including, but not limited to, technology, informational literacy, early literacy, children's, cultural programming, and other programming offered for the community.

(16) "Population served" means residents of the library district taxed for the support of the library.

(17) "Public access computer" means each computer connected to the Internet available to patrons and each workstation with software available to patrons, for example, word processing and spreadsheets, or specialized children's programs. Each fixed service location with wireless access to the library's public Internet shall be computed as ten (10) public access computers.

(18) "Special services" means library service for people who are:

(A) blind;

(B) deaf; or

(C) physically disabled.

(19) "Weekend day" means the library is open four (4) hours per day on Saturday or Sunday.

(20) "Young adult" means the age group defined by the American Library Association's Young Adult Library Services Association.

(Indiana Library and Historical Board; 590 IAC 6-1-2; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011)

590 IAC 6-1-3 Eligibility to receive state funds; determination

Authority: IC 4-23-7-5; IC 4-23-7.1-24

Affected: IC 4-23-7.1-11; IC 36-12-11

Sec. 3. The eligibility of a public library to receive state or federal funds and services under the provisions of any program for which the Indiana state library is the administrator shall be determined as follows:

(1) Compliance with any requirements that may be set forth in state legislation providing for such funds.

(2) Compliance with Indiana law.

(3) Compliance with the standards promulgated by the Indiana library and historical board.

(Indiana Library and Historical Board; 590 IAC 6-1-3; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011)

590 IAC 6-1-4 Minimum standards for public libraries

Authority: IC 4-23-7.1-11; IC 4-23-7.1-24

Affected: IC 4-23-7; IC 4-23-7.1; IC 6-1.1-18.5; IC 36-12

Sec. 4. (a) The library must operate in compliance with Indiana laws, including the following:

(1) The Public Library Law under IC 36-12.

(2) The Indiana Library and Historical Department Law under IC 4-23-7.

(3) Other Indiana laws that affect municipal corporations.

(b) The library board is responsible for hiring a full-time library director with the education and experience required by the librarian certification rules under 590 IAC 5.

(c) The library board and director shall maintain their separate functions as follows:

(1) The board is responsible for governance and policy.

(2) The director is responsible for administration, operation, and management of the library.

(d) With the advice and recommendations of the library director, the library board shall adopt the following:

(1) An annual classification of employees.

(2) Schedules of salaries.

(3) The proposed library budget.

(4) Library policies.

(e) The library must comply with federal laws affecting employment practice. The library shall have written personnel policies and procedures. Written personnel policies and procedures must address at least the following:

(1) Employment practices, such as the following:

(A) Recruitment.

(B) Selection.

(C) Appointment.

(2) Personnel actions.

(3) Salary administration.

(4) Employee benefits.

(5) Conditions of work.

(6) Leaves.

(f) The Indiana State Library will provide orientation materials to new library board trustees and training materials to all library trustees and directors annually. The library board shall adhere to the principles discussed in approved and current Indiana state library publications for library trustees.

(g) The library shall have written bylaws that state its purpose and its operational procedures. The bylaws shall specifically state rules governing conflicts of interest issues and nepotism. The bylaws shall be reviewed by the board of trustees at least every three (3) years. A copy of the bylaws shall be submitted to the Indiana state library within 60 days of their adoption. All amendments to the bylaws that have been adopted by the board in each year shall be submitted with the library's annual report.

(h) With the advice and recommendation of the library director, the library board shall adopt the following written plans and policies:

(1) Collection development.

(2) Principles of access to all library materials and services.

(3) A long-range plan of service for between three (3) to five (5) years. The plan, updates, and revisions must be filed with the Indiana state library. At a minimum, the plan shall include the following:

(A) A statement of community needs and goals.

(B) Measurable objectives and service responses to the community's needs and goals.

(C) An assessment of facilities, services, technology, and operations.

(D) An ongoing annual evaluation process.

(E) Financial resources and sustainability.

(F) Collaboration with other:

(i) public libraries; and

(ii) community partners.

(4) A technology plan of service for three (3) years. The plan, updates, and revisions must be filed with the Indiana state library. At a minimum, the plan shall include the following:

(A) Goals and realistic strategy for using telecommunications and information technology.

(B) A professional development strategy.

(C) An assessment of telecommunication services, hardware, software, and other services needed.

(D) An equipment replacement schedule.

(E) Financial resources and sustainability.

(F) An ongoing annual evaluation process.

(G) An automation plan that conforms to national cataloging standards.

(i) All newly constructed and existing library facilities must be in compliance with local, state, and federal building and health and safety codes.

(j) The library must comply with provisions of the federal Americans with Disabilities Act to make its physical and digital services available to everyone.

(k) The library shall provide the following minimum services:

(1) Acquisition, organization, and loan of print, audiovisual, digital, and other collections.

(2) Availability of general collections to the public during regular library hours of operation.

(3) A library expending at least seven and five-tenths percent (7.5%) of its operating fund expenditures for library collections shall meet basic standards for collection expenditures. A library expending the equivalent of fifteen percent (15%) of its operating expenditures, which includes operating, gift, and related funds, for library collections shall meet enhanced standards for collection expenditures. A library expending the equivalent of twenty percent (20%) of its operating expenditures, which includes operating, gift, and related funds, for library collections shall meet exceptional standards for collection expenditures.

(4) The library shall provide the following means of communication with the public:

(A) A telephone listed in the library's name.

(B) An answering machine, voice mail, or other similar technology to provide operating hours of the library.

(C) An e-mail address or a means of electronic contact for the library listed on the library's website.

(D) A means to provide copies to the public at each location. A fee may be charged not to exceed a fee established by Indiana state law.

(E) Technology available to transmit documents electronically or through phone lines, for example, a fax machine.

(5) A website that must include the following:

(A) Hours of operation, physical address or addresses, a map for each fixed service location, phone number, and e-mail address.

(B) Electronic resources provided free of charge to the citizens of Indiana by the state of Indiana, for example, INSPIRE.

(C) Public service policies including, but not limited to, circulation policies, fees, and Internet use, adopted by the library board.

(D) The library's online public access catalog.

(E) A calendar of events and programs, which shall be updated at least monthly.

(6) Interlibrary loan is free of charge within Indiana (other than reimbursement for actual direct photocopy and postage costs), and each public library shall lend materials through at least one (1) of the following:

(A) Statewide reciprocal borrowing program.

(B) OCLC Resource Sharing.

(C) Evergreen Indiana.

(D) Local reciprocal borrowing with at least one (1) other public library district within the library district's county or an adjacent county.

(7) Participate in the statewide delivery service provided by the Indiana State Library with the following frequency from a single fixed location within the library district:

	Basic	Enhanced	Exceptional
Class A Library	Three (3) days/week	Four (4) days/week	Five (5) days/week
Class B Library	Two (2) days/week	Three (3) days/week	Four (4) days/week
Class C Library	One (1) day/week	Two (2) days/week	Three (3) days/week

(8) Adult services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate.

(B) Knowledge of and access to reference materials, including INSPIRE.

(C) A collection of materials for adults.

(D) Space designated in the library for adult services.

(E) To achieve an enhanced level of service, a library shall designate one (1) or more staff to serve at least part time as an adult services librarian by a qualified individual holding the appropriate librarian certificate at each fixed location.

(F) To achieve an exceptional level of service, a library shall designate one (1) full-time equivalent staff member designated as an adult services librarian by a qualified individual holding the appropriate librarian certificate at each fixed location.

(9) Young adult services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate.

(B) Knowledge of and access to reference materials, including INSPIRE.

(C) A collection of materials for young adults.

(D) Space designated in the library for young adult services.

(E) To achieve an enhanced level of service, a library shall designate one (1) or more staff to serve at least part time as a young adult services librarian by a qualified individual holding the appropriate librarian certificate at each fixed location.

(F) To achieve an exceptional level of service, a library shall designate one (1) full-time equivalent staff member designated as a young adult services librarian by a qualified individual holding the appropriate librarian certificate at each fixed location.

(10) Children's services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate.

(B) A collection of materials for children, parents, and caregivers in each fixed location.

(C) Space in each fixed location designated in the library for children's services.

(D) An annual summer reading program for a minimum of six (6) weeks at each fixed location.

(E) To achieve an enhanced level of service, a library shall designate one (1) or more staff to serve at least part time as a children's services librarian by a qualified individual holding the appropriate librarian certificate at each fixed location.

(F) To achieve an exceptional level of service, a library shall designate one (1) full-time equivalent staff member designated as a children's services librarian by a qualified individual holding the appropriate librarian certificate at each fixed location.

(11) Library sponsored programming shall be provided with the following minimum frequency within each library district:

	Basic	Enhanced	Exceptional
All Public Libraries	Five (5) library programs for every one thousand (1,000) people served per year, with a minimum of twelve (12) library programs per year regardless of population served.	At least ten (10) library programs for every one thousand (1,000) people served per year, with a minimum of twelve (12) library programs per year regardless of population served.	At least fifteen (15) library programs for every one thousand (1,000) people served per year, with a minimum of twelve (12) library programs per year regardless of population served.

(12) Provide access directly or through the Indiana State Library to large print books, Braille books, audio books, and enhanced media to patrons who are unable to read regular print, because of a visual or a physical disability.

(13) An integrated library system with an online public access catalog available on the library's website.

(14) The library shall provide public access computers with a minimum Internet connection speed of one and five-tenths megabits per second (1.5 Mbps) per fixed service location. Computers shall be provided for the free use of all persons regardless of residency, so long as such use would not violate any laws or other legally binding prohibitions imposed upon the person, including, but not limited to, fines owed to the library or violations of library policies.

(15) The library shall have a base level of technology consisting of at least one (1) staff computer with office software and operating systems, connected to the Internet and a printer. Public access computers shall be connected to the Internet and printers as detailed as follows:

(16) The library shall purge or mark inactive unused library patron cards at least once every three (3) years, deleting those patrons who have not used the card in the last three (3) years and do not owe materials, fines, or fees to the library.

(l) Hours of service shall be provided to allow the greatest possible access for the community as follows for each public library system. Using the definitions provided in section 2 of this rule, hours open is calculated by taking the total unique hours the district is open for regular public service for the majority of the year. The standards for hours and service days are as follows:

	Basic	Enhanced	Exceptional
Class A Libraries	Fifty-five (55) hours per week, including	Sixty (60) hours per week, eight (8) evening hours, and	Sixty-five (65) hours per week, eight (8) evening hours, two (2)

	six (6) evening hours and one (1) weekend day	one (1) weekend day; or sixty (60) hours per week, six (6) evening hours, and two (2) weekend days	weekend days; or sixty-five (65) hours per week, ten (10) evening hours, and one (1) weekend day
Class B Libraries	Forty (40) hours per week, including four (4) evening hours and one (1) weekend day	Fifty (50) hours per week, four (4) evening hours, and one (1) weekend day	Fifty-five (55) hours per week, six (6) evening hours, two (2) weekend days; or fifty-five (55) hours per week, eight (8) evening hours, and one (1) weekend day
Class C Libraries	Twenty (20) hours per week, including two (2) evening hours and one (1) weekend day	Thirty (30) hours per week, including two (2) evening hours and one (1) weekend day	Forty (40) hours per week, including four (4) evening hours and two (2) weekend days; or forty (40) hours per week, six (6) evening hours, and one (1) weekend day

(m) The library shall provide support for continuing education for staff and trustees.

(n) A library district located within another library district serving an overlapping population shall be considered a branch of the larger library district for purposes of meeting public library standards.

(o) The library shall file with the Indiana State Library by February 1 of each year an annual report for the preceding calendar year, in the form prescribed by the Indiana state library. Any falsification of statements certifying which standards have been met shall result in the library being required to return to the Indiana state library any state or federal funding that was received. The report shall include a statement from the director and board president or their designee certifying which standards have been met, including a statement outlining the library's intention and specific measures planned to reach the remaining requirements not met at that time.

(p) The Indiana Library and Historical Board may provide a temporary waiver, not to exceed one (1) year at a time, for a public library to be exempt from one (1) or multiple public library standards under the following conditions:

(A) The public library is deemed to be out of compliance with one (1) or more standards.

(B) The public library submits an appeal to the Indiana State Library seeking a waiver and stipulating the reason or reasons for a temporary or one (1) year waiver to be granted.

(C) The request for a waiver illustrates unusual, unforeseen, or extreme circumstances beyond the library's control.

(Indiana Library and Historical Board; 590 IAC 6-1-4; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011; errata filed Mar 31, 2010, 10:21 a.m.: 20100414-IR-590100185ACA)

Chapter 3
Indiana Library Laws and Other Laws Affecting Libraries

Indiana public libraries must follow all applicable state and federal laws.

Indiana public libraries are municipal corporations (units of local government) per IC 36-12-1-5. The **Indiana Code (IC)** has a chapter dedicated to public libraries in Indiana, **IC 36-12** www.in.gov/legislative/ic/code/title36/ar12/. This is commonly referred to as the **"Library Law"**. Indiana public library directors, staff, and trustees need to be very familiar with this section of the **Indiana Code**.

Indiana public libraries must also be familiar with the **Indiana Administrative Code 590 (IAC) 3, 5, and 6**, www.in.gov/legislative/iac/title590.html, listing the public library administrative rules that libraries must follow, including the Public Library Access Card (PLAC), certification and public library standards.

Other laws that must be followed are listed in the **Indiana Code** and are followed by all political subdivisions in Indiana. These include, but are not limited to:

- public purchasing
- public works
- Indiana Open Door law
- Access to Public Records Act
- bonding
- real property
- building and fire codes
- budgeting

There are also federal laws that must be followed such as:

- Family and Medical Leave Act www.dol.gov/whd/fmla/index.htm
- Americans with Disabilities Act, www.usdoj.gov/crt/ada/adahom1.htm
- Fair Labor Standards Act, www.dol.gov/dol/compliance/comp-flsa.htm
- Equal Employment Opportunity Act, www.eeoc.gov/laws/index.cfm
  www.dol.gov/dol/topic/discrimination/index.htm

When there is a legal question concerning laws the library must follow, **your library attorney should be contacted**. State Board of Accounts will accept the opinion of your library attorney, when that opinion is in writing from the attorney and not in direct conflict with the law.

The Indiana State Library has a general counsel to interpret Indiana law as it relates to libraries; however, each library may still want to have and use their own attorney for the final word on legal issues.

Indiana Open Door Law (IC 5-14-1.5)

The Open Door Law ("ODL"), originally passed by the Indiana General Assembly in 1977, was enacted to permit the citizens of Indiana access to meetings held by public agencies. By providing the public with an opportunity to attend and observe meetings, the public may witness government in action and more fully participate in the governmental process.

Indiana Access to Public Records Act (IC 5-14-3)

The Access to Public Records Act ("APRA"), originally passed by the Indiana General Assembly in 1983, was enacted to permit the citizens of Indiana broad and easy access to public records. By providing the public with the opportunity to review and copy public records, the APRA gives individuals the opportunity to obtain information relating to their government and to more fully participate in the governmental process.

The Handbook on Indiana's Public Access Laws sets forth the basic elements of the Open Door Law and the Access to Public Records Act and also provides answers to commonly asked questions. In order to find answers to more specific questions, please consult the provisions of the Indiana Code.

The Handbook on Indiana's Public Access Laws may be found at
www.in.gov/pac/files/pac_handbook.pdf

The State has a Public Access Counselor is available to answer questions about the Open Door Law.

Public Access Counselor
Phone: 317-233-9435 or 1-800-228-6013
Fax: 317-233-3091
www.in.gov/pac/

Past advisory opinions can also be found on the web at www.in.gov/pac/2330.htm

Americans with Disabilities Act (ADA)

www.usdoj.gov/crt/ada/adahom1.htm

The intent of the law is to provide the person with a disability equal access to library facilities, information, computer technology, programs, services, and other resources.

The Americans with Disabilities Act (ADA) was passed July 26, 1990 as Public Law 101-336 (42 U.S.C. Sec. 12101 et seq). The ADA was enacted to create a balance between the reasonable accommodation of citizens' needs and the capacity of private and public entities to respond. It is not an affirmative action law but is intended to eliminate discrimination and level the playing field for disabled individuals.

The Americans with Disabilities Act extends civil rights protection to people with disabilities. These rights include equal access to employment, public services, public accommodations provided by public and private entities, transportation, and telecommunications resources.

The law is comprised of five titles with Titles I and II being the primary sections that affect libraries.

Title I requires employers to provide qualified individuals with disabilities an equal opportunity to benefit from the full range of employment-related opportunities available to

others. For example, it prohibits discrimination in recruitment, hiring, promotions, training, pay, social activities, and other privileges of employment. It restricts questions that can be asked about an applicant's disability before a job offer is made, and it requires that employers make reasonable accommodation to the known physical or mental limitations of otherwise qualified individuals with disabilities, unless it results in undue hardship.

Title II requires that State and local governments give people with disabilities an equal opportunity to benefit from all of their programs, services, and activities.

State and local governments are required to follow specific architectural standards in the new construction and alteration of their buildings. They also must relocate programs or otherwise provide access in inaccessible older buildings, and communicate effectively with people who have hearing, vision, or speech disabilities.

Public entities are not required to take actions that would result in undue financial and administrative burdens. They are required to make reasonable modifications to policies, practices, and procedures where necessary to avoid discrimination, unless they can demonstrate that doing so would fundamentally alter the nature of the service, program, or activity being provided.

ADA Home Page: www.ada.gov/ (for more information and technical assistance)

Sales (Library / Friends Group)

According to **IC 36-12-3-5,** the library board may sell, exchange, or otherwise dispose of real property and personal property no longer needed for library purposes in accordance with IC 36-1-11 and IC 5-22.

The library board may transfer personal property no longer needed for library purposes for no compensation or a nominal fee to an Indiana nonprofit library organization that is (1) tax exempt, and (2) organized and operated for the exclusive benefit of the library disposing of the property, without complying with IC 36-1-11 or IC 5-22. (501c3 Friends group)

The library board may accept gifts of real or personal property and hold, mortgage, lease, or sell the property as directed by the terms of the grant, gift, bequest, or devise, when the action is in the interest of the public library.

In order to be eligible to receive personal property from the library, the Friends of the Library must:

(a) be registered with the Indiana Secretary of State as a nonprofit corporation;
(b) obtain Employee Identification Number (EIN) (even if there will be no employees);
(c) obtain tax-exempt status under Internal Revenue Code Section 501(c);
(d) obtain state sales tax exemption;
(e) apply to the Indiana Department of Revenue (IDOR) using Form BT-1 for a sales tax ID number if the Friends will have employees or sell tangible goods for more than thirty (30) days.

A Friends group will need to report to IDOR annually, quarterly or monthly depending on how much sales tax the group estimates on the BT-1 that it will collect. Generally, a 12-month/year business operation will report and pay sales tax monthly.

Sales of merchandise by a Library See Sales Tax Bulletin #4 (link provided below)

Sales by state and local agencies are tax exempt unless the sale involves a “proprietary” (nontraditional) activity. According to IDOR, “an activity is proprietary when it is not necessary in the performance of a library’s governmental function of lending books, providing reference materials, providing access to the internet…etc.” and when it is an activity competing with the private sector.

According to IDOR, examples of taxable sales are sales of USB drives, book bags or book marks, sales of books if the books were purchased for resale and not for the library’s exempt function of loaning books to patrons, etc.

According to IDOR, examples of non-taxable “sales” are library card fees, debt collection fees, printing and copying fees, penalties and fines, sales of books originally purchased and used by the library for lending to patrons, etc.

Sales by the Friend's Group – carried on fewer than 31 days in one calendar year

See Sales Tax Bulletin #10 (link provided below)

"Sales of tangible personal property by qualified nonprofit organizations carried on for a total of not more than thirty (30) days in a calendar year and engaged in as a fund raising activity to raise funds to further the qualified nonprofit purposes of the organization are exempt from sales tax"

If a Friends group sells books or other items less than thirty-one days in a calendar year, it is exempt from charging sales tax. Assume that a Friends group is selling tangible personal property inside the library and the estimated length of sales days is less than 31 in the calendar year. If the group was to leave the premises for a lunch break and left a sign instructing a patron to take the merchandise to the library's check-out desk to make the purchase, the library would not collect sales tax. According to the IDOR, the library would be assisting the nonprofit in the sales of the nonprofit's merchandise and thus, would not need to collect sales tax.

Sales by the Friend's Group - carried on more than 30 days in a calendar year

See Sales Tax Bulletin #10 (link provided below)

"If an organization conducts sales or fund raising activities during thirty-one (31) or more days in a They also must register as nonprofit organizations. A single application (Form BT-1) is used to register with the Indiana Department of Revenue for sales tax, innkeepers' tax, and food and beverage tax. A separate application is required for each business location. The nonrefundable application fee for a Retail Merchant's Certificate is $25. Form BT-1 can be completed online at https://secure.in.gov/apps/dor/bt1/ Similarly, if the library was assisting the Friends group with its sales, the library also would collect the tax.

Resources for additional information:

Sales Tax Bulletin #4 Sales to and by Indiana State and Local Governments and the United States Government and Its Agencies www.in.gov/dor/reference/bulletins/sales/pdf/sib04.pdf

Sales Tax Bulletin #10 Application of Sales Tax to Nonprofit Organizations
www.in.gov/dor/reference/bulletins/sales/pdf/sib10.pdf

Accounting and Uniform Compliance Guidelines Manual for Public Libraries (Ch. 13)
www.in.gov/sboa/files/lib2010_013.pdf

Indiana Department of Revenue (IDOR)

www.in.gov/dor/3325.htm

Sales Tax: (317) 233-4015

Please check with IDOR or your library's attorney if further information is needed.

Policies and Plans Required by Law

Included in this chapter are the policies and plans public which library boards must adopt. The Library Development Office has copies of by-laws and policies from other public libraries if you are interested in seeing sample polices. The Library Development Office has also created a template for board by-laws. Also consult Chapter 2, Public Library Standards.

When you develop a new policy or update an old policy, the State Library requests that you email us an electronic copy for the virtual vertical file or the Internet address so that we may create a link to it from the State Library's Web site.

For examples of ***policies*** *from Indiana public libraries*, go to the following link on the State Library's Internet site: www.in.gov/library/3290.htm

For examples of ***plans*** *from Indiana public libraries*, go to the following link on the State Library's Web site: www.in.gov/library/3308.htm

Policies/plans needed to fulfill the *minimum requirements*

Library Board By-laws

- Outlines purpose and operational procedures and
- Addresses conflicts of interest issues and nepotism
- Review at least every three (3) years
- Bylaws filed with the Indiana State Library within 60 days of adoption
- Amendments submitted each year with annual report

Long-Range Plan

- Covers between three (3) to five (5) years of service
- States community needs and goals
- Contains measurable objectives and service responses
- Assesses facilities, services, technology and operations
- Ongoing annual evaluation process
- Addresses financial resources and sustainability
- Includes plan to collaborate with other libraries and community partners
- Plan filed with the Indiana State Library
- Updates and revisions must be filed with the Indiana State Library

Technology Plan

- Covers three (3) years
- Goals and strategy for using telecommunications and information technology
- Contains a professional development strategy
- Assesses telecommunication services, hardware, and software
- Includes an equipment replacement schedule
- Includes a plan for financial resources and sustainability

- Contains an ongoing annual evaluation process
- Includes an automation plan that conforms to national cataloging standards

This plan, covering three years including the eRate budget year, must be approved and on file with the Indiana State Library in order to apply for and receive the eRate discount on Internet lines. For additional information see Chapter 10 on eRate. You are still required to submit a technology plan even if you do not apply for federal eRate funding.

Standards require the following:

Collection Development Policy
Principles of Access/
Annual Classification of Employees
Schedules of Salaries
Library policies

- **Circulation Policy, Including a Fines and Fees Policy**
  - See *Accounting and Uniform Compliance Guidelines Manual for Libraries* 1-3

Personnel policy and procedures

(1) Employment practices, such as:
  i. Recruitment
  ii. Selection
  iii. Appointment
(2) Personnel actions
(3) Salary administration
(4) Employee benefits
(5) Conditions of work
(6) Leaves

See *Accounting and Uniform Compliance Guidelines Manual for Libraries* 8-1 (could be a part of the personnel policy)

A useful resource is *Model Employee Policies for Indiana Employers with Legal Commentary*. 4th edtion. Indiana Chamber, 2003. Borrow from Indiana State Library or call Indiana Chamber at 800-824-6885 for pricing.

Disaster Recovery Plan for Computer Systems

See Accounting & Uniform Compliance Guidelines Manual for Libraries 5-4

Internet Acceptable Use Policy

- IC 36-12-1-12
  - Must be reviewed annually and

- Must address the appropriate use of the Internet or other computer network by library patrons in all areas of the library

For libraries receiving the eRate discount, or LSTA grants, the policy must also be an Internet Safety Policy and after providing reasonable notice and holding at least one public meeting, the library must approve a policy that addresses the following:

- access by minors to inappropriate content on the Internet and World Wide Web
- the safety and security of minors when using electronic mail, chat rooms, and other forms of direct electronic communications
- unauthorized access, including hacking, and other unlawful activities by minors online
- unauthorized disclosure, use, and dissemination of personal identification information regarding minors
- measures designed to restrict minors' access to materials harmful to minors

Children's Internet Protection Act (CIPA) and Neighborhood Children's Internet Protection Act (N-CIPA) (PL 106-554)

Investment Policy

IC 5-13-7-7, see *Accounting and Uniform Compliance Guidelines Manual for Libraries* 9-14

Purchasing Policy

IC 5-22-3-3, see *Accounting and Uniform Compliance Guidelines Manual for Libraries* (Small Purchase Policy-under $50,000) 10-7

Records Excepted from Disclosure Policy

IC 5-14-3-4, see *Accounting and Uniform Compliance Guidelines Manual for Libraries* 6-4 and

Moving and Interview Expense Policy (If the library will pay such expenses)

IC 36-12-2-24(c), see *Accounting and Uniform Compliance Guidelines Manual for Libraries* 8-4 (Could be a part of the Personnel policy

Travel Policy (If the library will pay such expenses) See *Accounting and Uniform Compliance Guidelines Manual for Libraries* 8-3 (Can be part of Personnel policy)

Personnel Policies Checklist (Possible topics to cover)

For examples of policies and procedures see the Indiana State Personnel Department webpage www.in.gov/spd/2393.htm.

See also "Chapter 10 Employment Practices, Workers Rights" in this Manual.

1. **Employment-At-Will Disclaimer**
2. **Job Classifications**; full-time and part-time status
3. **Orientation/Trial Period**
4. **Equal Employment Opportunity Statement**
5. **Sexual Harassment Policies**
6. **Work Rules and Disciplinary Policy and Procedures** — common items may be:
    - excessive absences, tardiness, or early leaves
    - use, possession, actual or intended distribution or being under the influence of drugs, controlled substances, or alcohol
    - insubordination
    - refusal to cooperate with investigation
    - falsification of library records, including the employment application
    - negligent or unauthorized use of library equipment
    - harassment, physical or verbal abuse of employees, patrons, or visitors
    - gambling during working hours
    - theft or unauthorized use or possession of library property or another person's property
    - soliciting or seeking support or contributions during working time for any cause or organization without management approval
    - violation of safety rules or common safety practices
    - failure to make a prompt report of any accident on library property
    - inattention to the job or poor job performance
    - failure to observe library working hours and schedules, including scheduled overtime
    - disclosure of confidential information to unauthorized persons
7. **Hours of Work**, **Layoff/Recall**
8. **Military Leave**
9. **Jury Service**
10. **Bereavement Leave**

11. **Attendance Policy**
12. **Vacation**
13. **Holidays**
14. **Personal Days**
15. **Sick Days**
16. **Union-Free Workplace Statement**

    Open Door Statement (do not restrict employees from communicating with members of management other than their immediate supervisors)
17. **Bulletin Boards** — fosters communication between employees
18. **Substance Abuse Policy**
19. **Family and Medical Leave Act Policies**
20. **Smoking** – prohibited in facility and within 8 feet of public entrances
21. **Dress Code**
22. **References —** prevents employer from releasing references that will cause it to be held liable for defamation
23. **Promotion/Transfer/Job Openings**
24. **Timekeeping Requirements**
25. **Health Insurance, Health Savings Accounts**, **Disability Benefits Programs, Deferred Compensation, and InPRS (formerly PERF)**
26. **Confidential Information**
27. **Personal Belongings**
28. **Employment of Relatives**
29. **Safety and Health**
30. **Inclement Weather/Emergencies**
31. **Telephone** (for customer satisfaction and customer and staff personal calls)
32. **Internet/E-mail**
33. **Employee Examination of Personnel Files — employer must provide employee access to his/her personnel file; documents should not be removed.**
34. **Termination of Employment**
35. **Receipt/Acknowledgement – helps to ensure that the employee has read the handbook**

Manuals and Publications:
Management Necessities for Public Libraries

1. **Accounting and Uniform Compliance Guidelines Manual for Libraries**

   Reissued 2010, revised yearly, (often referred to as "Budget Manual"), request copies from State Board of Accounts: 1-317-232-2521. This manual is now on the Internet and can be downloaded: www.in.gov/sboa/2404.htm

   You can then search the manual using the "find" function of your document.

2. **Handbook on Indiana's Public Access Laws**

   The revised edition (updated November 2011) is available online, prepared by the Office of the Attorney General and Office of the Public Access Counselor.

   www.in.gov/pac/files/pac_handbook.pdf

3. **Indiana Library Resource Sharing Manual** (2010):

   www.in.gov/library/3288.htm

4. **Indiana Public Library Directory** (Revised as needed and often)
   www.in.gov/library/pldirectory.htm

5. **IN The Public Trust: A Reference Manual for Indiana Public Library Board Members** (1993, revised 2012): www.in.gov/library/3274.htm
   *see the Survival Guide's Chapter 2 – Library Board Information

6. **Library Budget Manual…a Guide Through the Process of Local Government Budgeting** (This manual was last updated May 2010)

   www.in.gov/dlgf/4843.htm

7. **Library Laws IC 36-12**

Please consult the online edition of Indiana Library Laws which contains the most current information at the following webpage:

www.ai.org/legislative/ic/code/title36/ar12/index.html

8. **Indiana Administrative Code**
   Please consult the online edition of the Indiana Administrative Code for the most current information

   www.in.gov/legislative/iac/iac_title?iact=590

9. **Statistics of Indiana Public Libraries** (Annual edition available at):

   www.in.gov/library/plstats.htm

Chapter 4

INDIANA STATE LIBRARY E-RESOURCES:

INSPIRE: www.inspire.in.gov

What is INSPIRE?

INSPIRE is Indiana's Virtual Library. INSPIRE is a collection of academic databases and other information resources that can be accessed by Indiana residents using any computer equipped with an Internet Protocol (IP) address located in Indiana and a Web browser such as Firefox or Internet Explorer.

INSPIRE began in January 1998 as a partnership between the Indiana State Library and the Indiana Cooperative Library Services Authority **(**INCOLSA), along with a one-time grant from the Lilly Endowment Inc. Today, INSPIRE is funded through a combination of funds from the Indiana General Assembly and LSTA (Library Services and Technology Act) funding in partnership with the Academic Libraries of Indiana. The Indiana State Library administers the program, and provides support for and training on INSPIRE.

What kind of information is available on INSPIRE?

INSPIRE includes following content: magazine and journal articles, websites, pamphlets, images, almanacs, library catalogs, eBooks, sample tests, and more.

Who can access INSPIRE?

INSPIRE is accessible for Indiana residents who have Internet access at school, home, in their library or at their place of business. An Indiana user is identified by their IP address; this is called IP authentication.

How much does INSPIRE cost to use?

INSPIRE is provided at no cost to all residents of Indiana.

Who is paying for INSPIRE?

INSPIRE is a service of the Indiana State Library. INSPIRE is supported by the Indiana General Assembly through Build Indiana Funds, the Institute of Museums and Library Services under the provisions of the Library Services and Technology Act and in partnership with Academic Libraries of Indiana.

What is available on INSPIRE?

INSPIRE is a collection of eBooks, academic databases, online encyclopedias, career resources, and much more. INSPIRE is not only a search engine geared towards students, it has features designed for jobseekers, teachers, health professionals, and dozens of other professional, personal and leisure interests

WebJunctionin.webjunction.org

WebJunction Indiana (IN.WebJunction.org**)** offers online content to libraries such as courses in everything from basic computer skills to advanced web design and from using the Internet to library management skills. Additionally, in the discussion groups, library staff can go online to communicate and share ideas with other libraries around the world. Library professionals may register today and start taking advantage of WebJunction's resources and engaging in current discussions.

WebJunction Indiana provides all of the aforementioned standard WebJunction resources along with local content of special interest. The community includes material from the Indiana State Library and other Indiana libraries, plus professional articles and instructional columns from WebJunction contributors. **WebJunction Indiana** also provides useful tools, such as a statewide calendar of library events, free access to TechAtlas technology planning software, and TechSoup, which offers libraries discounts on computing tools, including hardware and software. In the future, Courses in the WebJunction Indiana catalog meet continuing education requirements for certification.

WebJunction Indiana classes are paid for by the Indiana State Library and made available to Indiana library professionals currently working in a library. A catalog of more than 300 courses is available to WebJunction Indiana members. Additionally, WebJunction offers at least 2 webinars per month on hot topics for libraries around the country and the world.

LEUs are available to Indiana public library staff based on course duration or course length (NOT CONTACT HOURS*) on an hour for hour basis, .5 hour is rounded up to the hour. If both contact hours and course length/course duration are listed, please use course length to determine the LEUs received.

To register for TechAtlas and use the professional development, inventories, or technology planning tools, visit webjunction.techatlas.org/tools/. Be sure to partner with the Indiana State Library if you'd like to have someone verify that your technology plan is sufficiently meeting requirements before you submit it for approval.

Access Point

www.in.gov/library/accesspoint.htm

Access Point provides free high-quality and functional websites to public libraries through a content management system. The program is free for public libraries without a current online presence and those having difficulty maintaining their existing site. The program includes many features that will make maintaining a website simple and painless, and the State Library will provide an initial template, training, and assistance.

The new public library standards that went into effect January 1, 2011, require that public libraries have a functional website. ***Access Point*** is a simple and cost-effective solution to not only meet this standard, but put you ahead of the curve by connecting your community to innovative and practical online library services

To learn more about the program you may visit the program's website: www.in.gov/library/accesspoint.htm or contact the Professional Development Office (317) 234-5650 or (800) 451-6028 (Indiana only).

Indiana Memory

www.indianamemory.org

Indiana Memory is a web portal, providing access to Indiana's history and culture as found in digitized books, manuscripts, photographs, newspapers, maps, audio, video and other resources. It is part of a statewide collaborative effort to provide access to the wealth of primary sources found in Indiana libraries, archives, museums, and other cultural institutions. Guidelines for digital imaging projects based on national standards have been created and are available to organizations digitizing collection items on the Indiana Memory website.

The Indiana Memory web interface provides multiple access points to the digital collections. The user has the ability to search across all collections, just one collection, or select the collections that are of interest. A selection of pre-determined subject searches is also available on the home page. Because the initial searches are done from the indexed metadata, results are quickly available.

A public library may participate in Indiana Memory in a number of ways.

1. The easiest way is for the library to use CONTENTdm for their digital collections. After obtaining permission from the host library, the Indiana State Library will harvest the metadata and the thumbnail images.

2. If a public library receives a LSTA digitization grant from the Indiana State Library, the resulting digital collection will automatically be included in Indiana Memory. ISL provides free access to the ISL server and its statewide CONTENTdm license for these projects.

3. Public libraries can apply to use ISL CONTENTdm license for their digital project by completing the project application available on the website (www.in.gov/library/indianamemory.htm)

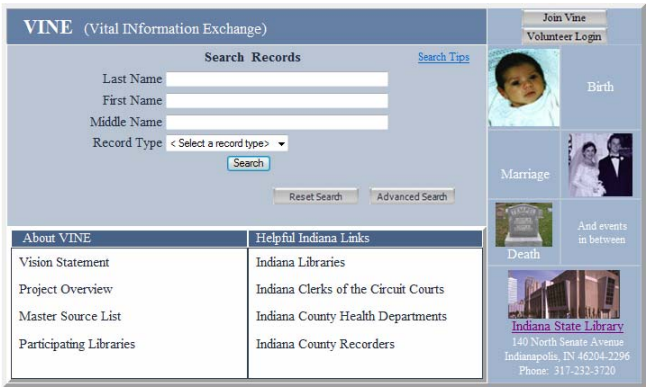
4. If the library is using a different collection management software program to provide online access to its digital images, it can supply the Indiana Memory program with display images and a tab-delimited text file containing metadata.

5. The Indiana State Library will also make its statewide license available to those libraries requesting to use our Mobile Scanning Units. The Mobile Scanning Unit, which includes a laptop computer, scanner and appropriate software, is available for an eight-week loan to local organizations. The State Library will also supply training in scanning and metadata creation along with the equipment at no cost.

In all of the above cases, the digital collection must meet the provisions of the Indiana Memory collection development policy and the standards set by the Scanning and Metadata Guidelines. Libraries are strongly encouraged to discuss their digitization projects with the State Library before they begin the actual scanning.

Indiana Memory is constantly evolving and adding new collections. For more information about the web portal and how to participate, contact Connie Rendfeld (crendfeld@librariy.in.gov) or call (317) 232-3694.

The Indiana Memory program is part of a statewide digitization program funded by a Library Service and Technology Act (LSTA) grant.



VINE (Vital Information Exchange)

www.vine.in.gov

This statewide collaborative database brings together Indiana-related local history and vital records from Indiana's public libraries, historical societies, genealogy societies, and related agencies. The goal of the project is to allow genealogy and local history researchers to quickly and efficiently locate vital records and local history information from one centralized online location.

The Web-based VINE does not require downloadable software to access the database. This enables libraries and related organizations to search records from any computer with Internet access. The database is searchable by county, event, or general surname. These records are available to the public at no charge and include a host of records such as: anniversary, birth, biography, cemetery, census, church, death, marriage, military, mortality, naturalization, obituary, and school records.

If you would like to join the VINE, go to www.vine.in.gov, click on the "Library Login" button in the upper right hand corner of the page. On the next page, click on the "Join VINE" button in the upper right hand corner, complete the online registration form, and click the "Add Organization" button. A username and password will be sent to the primary contact's email address. If you have records in an electronic format and would like to have them added to the VINE, save your data in Access, or Excel 97, burn to a CD ROM, and send to the project coordinator. If you are unable to save your information in either of these formats we will work with you on an individual basis.

Online video presentations are available on the VINE website at www.vine.in.gov. The videos provide a project overview, helpful information and tutorials. The Library's IT staff is also available and can handle all issues concerning the VINE except the data entry of new records. For any questions or comments regarding the VINE, please contact Lisa Meadows, Vine Project Coordinator, by phone at (317) 232-3720 or by email at vine@statelib.lib.in.us.

Library Listservs

www.in.gov/library/listservs.htm

All Indiana Library Professionals INlibraries@lists.IN.gov

The INlibraries listserv is for all types of Indiana libraries – academic, institutional, public, school, and special. Rather than focus on particular specializations in librarianship, the purpose of this listserv is to create a forum to discuss information, issues, services, and opportunities that affect every librarian statewide.

Public Library Professionals inpublib@lists.IN.gov

Indiana librarians can ask about other libraries' policies, programs, if a type of equipment is good or bad, offer library items for sale or free. The list of possibilities is endless. If you ask a question, there will probably be someone who can answer it or has had the same experience.

Library Marketing & PR Professionals LibraryPR@lists.IN.gov

LibraryPR is an open discussion list dedicated to library professionals who specialize in public relations, communications, marketing and outreach at their library. The LibraryPR listserv will give marketing professionals the opportunity to share ideas, resources, and strategies for increasing public awareness of libraries programs and services, offer best practices and success stories, receive updates on regional and statewide partnership opportunities and outreach initiatives, and learn more about upcoming marketing workshops and professional development opportunities.

Children's Librarians inchildprog@lists.IN.gov

Indiana librarians can share successful children's programming ideas, list upcoming events for their libraries, coordinate speaker sharing, borrow & exchange resources, an discuss program flops.

Teen/Young Adult Librarians yappers@lists.IN.gov

YAPPERS is for librarians who serve teens and young adults. The list is a forum for exchanging ideas and dealing with issues that relate to service for those patrons between ages 12 and 18.

Trustees trustees@lists.IN.gov

Indiana trustees can ask about other library policies, learn about trustee training programs, or find out about a library building project. Ask any question. Chances are there will be someone to answer that has had a similar experience.

eResources eresources@lists.IN.gov

Discuss current issues and developments regarding eReaders, eBooks and other emerging digital content. This list examines best practices for the use of eResources and how digital content is made available statewide.

To subscribe to any of the listservs visit: www.in.gov/library/listservs.htm

LYRASIS™

Advancing Libraries Together

www.lyrasis.org

Indiana libraries are LYRASIS Group Member Affiliates and can participate in the benefits of LYRASIS membership at no cost to the libraries by virtue of Indiana State Library's partnership and status as a LYRASIS Group Member. Indiana Group Member Affiliates, including public libraries, will continue to have access to LYRASIS library products and databases, training, and consulting services at LYRASIS member rates. More specifically, these membership benefits include:

- **DISCOUNTED PRICING** - Proving the power of group buying, LYRASIS offers members discounts on hundreds of products and services—electronic information resources, hardware, software, library management tools, and library supplies—from more than 100 vendors. Through LYRASIS membership, for example, Indiana State Library and its Group Member Affiliates will continue to have access to an exclusive Baker and Taylor discount program as well as a subscription to a NetLibrary Shared eBook Collection.

- **PROFESSIONAL DEVELOPMENT SERVICES** - Through a special partnership with the Indiana State Library, Indiana library and information professionals can take any of hundreds of prepaid live online courses from LYRASIS. These courses normally cost between $120 and $220, but are available at no cost to libraries across the state. LYRASIS distance education courses are taught by professional instructors on a wide range of current library topics, including Metadata and Cataloging, Digitization and Preservation, Technology Trends and Applications, Reference and Resource Sharing, and many more. In addition to the special partnership for online distance learning, Indiana Group Member Affiliates can also register and pay for on-site and customized training sessions at member rates. To view all LYRASIS classes, visit www.lyrasis.org/Classes-and-Events.aspx.

- **CONSULTING SERVICES** - Advice on a variety of topics is provided by well-qualified LYRASIS staff and outside experts in the library field via LYRASIS' Consulting Services. The LYRASIS Strategic Planning Toolkit can also be purchased by Indiana Group Member Affiliates.

- **TECHNOLOGY** - Keeping up with technology is an important task in today's libraries. One of LYRASIS' technology-related services provides access to a combined online test bed for emerging technologies. From sampling a wide array of open source software to exploring selected commercial applications, members can track trends and emerging standards in the world of information content. Assistance in planning, installing, and troubleshooting hardware and software is also offered through TechSquad.

- **PRESERVATION SERVICES** - LYRASIS provides comprehensive preservation services, including disaster preparedness and resources, training in preservation techniques, consulting, and grant writing for preservation projects.

- **DIGITAL SERVICES** - From classes on digitization, to consulting services, to discounts on digital services products, to the Mass Digitization Collaborative, a grant-subsidized digitization initiative, LYRASIS' Digital Services offers a full range of support to help members develop and maintain digital collections and services in their libraries and organizations.

- **COMMUNICATION** - LYRASIS communicates with the membership through a variety of communication tools, including an information-packed website. Support is available via phone, fax, a Help Desk, and Live Chat.

- **MY LYRASIS** - My LYRASIS is a 24/7 service providing members the convenience of "one-stop shopping", monitor purchases and payments of services, maintain contact information, register for workshops, and post job openings.

For further information regarding any of the services mentioned here or to explore the many other services available from Lyrasis, the Indiana State Library and Group Affiliate Members can contact:

Eric Zino (eric.zino@lyarsis.org)
Member Products and Services Consultant for the state of Indiana

or

John Yorio (john.yorio@lyrasis.org)
LYRASIS' Regional Support Specialists.

Chapter 5

Indiana Public Library Certification Manual

Produced by the Indiana State Library,
Professional Development Office
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Chapter 5-1

Introduction and History

Librarian Certification

Looking Back and Moving Forward

Librarian certification has been a state requirement for decades. In 2006, the State Library re-examined the administrative rule and began a discussion about bringing certification into compliance with the Indiana Code. In early 2007, the State Library held seven town hall meetings across Indiana. It formed a certification task force in the Spring of 2007 which worked throughout the year to develop a recommended rule that was unanimously approved at the final meeting in November 2007. The Indiana State Library then held informational meetings across the state to discuss the taskforce recommendation in December 2007, and continued to attend meetings in the spring of 2008 to inform the public libraries of the proposal of the taskforce. Following these meetings, the Indiana Library and Historical Board held a public hearing and a separate meeting to vote on the rule in May of 2008. These rules were adopted unanimously by the Board. Participants in all meetings overwhelmingly wanted a meaningful librarian certification program.

Current Law States:

IC 36-12-11-6 - Certification requirements
Sec. 6. All library directors, library department or branch heads, and professional assistants, except those who are employed at school libraries or libraries of educational institutions, must hold a certificate under section 7 of this chapter.
Who should be certified?

- Public library directors, branch heads, department heads, and professional assistants
- Other staff in the library have an option to be certified through the specialist program should they desire to or a local unit requires certification

How these job classifications are defined (IC 36-12-11-6 and 590 IAC 5-1-9)?

- **Director:**

  There is one Library Director per Library system. Associate directors are considered Department Heads. The Director will need to complete 100 Library Education Units (LEUs) in each 5-year renewal cycle

- **Branch or Department Head:**

  Branch or Department Heads who are required to be certified, based on their duties, will be required to complete 75 LEUs in each 5-year renewal cycle. A branch or department head that devotes more than half of his or her time to work that requires:

  - knowledge of professional library practice, development and management of collections and of technical library processes
  - the ability to deal with people in a professional capacity as distinguished from clerical
  - includes but not limited to staff classified as librarians, paraprofessionals, catalogers, reference assistants, and program coordinators

  Branch or Department heads that do not devote more than half of his or her time to the above work may choose to be certified as a specialist.

- **Professional Assistant Defined (590 IAC 5-1-13):**

  Includes positions in which the person devotes more than half his or her time to work that requires:

  - knowledge of professional library practice, development and management of collections and of technical library processes
  - the ability to deal with people in a professional capacity as distinguished from clerical
  - includes but not limited to staff classified as librarians, paraprofessionals, catalogers, reference assistants, and program coordinators

Who will <u>not</u> be required to be certified?

- Pages
- Clerks
- Marketing staff
- Business office staff
- Computer staff
- Maintenance workers
- Volunteers

How Is It Structured?

- A three-tiered certification process, structured in this way:
  - Libraries serving a population of 40,000 or more (A)
  - Libraries serving a population of between 10,000 to 39,999 (B)
  - Libraries serving a population of less than 10,000(C)
- **Librarian Certification Levels**
- **Librarian Certificate 1 (LC1)** - ALA-accredited MLS degree (or equivalent) with 10 years professional library experience (or 6 years professional experience including 3 years supervisory experience*)
- **Librarian Certificate 2 (LC2)** - ALA-accredited MLS degree (or equivalent) with 3 years professional library experience
- **Librarian Certificate 3 (LC3)** - ALA-accredited MLS degree (or equivalent)
- **Librarian Certificate 4 (LC4)** - Bachelor's degree from an accredited college or university, including 15 semester hours of required library science courses (590 IAC 5-1-8)
  - Selection and evaluation of materials;
  - Cataloging and organization of materials;
  - Public library administration;
  - Reference and information sources; and
  - Children’s Materials
- **Librarian Certificate 5 (LC5)** - 60 hours of college or associate's degree plus 9 semester hours of required library science courses (590 IAC 5-1-8)
  - Selection and evaluation of materials;
  - Public library administration; and
  - Reference and information sources
- **Librarian Certificate 6 (LC6) -** High school diploma or GED with 5 years of library experience or 9 semester hours of required library science courses. (590 IAC 5-1-8)

***supervisory experience –** supervising 2 or more MLS librarians

Specialist Certification Levels (Voluntary)

Specialist 1, 2, and 3 will need to complete 100 Library Education Units (LEUs) in each 5-year renewal cycle

- **Specialist 1-** Accredited Master's degree with 10 years professional experience in subject field (or 6 years of supervisory experience in subject field including 3 years of supervisory experience)
- **Specialist 2-** Accredited Master's degree with 3 years professional experience in subject field
- **Specialist 3-** Accredited Master's degree
- **Specialist 4-** Bachelor's degree from an accredited college or university, including 15 semester hours in subject field
- **Specialist 5-** 60 hours of college or associate's degree plus 9 semester hours in subject field

Terms for Certification

- Certification will be renewable every five years.
- Library staff, required to be certified and working on July 1, 2008, were grandfathered at their present job level and within their library district.
- Part-time employees in positions requiring certification need to be certified.

Certification Fees

- $50 fee per 5 year certificate upon application or renewal (Initial fee waived for those who were grandfathered in on July 1, 2008)
- Temporary certificates of a one year term are $10. (Limit of 3)

New Staff

- Newly hired staff that requires certification will have six months to become certified.
- Individuals unable to meet the certification requirements for their new position may apply for a one year temporary certification.
- Individuals may apply for up to 3 one-year temporary certifications as they work towards becoming certified.

Grandfathered Employees Who Change Library Systems or Position/Job Classification

- Must re-apply for certification within 6 months of their new start date
- Must meet current certification requirements for their new position or be able to meet those requirements within the span of 3 temporary licenses

Continuing Education as defined in 590 IAC 5-3-4 (Section 3):

Library education units (LEUs):

> (a) Library education providers are certified by the Indiana Library and Historical Board, including certified trainers in library-related or specialist subjects of importance to library operations.
> (b) College or university courses (credit and not for credit -1 semester hour =15 LEUs).
> (c) Local, state and national library association or specialist-subject related conferences (1 hour=1 LEU),
> (d) Workshops, seminars, institutes, lectures, training by certified trainers (1 hour =1 LEU).
> (e) The Indiana State Library will consider other library education providers on a case by case basis.

Library Education Units and Renewal*

- Renewal for a director will require the completion of one hundred (100) library education units in 5 (five) years. Ten (10) hours of LEUs will be computer or technology related.
- Renewal for a department or branch head will require seventy-five (75) library education units in five (5) years. Ten (10) hours of LEUs will be computer or technology related.
- Renewal for a professional assistant who is not a department or branch head will require fifty (50) library education units in five (5) years. Ten (10) hours of LEUs will be computer or technology related.
- Renewal for Specialist 1, 2, 3 will require the completion of one hundred (100) library education units in 5 (five) years. Ten (10) hours of LEUs will be computer or technology related.
- Renewal for Specialist 4 and 5 will require the completion of seventy-five (75) library education units in five (5) years. Ten (10) hours of LEUs will be computer or technology related.
- One hour of class time = 1 LEU

*It is the individual's responsibility to keep track of their own LEUs. Neither the Indiana State Library nor the continuing education provider is responsible for keeping records of each applicant's courses.

Continuing Education Opportunities

- A list of approved LEU providers is available on the State Library's certification website at in.webjunction.org/667/-/articles/content/4080024. Classes and Workshops sponsored by the Indiana Library Federation, OCLC Regional Service Providers, the Indiana State Library, WebJunction Indiana, Ivy Tech Community College, and the Schools of Library and Information Science are generally approved trainings.
- Roundtables and committee work of organizations are not considered eligible for LEUs.
- See Chapters 3 and 4 of this manual for more information

Chapter 5-2

New Certification Process for Librarians and Upgrading Certification Level

Librarians who are statutorily obligated to be certified and have not been grandfathered in (i.e. new library directors, branch heads, department heads and professional assistants) will need to complete an application and remit the fee to the Indiana State Library. Applications can be obtained by download from the State Library's certification website at in.webjunction.org/667/-/articles/content/4079938, contacting our office at pdo@library.in.gov or by calling 317-234-5650 or 1-800-451-6028, and an application will be mailed to you.

The fee is $50.00 for a five year certificate and $10.00 for a temporary and will need to be sent via a personal check or money order along with the application and a certified copy of your school transcripts to the address below. Transcripts must arrive from the school in unopened sealed envelopes. In order to guarantee their authenticity, the envelopes should have the institution's Registrar's seal stamped across the back Please keep your contact information current as it is used to send your renewal notice along with any updates regarding continuing education. Staff who are grandfathered are NOT required to pay the $50.00 fee until a new certificate is issued due to a change in certificate level, library district, or upon certification renewal in 5 years. Note: The information on your application is public as is the status of your certification; however your personal information will not be published.

Professional Development Office Indiana State Library 140 North Senate Avenue
Indianapolis, IN 46204

Upgrading Certifications

If you are upgrading the level of your certificate you will need to follow the same procedures as above (excluding school transcripts). If the Indiana State Library has current school transcripts on file they will not need to send those again.

When you upgrade certificate level, your previous certificate will be void along with the expiration date. The new expiration date will coincide with the new certificate. Please keep in mind that library education units will not transfer to another certificate level. For example, if you are grandfathered in at a librarian certificate 2 (LC2) and in three years you are eligible and apply for a librarian certificate 1 (LC1) you will not be able to carry the LEUs you have completed to the new certificate. The certificate cycle would start with the new certificate and you would have five years to complete the library education units.

Chapter 5-3

Renewal Certification Process for Librarians/Specialists

The renewal date will be based on the month in which you obtain your certification. Renewal cycles will be on a quarterly schedule. The quarter in which you renew would be based on the month in which the certificate was received.

- January through March would renew no later than March 31st of the fifth year certificate was held.
- April through June would renew no later than June 30th of the fifth year certificate was held.
- July through September would renew no later than September 30th of the fifth year certificate was held.
- October through December would renew no later than December 31st of the fifth year certificate was held.

On July 1, 2008, staff employed by a library in a position that required certification were grandfathered at their library district and at their current level.

Those who have been grandfathered will need to renew by no later than September 30, 2013.

The Indiana State Library will send out a renewal reminder to the address we have on file sixty (60) days prior to the renewal deadline. A certificate holder will have the option of renewing using an automated system through an online process utilizing the Indiana Professional Licensing Agency, renewing through mail, or in person at the Indiana State Library. Renewal will include:

1. Certification that the applicant has completed the correct number of Library Education Units (LEUs) for renewal. *(Please note that if you change positions during a renewal cycle but do NOT change certification levels you will need to complete the number of hours associated with the job title you held the majority of the time.)*
    a. Professional Assistants need to have completed 50 hours of approved educational units, including 10 hours of technology related training
    b. Branch/Department heads need to have complete 75 hours of approved library education units, including 10 hours of technology related training.
    c. Library Directors need to have completed 100 hours of approved library education units, including 10 hours of technology related training.
2. Submit the $50 renewal fee

The Indiana State Library will audit a percentage of each renewal cycle at random to ensure that LEUs have been completed. The individuals who are audited will receive a letter in the mail, notifying them that they are being audited. The applicant would then have an additional 60 days to send in proof of LEUs to the Indiana State Library. It is very important that to keep personal records of the LEUs taken. The Indiana State Library strongly advises that each certified librarian create a file in order to keep track of the classes taken and the number of hours received. There will not be any "roll-over" LEUs. If an applicant completes more hours than required, the additional hours will not count toward the next renewal cycle.

<u>Please keep all proof of the LEUs for ninety days (90) after receipt of certification renewal.</u>

Chapter 5-4

Library Education Unit Providers

In addition to the workshops, conferences, and courses offered by the Indiana State Library, the Indiana Library and Historical Board recognizes other library training course providers as appropriate providers to offer opportunities to earn Library Education Units. These include, but are not limited to, the American Library Association conferences, Indiana Library Federation conferences, OCLC Regional Service Providers workshops for library staff, Indiana University School of Library and Information Science courses, IVY Tech Library Technical Assistant courses, and WebJunction Indiana courses.

A list will be provided at in.webjunction.org/667/-/articles/content/4080024 and will continue to be updated as more courses and providers are approved.

An application to provide Library Education Units is available on the WebJunction Indiana Certification webpage at in.webjunction.org/667/-/articles/content/4080024. Please note the following information must be provided:

- Provider organization
- Trainer(s) names and related experience
- Agendas of library related courses or workshops
- Approximate time (in hours) to complete the course or workshop

The Indiana State Library will review the applications to become LEU provider. If approved, the named provider and trainer will be eligible to offer LEU opportunities to Indiana library staff. The course, as it is submitted, is approved for a period of two years as long as the agenda, objectives, content, and instructors remain the same. A change to even one of those aspects requires re-submission for approval. LEUs are awarded on an hour for hour basis, rounded up at the half hour.

It is the responsibility of the provider to provide proof of attendance to Indiana library staff. Proof of attendance must verify provider name, course name, date of course, length of course, general or technology, and attendee's name. The Indiana State Library will provide a template to the provider upon request.

Libraries that will be participating in a training opportunity from a source that is not an approved provider may send that information to the Indiana State Library Professional Development Office (pdo@library.in.gov) at least 30 days prior to the training. Trainings that have not been pre-approved by ISL are not eligible for LEUs and any certificates participants receive from unapproved trainings will not be honored. If library staff finds workshops that interest them, they should contact PDO to confirm if the session is approved or eligible.

Technology Classes

Technology classes that must account for 10 hours of LEUs for every certified librarian every 5 years may include trainings on specific programs libraries use, such as ILLiad, training on an Integrated Library System; and web development courses, INSPIRE training, etc. Additional topics may be acceptable. Please verify any topics with the Indiana State Library staff.

College Courses

Library Science courses from an accredited college or university are preapproved. LEUs will be awarded 15 LEUs per college credit (3 Credit Hour college course will be worth 45 LEUs). Official transcripts from the school will serve as proof of LEUs.

All other college courses will need to be preapproved.

Course approval criteria

The Indiana State Library uses the following criteria when approving courses/workshops for Library Education Units. The course or workshop:

1. Must provide the participants with knowledge of professional library practice, collections and of technical library processes;
2. Must provide the participants with ability to deal with people and organizations in a professional capacity as distinguished from clerical; and
3. Can include, but is not limited to, topics such as reference, cataloging, digitization, management, finance, computer software and hardware, and web development.
4. LEUs will be awarded for Technology for those courses/workshops that teach a specific computer software (e.g. Microsoft Office, SirsiDynix Symphony, Online databases, etc.), or hardware
5. Course and workshops that instruct employees on individual library policies, procedures, and benefits (e.g. How to fill out library forms, Time Management software, and Open Enrollment) are not skills that further the profession of librarianship, but assist the individual to function in a particular organization, and therefore do not count for LEUs.

Chapter 5-5

Certification Frequently Asked Questions and Answers

Certification level versus job function

Question: If I'm a professional assistant, can I be certified at a higher level if I meet the education and experience requirements?

Individual certification is issued on the basis of education and experience, not on job function. The rule provides guidance for the lowest certification level required for a particular job function. It does not dictate the certification level that a person holding a particular job function can be awarded, only the lowest level that must be achieved by an individual.

Library Education Units (LEUs)

Question: What kinds of continuing education courses are accepted?

• Accredited college and university courses (a 3 semester hour course over 15 weeks = 45 LEUs);
• OCLC Network classes, Indiana Library Federation conferences, Indiana State Library workshops and presentations by Professional Development Office staff (1 hour = 1 LEU);
• American Library Association and other library organization conferences (1 hour = 1 LEU);
• Professional conferences or workshops related to a specialist's job (1 hour = 1 LEU);
• Workshops and seminars relating to library services (1 hour = 1 LEU);
• Presentations by approved library trainers (1 hour = 1 LEU).

Question: What is the process of approving LEUS from providers not on the list?

The Indiana State Library has an application for the provider and/or the trainer to complete prior to the event for Indiana State Library to evaluate and then either approve or disapprove of the program for LEU credit. Informal education (regional meetings with an educational component, library trainer presentations) would need to be approved by the Indiana State Library prior to the event in order for LEUs to be approved.

Question: How will the LEUs be verified?

The Indiana State Library will audit a random percentage of each renewal cycle to ensure that LEUs have been completed. The individuals who are audited will receive a letter in the mail, notifying them, that they are being audited. The applicant would then have an additional 60 days to send in proof of LEUs to the Indiana State Library. It is very important that for each individual to keep records of the LEUs taken. The Indiana State Library strongly advises that you create a file in order to keep track of the classes taken and the number of hours received. There will not be any "roll-over" LEUs. If you complete more hours than required, the additional hours will not count toward the next renewal cycle. If you have not been audited, you may choose to dispose of the proof of the LEUs ninety days (90) after you receive your renewal.

Question: Are there any specific continuing education requirements?

All staff requiring certification must complete ten (10) hours of computer/technology LEUs in each five year renewal cycle. Otherwise, LEUs are at the discretion of the employee, library board, and administration. In each five year renewal period, library directors will be required to complete 100 LEUs, branch heads and department heads 75, and professional assistants 50. Safety training, (CPR, first aid, etc.), while valuable in a public facility, do not directly relate to library service, and would not be considered for LEUs. If you have any question, please consult with the Indiana State Library certification staff.

Question: Is there a database of continuing education providers?

The Indiana State Library posts and regularly updates the WebJunction Indiana website to list authorized trainers and education providers.

Question: If I don't currently work for a library, but I want to be certified, how many LEUs do I have to complete every 5 years to remain certified?

The number of LEUs for those not currently employed is determined by the position the person could hold. Therefore if someone has the qualifications to hold a Librarian Certificate 1, but not currently working in a library, s/he would be eligible to be employed as a director in a Class A library, and would therefore need to complete 100 hours of LEUs over 5 years to keep the certification current. A person with a high school diploma and 9 semester hours of library science courses or 5 years of library science experience (Librarian Certificate 6), but not currently working for a library would be qualified to be a Branch or Department Head at a Class C library, and would therefore need to complete 75 hours of LEUs over 5 years to keep his/her certification current.

Question: Will Spanish courses count as LEUs? What about roundtable discussion or tours of other libraries?

No. While Spanish, or any number of foreign languages, could be appropriate for assisting diverse populations throughout Indiana, it is not directly related to library service. Tours and round tables do not offer specific objectives that can be applied uniformly for the profession.

Question: What kinds of sessions count at conferences?

Presentations at conferences, including keynote speeches and author talks, count on an hour for hour basis. Attendees of sessions in which professional skills are developed, for example readers' advisory, expanded knowledge of literary works, and trends in librarianships may earn LEUs on an hour for hour basis.

Meetings, registrations, autograph sessions, social events, and time spent at vendor booths are not eligible for LEUs.

Question: What are the guidelines for approved LEU courses?

1. knowledge of professional library practice, collections and of technical library processes;

2. ability to deal with people and organizations in a professional capacity as distinguished from clerical; and

3. includes, but not limited to, courses in reference, cataloging, digitization, management, finance, computer software and hardware, and web development.

Question: Can I get LEUs for a course that I teach?

There is no mechanism for instructors to earn LEUs for the courses/workshops they offer. Those instructors can be certified instructors and the staff who attend can earn LEUs for attending.

Consequences of non-compliance with certification

Question: Under proposed rule changes, what are the consequences for not meeting certification requirements? Will all "public monies" be withheld? What is the definition of public monies (state? federal? local?)

The term "public monies" does not appear anywhere in the administrative rule. "Public funds" is used in a section defining what types of libraries are required to follow the certification requirements - 590-IAC-4-1-5, those receiving public funds. Public funds include federal, state, and local tax revenues. The State

Library's practice has been to treat failure to comply with certification requirements as a failure to comply with standards. Libraries not meeting standards have generally been ineligible to receive State and federal funding and programs.

Cost

Question: How much does certification cost?

The 5 year certificate costs $50.00 for a five year certificate. Grandfathered applicants will have this fee waived but are required to pay the $50.00 upon renewal or if a change in position or library district occurs.

Question: How much does temporary certification cost?

A temporary certificate, valid for 1 year, costs $10. Up to 3 temporary certificates may be issued. Once three certificates are purchased then client is ineligible for 4th temporary and is out of compliance. Therefore the library does not meet standards for certified staff.

Question: What forms of payment does the Indiana State Library accept for certification?

The certification fee, either temporary or for 5 years, must be paid from the applicant's personal funds. A library district may choose to increase the applicant's salary in order to cover the cost of the required certificate (amounting to less than $0.20 per week).

Question: How much does continuing education cost?

Continuing education costs will vary. There are free courses offered directly by the Indiana State Library and through WebJunction Indiana. The Indiana Library Federation (ILF) and Indiana's OCLC network also offer low cost educational opportunities. Some ILF conferences offer scholarships, with varying requirements. There may be tax advantages when paying for continuing education, including college and university courses; consult a tax professional. There are many opportunities for education through the Internet and distance education, allowing for little or no travel.

Question: Can my library pay for continuing education?

Your library board may be able to pay for continuing education, either in full or in part. In accordance with state regulations, college and university class tuition, if library funds are made available, should be reimbursed only after successful completion of the course, not paid by the library in advance. The library's Friends group or Foundation may pay for all or a portion of continuing education costs.

Effective dates

Question: When did the previous certification rule expire?

It expired December 31, 2007

Question: When did the new certification rule become effective?

July 1, 2008

Experience

Question: Does library experience completed before earning a B.A. or MLS count towards the experience requirement?

Yes, library experience completed before earning a B.A. or MLS counts towards the experience requirement on a year for year basis.

Grandfathering

Question: What does that term mean?

Grandfathered librarian certification is defined as those staff who were employed in positions that require certification on July 1, 2008, who did not need to meet the new education and experience requirements for certification and will remain grandfathered as long as they remain with the same library district and at the same job level.

Grandfathered librarians are required to meet the number of library education units (LEUs) established for their position in order to meet standards. A library director, employed as such before July 1, 2008 must have met the previous certification requirements to be considered grandfathered or must meet the new requirement. If the library director could not meet certification requirements in 2007 and cannot meet them in 2008, the library would not in compliance with standards until the library director does meet certification requirements.

Question: Why the difference between library director and library employee?

Library director certification pre-dates the changes in certification and was required prior to 2008. It has been tied to public library standards for many years.

Question: May I apply as a new applicant even though I was grandfathered in?

Yes, a librarian whom had been grandfathered may submit an application, $50, and school transcripts and apply for a new certificate. The new certificate would not be considered a "grandfathered" certificate, would not be tied to a particular position in a particular library and could therefore be transported to different positions and libraries.

When an applicant receives a new certificate, a new 5 year cycle starts. The applicant would begin to accumulate LEUs from the date of issue of the newest certificate.

Merger

Question: What effect would a merger of two or more library districts have on current staff certification levels?

If a current grandfathered staff member leaves the newly created library district for a position in another library district, that person would have to meet certification requirements. (The temporary process by which that person could be hired before meeting new requirements provides 3½ years to gain the education/experience needed).

A merger would have no effect upon the certification of grandfathered staff remaining in similar or organizationally lower positions before and after a merger.

New hires

Question: How do new hires become certified?

Staff hired after the effective date of the certification rule on July 1, 2008 will become certified by applying through the State Library process, which includes paying $50.00 from their personal funds, submitting a certified copy of their school transcripts, and completing the application.

Question: What if a new hire does not have the required education/experience for the certification level required by their position?

There is a temporary certification process, to allow the person to obtain the required education/experience. The first temporary certificate needs to be applied for within six months of being hired and is valid for 12 months, at a cost of $10. If a second or third temporary is needed, it needs to be applied for at a cost of $10 and will be valid for 12 months. The temporary certificates thus covers 3 ½ years for a cost of $30. The five year certificate is applied for when the applicant fully meets the certification requirements, at a cost of $50.

Part time staff certification

Question: Are part time staff required to become certified?

The certification task force recommended that part time staff be certified. The law does not allow for exception according to the number of hours worked. Part time employees are expected to be as qualified as full time employees in order to provide the best possible service to patrons**.**

Population categories

Question: How were the population ranges set as Class A, 40,000 and up; Class B,

10,000 to 39,999; and Class C, under 10,000?

The three categories of libraries as defined in the certification rule are based upon the current requirement to participate in ADOLPLI (40,000 and up), and state law, which requires the minimum population size to establish a new library district in Indiana as 10,000.

Positions requiring certification

Question: Who must be certified?

According to Indiana Code 36-12-11-6: All library directors, library department or branch heads, and professional assistants, except those who are employed at school libraries or libraries of educational institutions, must hold a certificate under section 7 of this chapter.

Question: What about people with an MLS who are not dept. heads? On the chart

I don't see any LEU requirements listed for them?

Anyone who is not a library director, branch head, or department head and holds a job which requires certification would be a professional assistant and would be required to be certified and to achieve 50 hours of LEUs, whatever their certification level. Certification level and job function may be two different things.

Question: Are department heads of business offices, IT and facilities be required to be certified?

Department heads not classified as librarians may, if desired, be certified either as Librarian, or Specialist, whichever their education, experience and job dictates. Computer staff and Local History/Genealogy staff are examples of staff who perform vital services but whose education and experience are often of a specialist, not librarian, nature.

Question: Could a percentage of staff be certified, instead of all?

State law does not allow for a percentage of staff.

Promotion

Question: What if I am promoted to a position which requires more LEUs than my previous position?

You need to complete the amount of LEUs associated with the job you held the majority of the 5 year renewal cycle.

Substitute certification

Question: We use substitute employees on occasion. Would they need to be certified?

Certification is for public library staff. Substitutes are not, by definition, permanent library staff. However, in order to offer equivalent service to library patrons, substitutes should be of equal quality and comparable education to existing library staff, which would require similar education and experience, including continuing education. If a substitute is hired as a permanent library employee, that person would then be required to be certified should the position require it.

Additional Information may be found at the following links:

Certification Law – IC 36-12-11

www.in.gov/legislative/ic/code/title36/ar12/ch11.html

Certification Rule – 590 IAC 5

www.in.gov/legislative/iac/iac_title?iact=595

Certification taskforce, summary, etc.

www.in.webjunction.org

Chapter 6

Required Annual Reports

And Statistical Sources

Required Annual Reports

A. **Annual Report for Indiana Public Libraries (includes Annual PLAC Statistics Report, Statement of Compliance with Public Library Standards, Statement of Intent to Comply with Standards and the Supplement. The Application for State Funds (Signature Page) is a separate form. (ISL)**

1. All forms are mailed to libraries without Internet access in December and posted to the Library Development Office web site. The Annual Report login information and Application for State Funds (Signature Page) is emailed to all libraries with email addresses.

   The Annual Report is completed online by all libraries with Internet access.

   The Application for State Funds (Signature Page) is still paper only.

2. All forms are due to the Library Development Office or to be completed on the Internet by February 1.

3. Data collected may vary slightly from year to year, but usually includes:

   a. library name, address, telephone, fax, TDD, hours open daily, world wide web address, library's e-mail address
   b. public library service areas (city/town, township(s), county, or other)
   c. library district's most recent assessed valuation(s) and tax rate(s)
   d. census population (most recent decennial census), # of registered borrowers (both resident and nonresident individuals), ILL and circulation
   e. operating income and expenditure by type
   f. selected holdings of physical and electronic units
   g. selected library services
   h. type and speed of Internet access and number of computers
   i. number of staff by type and hours worked
   j. salary information by designation of employee
   k. benefit information

   Application for State Funds (Signature Page) (type of funds may vary from one year to the next)

   This has been incorporated into the signature page of the "Annual Report for Indiana Public Libraries", which must be returned via regular mail with original signatures.

Annual PLAC Statistics Report

This report asks for the number of loans your library makes to people from other library districts. The library must keep statistics all year on the patrons who have PLAC cards. You will need to ask them for the name of their home library. If your library is a net lender, it will receive payment for the net loans.

You must carefully review the number of loans reported, as this could result in a large check for your library, and an error might cause the loss of a large sum of money.

Statement of Compliance with Standards

A public library must meet all standards or receive a waiver for non certification issues each year in order to receive any state or federal funding.

This would include any State Technology Fund money, PLAC Distribution, InfoExpress service discount, LSTA funds and payments or grants for Internet lines, and other services.

Statement of Intent to Comply with Standards

If any answer in the Statement of Compliance with Standards is "no", it must be explained on the annual report form, along with a statement as to how the library intends to change it to comply with standards.

If a library does not adequately explain its intent or does not explain a "no" answer, it will be found out of compliance with standards.

Annual Report Supplement

This report is revised annually and is intended to elicit information for the use of the Indiana State Library and Indiana librarians and other interested parties.
Some questions are asked on a multi-year cycle, others may be asked only once

B. **Fiscal and Narrative Reports for Grants Awarded (LSTA and other) (ISL)**

Reports will vary as to the extent of information required; check grant manual to know exactly what needs to be included and when it is due. A brief quarterly evaluation and a final evaluation are required for each project. www.in.gov/library/lsta.htm

C. **PLAC Quarterly Reports (ISL)**

Due the 25th of month after end of quarter (due January 25, April 25, July 25, October 25 each year, sent to Indiana State Library, Administrative Division). This report is to be filed, regardless of whether any PLAC cards are sold. A check for the PLAC cards sold must accompany this form and the check must equal the number of cards sold. PLAC cards are the financial responsibility of the library to which they are issued (they are numbered). The report form is on the Internet, at www.in.gov/library/3309.htm

D. **Report of Names and Compensation of Officers and Employees (SBoA)**

(Form 100R) To be filed with the State Board of Accounts (SBoA), 302 West Washington Street, Fourth Floor, Room E418, Indianapolis, IN 46204-2765 on or before January 31 www.in.gov/sboa/2416.htm. The State Board of Accounts recommends using the library's address, *not* each staff member's home address. These are public records and are often requested by the general public.

E. **Withholding Statements for Employees (W-2) (Federal)**

The statement must be completed and given to each employee by Jan.31. www.irs.gov

F. **Annual Report to Indiana Department of Revenue**

Information on state and county income tax withholdings is due in January. www.dor.in.gov

G. **Annual Report to Internal Revenue Service (W-3) (Federal)**

Information on social security withholdings and federal income tax withholdings is due in January. www.irs.gov/

H. **Outstanding Indebtedness Report**

[IC 5-1-18-10} Requires that each political subdivision report any outstanding bonds or leases to the Department, due on or before March 1. www.in.gov/dlgf/4699.htm

I. **Library Annual Financial Report (Form Number LAR-1)**

The LAR-1 is due by March 1. www.in.gov/sboa/3302.htm

This report, of all the library's funds in a calendar year, is made available to the Census Bureau after the State Board of Accounts (SBoA) receives it. The SBoA uses it as the basis for the library audit. SBoA has a person on staff who can answer questions about it, at 317-232-2521.

J. **Bi-annual report to the county treasurer certifying names and addresses of every library employee for the county where the employee works**

[IC 6-1.1-22-14] Due twice a year – by June 1 and December 1 (No official form, home address is required). A governmental entity that has an employee who works in more than one (1) county shall certify the information for the employee to the county where the employee has the employee's principal office.

K. **Post Bond Sale/Post Lease Execution**

[IC 5-1-18-7 and 5-1-18-8] Require that political subdivisions entering into bonds and leases during a calendar year report these obligations to the Department on or before December 31. www.in.gov/dlgf/4699.htm

Selected Statistical Sources

American Library Association/Public Library Association.
Public Library Data Service Statistical Report **–** This is a voluntary report, with over 800 libraries from the United States and Canada**.** www.ala.org/pla/publications/plds

Library and Book Trade Almanac (formerly Bowker Annual)**. Medford, N.J.: Information Today, Inc.** infotoday.stores.yahoo.net/bowanlibandb3.html

Hennen's American Public Library Rating Index (HAPLR Index), author Thomas S. Hennen utilizes U.S. Federal-State Cooperative Service (FSCS) and Public Library Service Cooperative (PLSC) data. www.haplr-index.com

Indiana University/Indiana Business Research Center
Stats Indiana www.stats.indiana.edu/

Institute of Museum and Library Services - (Public library and State library agency data)
This is data for all public libraries in the United States (1992-2007). (This is also the source for data used by Hennen for his HAPLR ratings)
harvester.census.gov/imls/index.asp

Library Journal **Index of Public Library Service 2009 – America's Star Libraries**
Ray Lyons & Keith Curry Lance -- *Library Journal, 2/15/2009*
features.libraryjournal.com/star-libraries/

National Center for Education Statistics – Library Statistics Program (Academic library and school library media center data) www.NCES.ed.gov/surveys/libraries/

The POLIS Center/SAVI
Data for central Indiana (SAVI): www.savi.org/

Statistics of Indiana Public Libraries
Data from 1994 through 2011: www.in.gov/library/plstats.htm

U.S. Census Bureau – American FactFinder
factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml

Statistics Usage

Baird, Brian J. ***Library collection assessment through statistical sampling.*** Lanham, Md., Scarecrow Press, 2004

Bertot, John Carlo. ***Statistics and performance measures for public library networked services.*** Chicago, IL., American Library Association, 2001.

"Public Library Use of Statistics: A Survey Report" by Yan Quan Liu and Douglas Zweizig, *Public Libraries*, March/April 2000, 98-105.

"Rethinking Library Statistics in a Changing Environment" by Richard W. Boss, www.ala.org/ala/pla/plapubs/technotes/rethinkinglibrary.cfm **2006.**

Smith, Mark. ***Collecting and Using Public Library Statistics: A How-to-Do-It Manual for Librarians.*** **New York: Neal-Schuman Publishers, 1996.**

White, Andrew C. and Eric Dijra Kamal. ***E-metrics for library and information professional: how to use data for managing and evaluating electronic resource.***

Instructions for Annual Report

General instructions/definitions 2011

Please call the Library Development Office with any questions at 317-232-3681 or 1-800-451-6028 or email ldo@library.in.gov or ehuffman@library.in.gov.

@ indicates question is related to standards

All information in the annual report is a matter of public record and much of it is published on the World Wide Web.
Give the most current information for:
Respondent identification,
Hours of operation,
Assessed valuation and tax rate,
Library board members, and
Hourly salary for salary section (dollars and cents required) and benefits.

All other information should be for report (previous) year.

- If the exact data are not known for any item, please estimate data. Estimates are very important. Enter "0" if the correct entry for an item is zero or "none". Enter "N/A" if you know a particular data item is not "0" but you don't know what it is and are unable to estimate it.
- Enter all dollar amounts as whole dollars, no cents. Round up to the next dollar for 51 cents or more, round down for 50 cents or less.
- Library Code – unique, 4-digit number assigned to your library system by the Library Development Office, Indiana State Library
- Public Library (Institute of Museum and Library Services (IMLS), Public Library Cooperative Survey (PLSC) definition) - A public library is established under state enabling laws or regulations to serve a community, district, or region, and provide at least the following:
an organized collection of printed or other library materials, or combination thereof; paid staff;
an established schedule in which services of the staff are available to the public;
the facilities necessary to support such a collection, staff, and schedule; and
supported in whole or in part with public funds.

- PLEASE READ INSTRUCTIONS and DEFINITIONS, AS SOME HAVE CHANGED, and OTHERS HAVE BEEN CLARIFIED.

Part 1 - General Information
Respondent Identification
Provide the most current information available.
Report Mail address ONLY if different from Street Address.
Please contact the Library Development Office with updates for this information throughout the year, as this information is used to update both the print and on-line directories.
Administrative Entity – This is the agency that is legally established under local or state law to provide public library service to the population of a local jurisdiction/library district. The administrative entity may have a single outlet, or it may have more than one outlet .
A. Library Code – The four digit code which the Indiana State Library has assigned your library
B. Library Director – The name of the current or interim director.
C. Library Name – This is the legal name of the administrative entity.
D. Street Address – This is the complete street address of the administrative entity
E. City – This is the city in which the administrative entity is located.
F. State is pre-filled, as Indiana is the only possible response.

G. Zip + 4 - This is the standard five-digit postal ZIP code and four digit postal ZIP code extension for the street address of administrative entity
H. Mailing Address – This is the mailing address of the administrative entity
I. Mailing City – This is the city or town of the mailing address for the administrative entity.
K. Mailing Zip + 4 - This is the standard five-digit postal ZIP and four digit postal ZIP code extension for the mailing address of administrative entity
@L. Phone: This is the main telephone number of the administrative entity.
@M. FAX. This is the main facsimile number of the administrative entity.
O. Dial-in Access Number – Telephone number which patrons must use to dial in to your library catalog, if that service is offered.
P. Congressional District #– Number of the United States House of Representative District in which the library district headquarters is located. Indiana currently has 9 districts.
@Q. Public Library E-mail Address – This address is published in the public library directory, both print and on-line. This address may be a general address or the director's address, at the library's choice.
@R. World Wide Web Address - This is the Web address of the administrative entity.
S. Time and Day of the Month of Regular Library Board Meetings – For example, 7:00 pm, 3rd Wednesday.
T. Friends group: A group organized to raise funds for library services.
U. 50(c)3 Friends group: a group organized under the IRS 501(c)3 designation, to whom tax-exempt donations may be made for the benefit of the library and which legally may receive and sell materials withdrawn from the library collection for the benefit of the library.
V. Person Preparing the Report – The name of the person to whom questions about the report should be directed.
W. Time zone in which library district headquarters is located. – Indiana is in 2 time zones, 80 counties on Eastern Time, 12 counties on Central Time. Please indicate the time zone the library district headquarters is located in, officially.
Main Library – Central Building/Library
Outlet –Central library, branch or bookmobile library. An outlet is a unit of an administrative entity that provides direct public library service.
(1a) Central Building/Library - A single outlet library, or the library building which is the operation center of a multiple outlet library. Usually all processing is centralized here and principal collections are housed here. It is synonymous with main library.
(1b) Date of most recent structural addition or alteration to current central building. – This refers to a structural change to the building which may also result in additional square feet.
(2) Square Footage – Report the total area, in square feet, of the central library. This is the area on all floors enclosed by the outer walls of the library outlet. Include all areas occupied by the central library, including those areas off-limits to the public. Include any areas shared with another agency or agencies if the central library has use of that area.
(3) Construction Project – Information is collected on new building projects or remodeling of your current building(s).
(4b) Starting a construction project – Ground has been broken.
(4c) In the midst of a construction project – The project is at least 10% completed.
(4d) Project is considered completed when library has received the "Certificate of Substantial Completion" (AIA Document G704). Library Development Office uses this information for the annual Library Journal construction information issue. Remodeling is defined as structural change to the building, not renovation by carpeting, painting or other cosmetic work.
(4e) Non-building capital project includes but is not limited to: gazebo, parking lot, cosmetic wall, landscaping. It is a project which does not change the structure of a library central or branch building.
REVISED(4f) Interior renovation. This would include but is not limited to: carpenter work, cabinetry, major re-structuring of internal space. It is a project which may change the ~~or~~ interior

space of a library central or branch building. It does not include painting, new carpet, wallpaper or furniture.
(5a - n) Daily Schedule for Central Library Only - Please record hours open for the Central Library only. Record the regular hours open during the year in a typical week.
REVISED(5x) Public Service Hours Per Year – This is the sum of annual public service hours for outlets (library systems with only one building and those with multiple branches and/or bookmobiles). It is an internal calculation.
@(5) Total Regular Weekly Hours – For the central library only. This is the total weekly hours during which the library is open for the majority of the year.
(5xa) Total Weekly Winter Hours Central Library – Report the number of hours the library is on the winter schedule. This number will be multiplied by 5xb.
(REVISED* (5~~a.~~ xb) Number of Weeks for Winter Hours Schedule Central Library – Include the number of weeks open for public service. The count should be based on the number of weeks that a central library was open for half or more of its scheduled service hours. Extensive weeks closed to the public due to natural disasters or other events should be excluded for its count. Round to the nearest whole number of weeks. If a library was open half or more of its scheduled hours in a given week, round up to the next week. If the library was open less than half of its scheduled hours, round down.
NEW(5xc) Total Weekly Summer Hours Central Library – Report the number of hours the library is on the summer schedule. This number will be multiplied by 5xd.
NEW (5xd) Number of Weeks for Summer Hours Central Library –Report if the library is open a different schedule in the summer. Include the number of weeks open for public service. The count should be based on the number of weeks that a central library was open for half or more of its scheduled service hours. Extensive weeks closed to the public due to natural disasters or other events should be excluded for its count. Round to the nearest whole number of weeks. If a library was open half or more of its scheduled hours in a given week, round up to the next week. If the library was open less than half of its scheduled hours, round down.
REVISED(6) Total Hours Open after 6 :00 p.m. Each Week – Standards require that a library system be open for varying evening hours after 6:00 p.m., depending on the population of the library district.
(7) How many Sundays were you open last year – Please list the number of Sundays you were open in the previous year.

Branch Information
Branch Libraries - Auxiliary units with separate quarters, a permanent, organized collection of library materials, a permanent paid staff, and a regular schedule for opening to the public. Do not report as a branch any facility, separate from another branch or the central library, which does not meet all 4 of the preceding criteria. Any facility which operates with volunteer staff only does not qualify as a branch for state or PLSC purposes.
(AA) Do you have a branch? – If yes, please enter branch information, it is required. If no, please enter 0 in 8aa.
(8c) Have you closed a branch or branches? Answer “yes” if your system permanently closed a branch in 2011 (not for remodeling) or “no” if you did not.
(8cc) If yes, name of branch(es) closed. Please list the name(s) of any branch or branches permanently closed in 2011 (not for remodeling).

A. Branch Name – Please use the official name of the branch
B. Street Address – This is the complete street address of the branch.
C. City – This is the city in which the branch is physically located.
D. State
E. Zip + 4 - This is the standard five-digit postal ZIP code and four digit postal ZIP code extension for the street address of branch.

F. Mail Address – List only if different from the street address. This is the mailing address (if different from the street address) of the branch. Include city and zip +4.
G. Square Footage – Report the area, in square feet, of the branch. Report the total area in square feet for each branch separately. This is the area on all floors enclosed by the outer walls of the library outlet. Include all areas occupied by the library outlet, including those areas off-limits to the public. Include any areas shared with another agency or agencies if the outlet has use of that area.
H. Year Built – List the year the building housing the branch was completed. If unknown, use N/A.
I. Year of Addition or Alteration – List the year of completion of addition or alteration to the building. If unknown, use N/A.
L. Total Hours Open Per Week- Please list the current weekly hours open.
@M. Internet Access - Report the branch as providing Internet access only if one or more of the following services is accessible: World Wide Web (WWW), telnet, gopher, file transfer protocol (ftp), or community network. Do not answer "YES" if the branch has access to electronic mail only.
N, Report type of Internet access. List only the bandwidth available (that is, if you have a T1 but it's turned down to 128K, list 128K, etc.) The choices are available from a drop box menu.
@O. Speed of Internet Access. - Report the speed of the internet access.
@P. Does this branch have a wireless hub? A wireless hub at each fixed location is required to meet Exceptional/Exemplary standards.
Q. Number of Weeks the Branch is Open – Include the number of weeks open for public service. The count should be based on the number of weeks that a branch library was open for half or more of its scheduled service hours. Extensive weeks closed to the public due to natural disasters or other events should be excluded for its count. Round to the nearest whole number of weeks. If a branch library was open half or more of its scheduled hours in a given week, round up to the next week. If the branch library was open less than half of its scheduled hours, round down.
NEW (R) Total Weekly Winter Hours Branch – Report the number of hours the library is on the winter schedule. This number will be multiplied by S.
NEW (S) Number of Weeks for Winter Hours Schedule Branch– Include the number of weeks open for public service. The count should be based on the number of weeks that a branch was open for half or more of its scheduled service hours. Extensive weeks closed to the public due to natural disasters or other events should be excluded for its count. Round to the nearest whole number of weeks. If a branch was open half or more of its scheduled hours in a given week, round up to the next week. If the branch was open less than half of its scheduled hours, round down.
NEW(T) Total Weekly Summer Hours Branch – Report the number of hours the branchis on the summer schedule. This number will be multiplied by U
NEW (U) Number of Weeks for Summer Hours Branch –Report if the branch is open a different schedule in the summer. Include the number of weeks open for public service. The count should be based on the number of weeks that a branch was open for half or more of its scheduled service hours. Extensive weeks closed to the public due to natural disasters or other events should be excluded for its count. Round to the nearest whole number of weeks. If a branch was open half or more of its scheduled hours in a given week, round up to the next week. If the branch was open less than half of its scheduled hours, round down.

(8aa) Total Number of Branch(es)
(8b) Total Annual Hours of Branch(es) – Add the weekly hours of each branch and multiply by 52. This is automatically computed within the program.

Bookmobile Information
Bookmobiles - A bookmobile is a traveling bookmobile library consisting of a truck or van that carries an organized collection of library materials, paid staff, and regularly scheduled hours for being open to the public. Vehicles used are counted, not the number of stops the vehicle makes

(BB) Do you have a bookmobile? If yes, please enter bookmobile information, it is required. If no please enter 0 in 9aa.
B. Street Address – This is the complete street address of the Bookmobile storage location. This will often be the administrative entity address.
C. City – This is the city in which the bookmobile is housed. This will often be the administrative entity address.
E. Zip + 4 - This is the standard five-digit postal ZIP code and four digit postal ZIP code extension for the street address of the bookmobile storage location. This will often be the administrative entity address.
F. Mailing Address – List only if different from the street address. This is the mailing address (if different from the street address) of the administrative entity (or bookmobile storage location). Include city and zip +4.
G. Phone – Report only if is specific to the bookmobile. Leave blank if it is the same as for the administrative entity.
H. Fax – Report only if it is specific to the bookmobile. Leave blank if it is the same as for the administrative entity.
I. Total Hours Open per Week - List the weekly hours the bookmobile is in service to the public.
J. Number of Weeks the Bookmobile is Open– Include the number of weeks open for public service. The count should be based on the number of weeks that a bookmobile was open for half or more of its scheduled service hours. Extensive weeks closed to the public due to natural disasters or other events should be excluded for its count. Round to the nearest whole number of weeks. If a bookmobile was open half or more of its scheduled hours in a given week, round up to the next week. If the bookmobile was open less than half of its scheduled hours, round down.
NEW (R) Total Weekly Winter Hours Bookmobile – Report the number of hours the library is on the winter schedule. This number will be multiplied by S.
NEW (S) Number of Weeks for Winter Hours Schedule Bookmobile– Include the number of weeks open for public service. The count should be based on the number of weeks that a bookmobile was open for half or more of its scheduled service hours. Extensive weeks closed to the public due to natural disasters or other events should be excluded for its count. Round to the nearest whole number of weeks. If a bookmobile was open half or more of its scheduled hours in a given week, round up to the next week. If the bookmobile was open less than half of its scheduled hours, round down.
NEW(T) Total Weekly Summer Hours Bookmobile – Report the number of hours the bookmobiles on the summer schedule. This number will be multiplied by U
NEW (U) Number of Weeks for Summer Hours Bookmobile –Report if the library is open a different schedule in the summer. Include the number of weeks open for public service. The count should be based on the number of weeks that a bookmobile was open for half or more of its scheduled service hours. Extensive weeks closed to the public due to natural disasters or other events should be excluded for its count. Round to the nearest whole number of weeks. If a library was open half or more of its scheduled hours in a given week, round up to the next week. If the library was open less than half of its scheduled hours, round down.

(9aa) Total Number of Bookmobiles

Part 2 – Registrations

(10a) Total Number of Resident Registered Borrowers - Report the number of people who have applied for and received borrowing privileges from your library and live in the library district excluding areas contracting for library service. Exclude non-residents who pay for library privileges, PLAC cardholders, Reciprocal Borrowers and Non-Resident Student Borrowers, School Employees and Library Employees.
NEW(10b) Total Number of Borrowers From Contracting Areas – Report only the number of people who have received borrowing privileges from your library due to a contract with a township, town or other unit of local government. This does NOT include Contractual residents (4 libraries).
(11) Total Number of Non-Resident Registered Borrowers - Record the number of registered borrowers who do not live in your library district or areas contracting for library service. These are people who have applied for and received borrowing privileges from the reporting library, but who do not pay property taxes for library service in any library district.
(12) Total Number of Reciprocal Borrowers - Reciprocal Borrowers is the number of people, not the number of loans. These loans may be made on the basis of local or statewide reciprocal borrowing agreements, but do NOT include loans made using PLAC cards.
REINSTATED (12a) PLAC Borrowers – Report the number of unique, individual people who have used a PLAC card to borrow materials (not the number of PLAC card borrowers in your system, unless the person has used a PLAC card in the report year). Do not report the number of times PLAC cards were used to borrow materials.
REVISED (13) Total Number of Non-Resident (a)Student/ (b) School Employee/ (c) Library Employee Borrowers – Student/School Employee/Library Employee borrowers is the number of public, non-public school students, school employees and library employees given full price, reduced fee or free or cards, because they live in an unserved area but are in a school district in your library's taxing district and given these cards according to policy and board resolution. #13 is a subset of #11, which would include ALL nonresident cards sold or given free or at a reduced price.
@(14a) Non-Resident (Registration Card) Fee – Non-resident fee as of July 1 for the report year (or more current date, if available). State law mandates that the library board set the individual fee at $25 or the operating expenditure per capita of the library for the previous year, whichever is higher. Operating Expenditures Per Capita – Relates total library funds spent for specific purposes to the number of persons the library serves. This fee is required by Indiana State Law. It includes the dollar amount spent on staff, materials, and miscellaneous expenses divided by the library's legal service area population. This figure approximates the average cost per person of running the library. Operating Expenditures Per Capita may be relevant whenever the efficiency of the library's overall operation is an issue. The cost-effectiveness of operations may be demonstrated by relating Operating Expenditures Per Capita to those output measures which best reflect the range of most frequently used services and programs the library provides to its users. It is also important to review this measure if the library's legal service area population changes.
(14b) Date Library Board adopted this fee – The date the board adopted the non-resident fee listed in this report.
REVISED @(15) Most Recent Year Patron File was Weeded – Year patron file was reviewed and records deleted due to non-use or other criteria. The library shall purge or mark inactive unused library patron cards at least once every three (3) years, deleting those patrons who have not used the card in the last three (3) years and do not owe materials, fines, or fees to the library.
@(16) On What timetable is your patron file weeded – New standards require that the patron file be weeded/purged every 3 years. Choose from drop-down box of choices.

Part 3 – Public Libraries and Political Subdivisions Served

Library District – The political subdivision/unit taxed by an individual public library district for library service.
(17a) County name of primary county – Enter the name of the primary county (the county in which the majority of the library district is located).
(18a) County name of additional county – Enter the name of the additional county of the library district or the county of the contractual library district. If the library district is located in only one county and is not a county contractual, 18a may be left blank.
(17b & 18b) Assessed Valuation (AV) - Enter the TOTAL assessed valuation upon which the library tax received in the report (previous) year was based. Show this for the TOTAL library district taxed to pay for services - not contract area. Your County Auditor can provide this information. If your library district is located in more than one county, provide information for both counties. If district is in one county or is not a county contractual, 18b may be left blank.
(17c & 18c) Operating Tax Rate - The library tax rate for local property tax approved one year for collection in the following year. Report the tax rate approved for the report year (generally approved by Department of Local Government Finance (DLGF) the previous year), if available. If your library district is located in more than one county, provide tax rate for both counties. This rate is reported as 4 digits to the right of the decimal point (i.e., .0101). If the library district is located in only one county and is not a county contractual, 18c may be left blank.
(17d & 18d) BIRF/Lease Rental Tax Rate - Bond and Interest Redemption Fund (BIRF) or Lease Rental Tax Rate approved for collection in the report year (generally approved by DLGF the previous year). Your County Auditor can provide this information. If your library district is located in more than one county, provide tax rate for both counties. This rate is reported as 4 digits to the right of the decimal point (i.e., .0101).If the library district is located in only one county and is not a county contractual, 18d may be left blank.
LCPF – Library Capital Projects Fund is a separate fund for which library districts can levy a tax, to provide for capital projects, approved by DLGF.
(17e & 18e) LCPF Tax Rate - Library Capital Projects Fund Tax Rate approved for collection in the report year (approved the previous year). If your library district is located in more than one county, provide tax rate for both counties. This rate is reported as 4 digits to the right of the decimal point (i.e. .0101).
(17f) Answer Yes if you rolled the LCPF into the operating rate, No if you did not, NA if your library does not have an LCPF.
(19) Total Population without contract - The number of people in the political subdivisions/units in your library district who are taxed for library service. Types 1, 2, 3, 4, 9, 11 and 12 are taxed (served) populations and are added together for the library district population. The Library Development Office determines the population based on the most current decennial census. The population is changed between censuses only upon merger with additional political subdivision(s)/unit(s), expansion into unserved units of government or a town/city annexation if the library district's boundaries are the city/town boundaries. This total is automatically computed.
(19a) Total Population with Contracts - The number of people in the political subdivisions/units which contract for library service by your library district. The population does not count in the library district population, since they are served by contracts, which may be renewed or cancelled on an annual basis. This total is automatically computed. The Library Development Office determines the population based on the most current decennial census.
(20a) Political Subdivision/Unit Name: Enter the name of the town/city, township, or county served.
(20b) Type of Political Subdivision/Unit (Served/taxed Units 1, 2, 3, 4, 9, 11 and 12 Only) Report the type of library service area (area taxed by your library to provide library service).
(20c) Population of Political Subdivision (Units served/taxed in 20b Only) – Report the number of people in each political subdivision in your library district.

(20d) Type of Political Unit (Contracting Units 5, 6, 7, 8, 10 Only) Report the type of library service area (area contracting for library service).
(20e) Population 2000 Census (Units served by contract in 20d Only) Report the number of people in each political subdivision contracting for library.

1. Town/City. Library tax boundaries are the same as town or city boundaries.
2. County-Partial. A county library tax district which covers part of the county in which it is located; the remainder of the county is served by another library district.
3. County-Total. A county library district which includes the entire county in which it is located.
4. Township Merged. Library tax district includes a former town/city district and one or more townships which have merged into a single town-township library district.
5. Township, Partial, Served by Contract. Part of a township is served by a contract with a nearby library district. Township funds to pay contracts may come from the township general fund or other unspecified revenues. Please explain what part of the township is served. Be specific.
6. Township Served by Contract. An entire township is served by a contractual agreement with a nearby library district. The source of funds is unspecified.
7. Township Taxed to Pay Contract. Township levies a specific tax rate upon township property to pay for service received under contract from a nearby library district.
8. Township, Partial, Taxed to Pay Contract. Same as Type 5 above, with the exception that revenues are raised by the township through a direct library tax. Please explain what part of the township is served. Be specific.
9. Township Validated. Same as Type 4 above, with the exception that the township has been taxed and served traditionally throughout the history of the library but no formal merger was adopted or recorded prior to conversion to the Public Library Law of 1947 as a town-township library district.
10. Town Served by Contract. Town served through contractual agreement by a nearby library
11. Endowed. Library was established through and received operating funds from a bequest or endowment; all endowed libraries except the Tyson Library Association Inc., Versailles, also receive some tax revenues.
12. County Contractual. A library tax district formed under Public Library Law IC 36-12-6 that provides library service in conjunction with a previously existing library district.

Part 4 – Library Operating Fund Income

- Report only income receipted to the operating fund, except where specified. If funds are receipted to a gift fund(s) or other non-operating fund, do NOT report here.
- Enter all dollar amounts as whole dollars, no cents. Round up to the next dollar for 51 cents or more, round down for 50 cents or less.
- County Contractual Libraries – Combine and report all income from host and contractual library.
- Gifts - Gifts and donations may be receipted to a separate gift fund(s). Do not report any separate gift fund monies in the operating fund.
- Report income actually received in the report year or in January of the next year.
- If the exact data are not known for any item, please estimate data. Estimates are very important.
- Enter “0” if the correct entry for an item is zero or “none.” Please enter “N/A” (Not Available) if you know a particular data item is not "0", but you don't know what it is and are unable to estimate it.
- Do not include ANY funds transferred to operating income from another account due to not receiving anticipated tax money or borrowed from a lending institution for the same reason. Only NEW money is reported.

- Do not include the value of ANY contributed or in-kind services.

Local Government Operating Fund Income

(28) Local Government Operating Fund Income - This includes all tax and non-tax receipts designated by the community, district, or region for the library operating fund and available for expenditure by the public library. Do NOT include the value of any contributed or in-kind services or the value of any gifts and donations, fines, or fees not receipted to the operating fund. Report only actual funds received, not anticipated. Report all income, but report income in only one category.

(28a) Property Tax or CEDIT Operating Fund Income - Includes all tax receipts reported on Department of Local Government Finance (DLGF) Budget Order, usually in Fund 0101(General) and designated by the community, district, or region and available for operating fund expenditure by the public library. Include report year monies received in January of the next year. Report Excess Levy here. Your library may have both, if the district crosses county lines.

(28b) CAGIT (County Adjusted Gross Income Tax) Property Tax Replacement Credits (PTRC) - Libraries located in counties that have adopted CAGIT report the allocation actually received in the report year as PTRC. The allocation is usually distributed in May and November. There should be income figures for both CAGIT PTRC and CAGIT Certified Shares if the county in which the library is located has adopted CAGIT.

(28c) CAGIT Certified Shares - Libraries located in counties that have adopted the County Adjusted Gross Income Tax report the allocation actually received in the report year as Certified Shares, usually distributed in May and December. There should be income figures for both CAGIT PTRC and CAGIT Certified Shares if the library's county has adopted CAGIT.

(28d) CAGIT Special Fund - Libraries located in counties that have adopted the County Adjusted Gross Income Tax report the allocation actually received in the report year as Special Fund.

(28e) County Option Income Tax (COIT) - Libraries located in counties that have adopted COIT report the total amount actually received in the report year. It is distributed monthly.

(28f) Contractual Revenue Received for Service - Report income received in the report year through a contract for service from a town, or township, from other libraries, or from other contracts for service.

(28g) Local Option Income Tax (LOIT) – Libraries located in communities that have adopted LOIT report the total amount actually received in the report year.

(28) Total Local Operating Fund Income - Includes all tax and non-tax receipts designated by the community, district, or region and available for operating fund expenditure by the public library. Includes Property Tax Income from the Library Tax Rate, County Adjusted Gross Income Tax (CAGIT) PTRC, Certified Shares and Special Fund, County Option Income Tax (COIT), contractual revenue received from township trustee or other governmental unit official for library service, and Local Option Income Tax (LOIT). This total is automatically computed.

State Government Operating Fund Income

(29) State Government Operating Fund Income - All funds distributed to public libraries by State government for the library operating fund for expenditure by the public libraries. Do not report federal income received from the state here. Report all income, but report income in only one category. Sometimes a tax distribution due in December is not actually received by the library until January of the following year. If you receive a tax distribution in January for the report year, report the tax distribution as part of the income for the report year. Report only actual funds received, not anticipated.

(29a) Financial Institutions Tax (FIT) State Government Operating Fund Income - Report the total actual income received in the report year from the State Financial Institutions Tax. This will be listed on the DLGF Budget Program Estimates of Miscellaneous Revenue.

(29b) License Excise Tax State Government Operating Fund Income - Report the total actual state income received in the report year from the (Motor Vehicles) (Auto/Aircraft) License Excise Tax added to the Commercial Vehicle Income Tax (CVET) for a total of the two taxes. This will be listed on the DLGF Budget Program Estimates of Miscellaneous Revenue AND Commercial Vehicle Income Tax (CVET) State Government Operating Fund Income - Formerly a property tax, now a state excise tax on any vehicle which requires a commercial vehicle driver's license. Add the amount received in the report year to License Excise Tax for a total of the two taxes. This will be listed on the DLGF Budget Program Estimates of Miscellaneous Revenue.
(29c) Other State Government Operating Fund Income - Report any other funds not previously reported as received from the State including Intergovernment Wagering Tax and Build Indiana Fund. List source. DO NOT report any funds collected from PLAC cards sold. DO report State Technology Grant Fund grant monies here, if they were receipted into the operating fund.
(29d) Source(s) (of Other State Government Operating Fund Income) – List source(s) of all money received from the State Government not elsewhere reported.
(29) Total State Government Operating Fund Income – Includes Financial Institutions Tax, License Excise Tax, Commercial Vehicle Excise Tax and other state income. This total is automatically computed.

Federal Government Operating Fund Income
(30) Federal Government Operating Fund Income - This includes all federal government funds distributed to public libraries for the library operating fund for expenditure by the public libraries including federal money distributed by the State. Report all income, but report income in only one category. REPORT INCOME REIMBURSED, NOT AMOUNT OF GRANT.
(30a) LSTA Grants Federal Operating Fund Income - Report all LSTA grants placed in and expended from operating funds in the report year. REPORT AMOUNT RECEIVED (REIMBURSED), not amount of grant. Although LSTA Grants should go through the library's operating fund, some libraries receipt LSTA grants to a non-operating fund (LIRF, Gift, etc.). If your library's LSTA grants were receipted to a non-operating fund, please name the fund and report the amount.
(30b) Non-Operating Fund (Federal Government Grants) – Report here the name of the fund if an LSTA grant is not receipted to the operating fund but in this fund.
(30c) Amount of LSTA grant placed in Non-Operating Fund – Report here the amount of LSTA grant received (reimbursed) if receipted to a non-operating fund. This amount is not added into Total Federal Government Operating Income.
(30d) Other Federal Grants Operating Fund Income- Report all money received from the Federal Government except LSTA funds. List source, including Experience Work and other programs..
(30e) Source(s) (of Other Federal Operating Fund Income) – List source(s) of all money received from the Federal Government, including SLD/e-rate refund (as from AT&T or other vendor). DO NOT list LSTA funds here. DO NOT list State Technology Grant Funds here (state e-rate reimbursement).
(30) Total Federal Operating Fund Income – Sum of LSTA grants and other federal grants operating fund income. This total is automatically computed.

Other Operating Fund Income
(31) Other Operating Fund Income - This includes all operating fund income not reported in Local, State, or Federal Government Operating Fund Income. Do not report Technology Grants here. DO NOT include any contributed services or the value or any non-monetary gifts and donations. Report all income, but report income in only one category.

(31a) Fines and Fees Operating Fund Income – Report all fines and fees including: computer copies, fax, nonresident fees, lost/damaged materials, photocopy fees and anything else that applies.
(31b) Interest on Investments Operating Fund Income - Report any operating income generated from interest on investments.
(31c) Gift Receipt(s) Operating Fund Income – Report only gift funds receipted to the operating fund and appropriated for expenditure from the operating fund. Gifts are NOT required to be receipted to the operating fund; they may be placed in a separate gift fund. Do NOT include the value of donations of books and other library materials and equipment. Do NOT report any separate gift fund monies in the operating fund.
(31d) Private and Public Foundation Grants, Community Foundation and Private Development Operating Fund Income - Report private or public, non-governmental, community and other foundation and private development grant or other monies receipted to the operating fund and appropriated for expenditure from the operating fund. Private and public foundation grants, community foundation grants and private development funds are NOT required to be receipted to the operating fund; they may be placed in a separate fund. A foundation is a legal categorization of nonprofit organizations that will typically either donate funds and support to other organizations, or provide the source of funding for its own charitable purposes. A private foundation is typically endowed by an individual or family
(31e) Miscellaneous Operating Fund Income - List source. Include checking account interest, any operating fund refund, and PLAC reimbursement check from the State of Indiana here. DO NOT report State Technology Fund E-rate Grants here. DO NOT include any contributed services or the value or any non-monetary gifts and donations.
(31f) Source(s) (of Miscellaneous Operating Fund Income) – List the source of Miscellaneous Operating Fund Income which does not fit into any other listed category. Include PLAC reimbursement check from the State of Indiana.
(31) Total Other Operating Fund Income – Includes fines and fees, interest on investments, gift receipts, private and public foundation grants, Public Library Access Card (PLAC) and other miscellaneous operating fund income listed on Budget Form 2.
(31d1) Total Private and Public Foundation Grants Operating Fund Income - Report private and public, non-governmental foundation grant money receipted to any fund, including operating, capital, gifts or any other. . A foundation is a legal categorization of nonprofit organizations that will typically either donate funds and support to other organizations, or provide the source of funding for its own charitable purposes. A private foundation is typically endowed by an individual or family
(32) Total Operating Fund Income – Sum of Local Government Operating Fund Income, State Government Operating Fund Income, Federal Government Operating Income and Other Operating Fund Income.

Part 5 – Operating Fund Expenditure Data

- Enter all dollar amounts as whole dollars, no cents. Round up to the next dollar for 51 cents or more, round down for 50 cents or less.
- **REVISED** Report actual expenditures, no encumbered funds.
- Do NOT report encumbered funds.
- County Contractual Libraries – Combine and report all income from host and contractual library.
- Report all expenditures, but report expenditures in only one category.
- Report Technology Grant expenditures in categories in which they were expended.
- Report estimates if necessary or “N/A” if unable to estimate. Report “0” if no expenditure made from a particular category.

- Library Improvement Reserve Fund (LIRF) is a separate fund to which libraries can transfer monies for capital projects. Do NOT report transfers to LIRF as an expenditure.
- Rainy Day Funds is a separate fund to which libraries can transfer monies not currently needed for operating expenses. Do NOT include transfer to Rainy Day Funds as an expenditure.
- Operating Fund Expenditures - The current and recurrent costs necessary to the provision of library service, such as personnel, library materials, binding, supplies, repair or replacement of existing furnishings and equipment, and costs incurred in the operating and maintenance of the physical facility.

Personal Services Operating Fund Expenditures
(33) Personal Services Expenditures - Personal service is the direct labor of persons in the employment of the library and all related employee benefits. Total expenditures for all salaries/wages for all library staff before deductions and including employee benefits.
(33a) Salaries/Wages for All Staff Operating Fund Expenditure - Category 1 from Operating Budget Form 1. Actual expenditures only, no encumbered funds. Include salaries and wages before deductions but exclude employee benefits.
*REVISED*33b) Employee Benefits Operating Fund Expenditure – Category 1 from Operating Budget Form 1. Actual expenditures only, no encumbered funds. Benefits provided for employees in addition to salaries and wages paid from the library budget, regardless of whether the benefits are available to all employees. Included are amounts spent for direct benefits including Social Security, retirement, medical insurance, life insurance, guaranteed disability income protection, tuition reimbursement, unemployment compensation, housing benefits and worker's compensation. All employees should have Social Security listed as a benefit, with the amount paid by the library listed in this section.
33c) Other Personal Services Operating Fund Expenditures – Category 1 from Operating Budget Form 1. - Include fees paid for special counsel, legal service, surveys, expert and other services rendered of which the employment is temporary or on a part-time basis and social security, federal taxes, state taxes, and county taxes are withheld. DO NOT report contracts here. Contracts where NO Social Security, Medicare, and federal and state withholding taxes are withheld are reported in Category 3, Professional Services or Category 4, Repairs and Maintenance.
REVISED (33 IN) Total Personal Services Operating Fund Expenditures– Sum of Salaries/Wages for ALL Library Staff, Employee Benefits and Other Personal Services. Report actual expenditures, no encumbered funds.
(33x PLSC) Sum of Salaries/Wages for Library Staff and Employee Benefits (33a and 33b).

Total Supplies Operating Fund Expenditures
REVISED (34) Total Supplies Operating Fund Expenditures - Category 2 from Operating Budget Form 1. Supplies include commodities which, after use, are either entirely consumed or show a definite impairment of their physical condition and rapid depreciation after use for a short period of time. Include cost of printing of stationery, forms and other office supplies. Report cost of all office, operating, repair and maintenance supplies and other supplies. Report actual expenditures only, no encumbered funds.

Other Services and Charges Operating Fund Expenditures
(35) Other Services and Charges Operating Fund Expenditures – Category 3 from Operating Budget Form 1. Includes costs for services performed for the library under written or implied contract, by other than employees of the library. Also included are expenditures for utilities, insurance, licenses, rents, tax assessments, and dues to organizations. Includes the amount spent on the repair, maintenance, restoration, or protection of library materials, including but not

limited to binding and rebinding, material conversion, deacidification, lamination, and restoration.
REVISED(35a) Professional Services Operating Fund Expenditure– Category 3 from Operating Budget Form 1. Include consulting, engineering, architectural, legal and other professional services. Also include licensing fees for databases or other electronic services for the staff.
NEW (35aa) Public access electronic database licensing/purchase/
lease expenditures) DO NOT REPORT in 35a**.** -Include licensing fees for databases or other electronic services for the public. This will be automatically added into 36xx (PLS collection development expenditures) and 36-CD IN, Operating Expenditure Fund Collection Development IN Basic.
(35b) Communications and Transportation Operating Fund Expenditures - Category 3 from Operating Budget Form 1. Include telephone, telegraph, postage, traveling, professional meetings, freight and express.
(35c) Printing and Advertising – Category 3 from Operating Budget Form 1. Include advertising and publication of notices and printing (other than office supplies, stationery, forms and other office supplies).
(35d) Insurance – Category 3 from Operating Budget Form 1. Include official bonds and other insurance, such as policies covering injury or loss of property.
(35e) Utility Services - Category 3 from Operating Budget Form 1. Include gas, electricity, water, sewage and waste disposal services. Coal, fuel, oil and bottled gas used for heating should be charged to Category 2, Operating Supplies.
(35f) Repairs and Maintenance - Category 3 from Operating Budget Form 1. All expenditures of a contractual nature for repairs of buildings, structures and equipment. If repair is performed by regular employees of the library, labor should be charged to Category 1, Personal Services. Repair parts and materials should be charged to Category 2, Repair and Maintenance Supplies.
(35g) Rentals - Category 3 from Operating Budget Form 1. All expenditures for the use of properties not owned by the library, such as temporary office rooms, store rooms, post office box, safety deposit box, equipment, etc..
(35h) Debt Service (Operating Fund Expenditure) – Category 3 from Operating Budget Form 1 (operating expenditures only). Include expenditure for the reduction of the library's general obligation bonds (principal) and interest only if paid out of operating fund.
(35i) Lease Rental Operating Fund Expenditure – Category 3 from Operating Budget Form 1. Expenditures for the reduction of the principal of the bonds for the lease rental fund and the interest on such funds, only if paid out of operating fund.
REVISED(35j) Other (subcategory of Other Services and Charges Operating Expenditures) – Category 3 of Operating Budget Form 1. Include dues for state and national associations of a civic, educational, professional or governmental nature that have as their purpose the betterment and improvement of library operations, interest on temporary loans, taxes and assessments for streets, sidewalks, sewers and similar improvement, and all other services not included in other classifications. You must include database licensing for public and staff in 35a or 35aa.
REVISED (35) Total Other Services and Charges (Operating Fund Expenditures) - Category 3 from Operating Budget Form 1. Includes Professional Services, Communication and Transportation, Printing and Advertising, Insurance, Utility Services, Repairs and Maintenance, Rentals, Debt Services, Lease/Rental, and Other. Report actual expenditures only, no encumbered funds. Funds spent on database licenses for public access information will be reported in 35aa but will not total into 35, rather in **36CD-IN, Operating Expenditure Fund Collection Development IN**.
Capital Outlays Operating Fund Expenditures
Does not have to balance with Capital Fund Revenues

REVISED(36) Capital Outlays Operating Fund Expenditures - Category 4 from Operating Budget Form 1. Capital outlay is usually a long-term expense, resulting in a physical object (according to the Indiana State Board of Accounts). Includes expenditures from the library's operating fund for improvements and replacement costs for existing furniture or equipment. Also includes all material expenditures for all formats, print and non-print, and may include electronic formats and access. It may include architectural and/or consultant fees, new buildings, additions, and major equipment purchases.
(36a) Land Operating Fund Expenditure – Category 4 from Operating Budget Form 1. All land owned by the library.
(36b) Buildings Operating Fund Expenditure– Category 4 from Operating Budget Form 1. All permanent buildings owned by the library.
(36c) Improvements other than Buildings Operating Fund Expenditure– Category 4 from Operating Budget Form 1. All other improvements to land owned by the library.
(36d) Furniture and Equipment Operating Fund Expenditure – Category 4 from Operating Budget Form 1. Consists of machinery, implements, tools, furniture, motor vehicles, typewriters, calculators, microfilm readers, photocopy machines, projectors, computers, televisions, and other equipment which may be used repeatedly without material impairment of its physical condition and which has a calculable period of service.
@(36e) Books Operating Fund Expenditure – Category 4 from Operating Budget Form 1. Include book lease(s), government documents and any other print acquisitions.
@(36f) Periodicals and Newspapers – Print subscriptions to magazines, journals, newspapers, and serial back files.
@(36g) Non-printed Materials, Microforms & AV, NOT Electronic Operating Fund Expenditure – Category 4 from Operating Budget Form 1. Include movies on DVD, VHS, records, cassettes, music cds, Books on tape or CD, microform materials. Do NOT include expenditures for computer games, software or database licensing. Do not include library system software and microcomputer software used only by staff (even if they are included in this line of your Budget Form 1).
REVISED@(36h) Electronic Format Operating Fund Expenditure – Category 4 from Operating Budget Form 1, "Non-printed Materials, Microforms & Audio-Visuals", if you can separate out these costs (otherwise report them in Non-printed Materials, Microforms & AV).
Capital items are physical items. DO NOT INCLUDE DATABASE LICENSES. Included are all operating expenditures for electronic format materials considered part of the collection, whether purchased or leased and which are physical items, such as programs or databases on CD-ROMs, computer games or software for patron use (or for checkout), magnetic tapes, and magnetic discs that are designed to be processed by a computer or similar machine, e-reader (not the files that load into them), government documents, reference tools, scores, maps or pictures in physical format. Included are operating expenditures for equipment when the cost is inseparably bundled into the price of the information service product. If you post operating expenditures for library system software and microcomputer software used only by the library staff to Non-printed Materials (Microforms & Audio-Visuals), report here. Otherwise, report wherever it is posted.
REVISED@(36i) Purchased/Leased/Licensed/Locally Digitized Electronic Format Materials. Included are expenditures for all electronic formats which are considered part of the collection and are available for use by the public, not for use by staff. These expenditures should also be reported in 35aa.
(36) Total Capital Outlays Operating Fund Expenditures – Total of Land, Buildings, Improvements Other Than Buildings, Furniture and Equipment, Books, Periodicals and Newspapers, Non-printed Materials, Microforms & AV (not Electronic), and Electronic Format.
REVISED@ (36.1). Total Non-operating fund collection expenditures – The PLSC definition of collection expenditures includes expenditures from all funds. Please report expenditures from gift, grant, and any other funds used to purchase library materials, in the following categories. a) Books

(include Book Lease), b) Periodicals and Newspapers, c) Non-printed Materials, Microforms & AV, Not Electronic, d) Electronic Format and (e) Purchased/Leased/Licensed/Locally Digitized Electronic Format will be added to the operating fund expenditures to produce the PLSC totals for collection expenditures and will be published to provide data showing libraries with enhanced and exceptional material collection expenditures.
NEW @(361.590-6). Public Access Computers, electronic reading and electronic media devices from non-operating funds – Report expenditures for named devices, as these will be added into 36.1, Total Non-operating fund collection expenditures for standards compliance computation.
NEW@36CD-IN Operating Expenditure Fund Collection Development IN – Internal calculation, adding 35aa and 36d1-36h, resulting in total operating expenditures on collection development, to determine compliance with standards.
(37) Total Operating Fund Expenditures – Total of Total Personal Services, Total Supplies, Total Other Services and Charges and Total Capital Outlays Operating Fund Expenditures. Report actual expenditures only, no encumbered funds.
(37a) Operating Expenditure Per Capita – This is the result of an internal calculation; dividing 37, Total Operating Fund Expenditures by 19, the Total Population without Contracts, the library district population which pays taxes for service. This is the number which should be used for the non-resident card. If this number varies drastically from the preceding year, check your total operating fund expenditures and your total population without contract. Contact Edie Huffman with questions.
(38a) Capital Fund Expenditures (NOT Operating Expenditures) - These expenditures COULD come from LIRF, BIRF/Lease Rental, Debt Service, Rainy Day Funds, LCPF, Gift Fund(s), Technology Fund, and other grants but do NOT come from Operating Fund Expenditures. Generally speaking, if the source of the funds was a special appropriation or contribution earmarked for a specific major purchase in the areas mentioned above, NOT operating income, then the expenditure should be counted as capital fund expenditures. Capital is usually a long-term expense. These are costs that are incurred usually for major purchases of or additions to fixed assets. The following include the most common uses of capital funds but are not limited to: building sites (real estate); new building construction; expansion of an existing building; remodeling or major repair of an existing building; initial book stock (sometimes called an opening day collection); furnishings or equipment for a new or remodeled building; new computers, not replacing others; new vehicles; repair to or addition to property (i.e. sidewalks), major emergency repairs or other emergency costs, and digitization expenses. Does not have to balance with Capital Revenue.

Part 6 – Capital Revenue (Income)
Does not have to balance with Capital Fund Expenditures
Rainy Day Funds– A separate fund to which libraries can transfer monies not currently needed for operating expenses.

(39a) Local Government Capital Revenue (Income) – Report all governmental funds received in the report year, designated by the community, district or region and available to the public library for the purpose of major capital expenditures. Include LCPF, BIRF/Lease Rental, LIRF, Rainy Day Funds.
(39b) State Government Capital Revenue (Income) - Report all funds distributed to public libraries by state government for the purpose of major capital expenditures. Include funds from state agencies/government only (Indiana Economic Development Corporation, etc).
(39c) Federal Government Capital Revenue (Income) – Report federal governmental funds, including federal funds distributed by the state or locality, and grants and aid received by the library for the purpose of major capital expenditures. Include funds from all federal agencies (Department of Commerce, Department of Agriculture, etc.)

(39d) Other Capital Revenue (Income) – Report private (non-governmental funds), including grants and gifts received by the library for the purpose of major capital expenditures.
(39) Total Capital Revenue (Income) – This is the sum of Local Government Capital Revenue, State Government Capital Revenue, Federal Government Capital Revenue and Other Capital Revenue.

Part 7 – Employment Data
Full-Time Equivalent (FTE) - The total of part-time and full-time employees equated to the number of full-time positions. (Total hours worked divided by the hours in the workweek.) To ensure comparable data, 40 hours per week has been set as the measure of full-time employment by PLSC. This is a number computed within the annual report form.
ALA-MLS Librarian - A librarian with a Master's degree from a graduate program of library and information studies accredited by the American Library Association (ALA). Include all ALA-MLS Librarians, with title or function of librarian, whether paid for through operating expenditures, grant money or with any other funds. Degree may be MLS, MIS, MSLS, MSIS, or other.
(40a) Total Number of ALL Librarians with an ALA-MLS – Number of librarians, with title or function as librarian, with master's degree from programs of library and information studies accredited by the American Library Association. Degree may be MLS, MIS, MSLS, MSIS, or other. Include all ALA-MLS librarians, whether paid for through operating expenditures, grant money or with any other funds.
(40b) Total Hours Paid Per Week For ALL ALA-MLS Librarians - Add together the hours each ALA MLS Librarian, with title or function of librarian, is paid each week (full-time and part-time). Include Librarians whether paid for in operating expenditures, grant money or with any other funds.
(40c) FTE for ALL librarians with an ALA-MLS – This is a number computed within the annual report form, by dividing total hours worked ALL Librarians with an ALA-MLS by 40.
(41a) Total Number of ALL Librarians, including ALA-MLS Librarians - Number of persons with title or function of librarian who perform paid work that usually requires professional training and skill in the theoretical or scientific aspects of library work, or both, as distinct from its mechanical or clerical aspect. This includes ALA-MLS Librarians. Include all librarians, whether paid for through operating expenditures, grant money or with any other funds.
(41b) Total Hours Paid Per Week For ALL Librarians, Including ALA-MLS Librarians – Add together the hours each librarian, with title or function of librarian, including ALA-MLS librarians, is paid each week (full-time and part-time). Include all librarians, whether paid for through operating expenditures, grant money or with any other funds.
(41c) FTE For ALL Librarians, Including ALA-MLS Librarians - This is a number computed within the annual report form, by dividing total hours worked by ALL Librarians by 40.
(42a) Total Number of ALL OTHER PAID STAFF - This includes all other paid employees. Include all other staff, whether paid for through operating expenditures, grant money or with any other funds. DO NOT include Green Thumb or other employees who are paid by another agency.
(42b) Total Hours Paid Per Week For ALL OTHER PAID STAFF - Add together the hours all other paid employees are paid each week (full-time and part-time). Include all other staff, whether paid for through operating expenditures, grant money or with any other funds. DO NOT include Green Thumb or other employees who are paid by another agency.
(42c) FTE for ALL OTHER PAID STAFF - This is a number computed within the annual report form, by dividing total hours worked by ALL OTHER PAID STAFF by 40.
(43a) Total Number of ALL PAID STAFF - This is a number computed within the annual report form, by adding the number of ALL Librarians and ALL OTHER PAID STAFF.
(43b) Total Hours Paid per week for ALL PAID STAFF – This is a number computed within the annual report form, by adding the hours paid for ALL Librarians and ALL OTHER PAID STAFF.

(43c) FTE for ALL PAID STAFF – This is a number computed within the annual report form, by dividing the total hours paid per week for ALL PAID STAFF by 40.
(44) Number of Hours Per Week Considered to be Full-Time Employment in Your Library - The number of hours that is considered to be full-time will vary from library to library.

Part 8 – Library Service and Technology
If the exact data are not known for any item, please estimate data. Estimates are very important. Enter “0” if the correct entry for an item is zero or “none.” Please enter “N/A” (Not Available) if you know a particular data item is not "0", but you don't know what it is and are unable to estimate it.

Inter-Library Loans
(45a) Provided To Other Libraries – Number of library materials lent by the reporting library to another library upon request. Materials loaned to a bookmobile by another bookmobile, bookmobile or central library of the same system are not counted. Photocopies sent by any means, but not returned, are not counted. Do not include Evergreen transfers, as these are only counted in circulation.
(45b) Received From Other Libraries– Number of library materials borrowed by the reporting library from another library. Materials borrowed from a bookmobile by another bookmobile, bookmobile or central library of the same system are not counted. Photocopies received by any means, but not returned, are not counted. Do not include Evergreen transfers, as these are only counted in circulation.

Annual Local Library Services
REVISED@ (46a)) # of Children’s Programs in the Library –

- This is the count of programs sponsored by the library and held at the library.
- Programs may:
    - introduce the group of children attending to any of the broad range of library services or activities for children or which directly provides information to participants.
    - cover use of the library, library services or library tours.
    - provide cultural, recreational or educational information, often designed to meet a specific social need.
- Examples of these types of programs include
    - story hours and
    - summer reading events.
- Count each program of a series as one program. For example, a 12 week story hour would be counted as 12 programs.
- Include the count of summer reading programs.
- EXCLUDE library activities for children delivered on a one-to-one basis, rather than to a group such as,
    - one-to-one literacy tutoring,
    - services to homebound,
    - homework assistance,
    - Dial-A-Story, and
    - mentoring activities.

REVISED@(46aa) Children’s Programs Outside the Library (outreach) –

- This is the count of programs for which the primary audience is children and which are sponsored and planned by the library or an authorized representative.
- Count programs sponsored by the library but held at a location outside the library.

- Count each program of a series as one program. For example, a 12 week story hour would be counted as 12 programs.
- These may include:
    - book talks at schools,
    - informational programs about library services,
    - story hours at county fairs, etc.
    - These must be programs planned with content and presented by library staff or volunteers authorized to do so.

Do not count informational or marketing events, such as

- marching in a parade,
- riding on a float,
- having a table of print/video/digital information at a fair or
- other such event.

Include the count of summer reading programs.

46aaa. This is an automatically computed total of # of children's programs held in the library and outside the library.

REVISED@(46b) # of Young Adult Programs In the Library –

- This is any planned event for which the primary audience is young adult (ages 12-18) and
- which introduces the group of young adults attending to any of the broad range of library services or activities for young adults or which directly provides information to participants.
- may cover use of the library, library services, or library tours
- ~~o~~ may provide cultural, recreational, or educational information, often designed to meet a specific social need.
- Examples of these types of programs include:
    - book clubs and
    - summer reading events.

Count all young adult programs, that are sponsored or co-sponsored by the library.

- If young adult programs are offered as a series, count each program in the series. For example, a book club offered every two weeks, 24 weeks a year, should be counted as 24 programs.

- EXCLUDE library activities for young adults delivered on a one-to-one basis, rather than to a group, such as
    - one-to-one literacy tutoring,
    - services to homebound,
    - homework assistance, and
    - mentoring activities.

Include the count of summer reading programs.

Count each program which is planned, advertised and marketed, whether anyone attends or not.

REVISED @ (46bb) # of Young Adult Programs Outside the Library (outreach) –

- This is any planned event, held outside the library,
    - for which the primary audience is young adult and

- which introduces the group of young adults attending to any of the broad range of library services or activities for young adults or which directly provides information to participants.
- may cover use of the library, library services, or library tours.
- may provide cultural, recreational, or educational information, often designed to meet a specific social need.
    - Examples of these types of programs include book clubs and summer reading events. .
    - Count all young adult programs that are sponsored or co-sponsored by the library.
    - If young adult programs are offered as a series, count each program in the series. For example, a book club offered every two weeks, 24 weeks a year, should be counted as 24 programs.
    - EXCLUDE library activities for young adults delivered on a one-to-one basis, rather than to a group, such as
        one-to-one literacy tutoring,
        services to homebound,
        homework assistance, and
        mentoring activities

- Do not count informational or marketing events, such as
    - marching in a parade,
    - riding on a float,
    - having a table of print/vide/digital information at a fair or
    - other such event.

Count summer reading programs.
REVISED@ (46c) # of Adult Programs In the Library –

- This is the count of all programs for which the primary audience is adults, ages 18+.
- A program:
    - is any planned event which introduces the group attending to any of the broad range of library services or activities or which directly provides information to participants.
    - may cover use of the library, library services, or library tours.
    - may provide cultural, recreational, or educational information, often designed to meet a specific social need.
- Count each program separately, even if it is one of a series. For example, a film series offered once a week for eight weeks should be counted as eight programs
- Examples of these types of programs include
    - film showings; lectures;
    - story hours;
    - literacy,
    - English as a second language,
    - citizenship classes; and
    - book discussions.

- EXCLUDE library activities delivered on a one-to-one basis, rather than to a group, such as
    - one-to-one literacy tutoring,
    - services to homebound,
    - resume writing assistance,
    - homework assistance, and

- mentoring activities.

Include the count of summer reading programs.

REVISED @(46cc) # of Adult Programs Outside the Library (outreach) –

- This is the count of all programs for which the primary audience is adults, ages 18+, held outside the library.
- Each program is counted separately, even though it may be one of a series. For example, a film series offered once a week for eight weeks should be counted as eight programs.
- Programs may cover use of the library, library services, or library tours.
- Programs may also provide cultural, recreational, or educational information, often designed to meet a specific social need.
- Examples of these types of programs include
  - film showings; lectures;
  - story hours; literacy,
  - English as a second language,
  - citizenship classes; and
  - book discussions.

Include the count of summer reading programs.

- Do not count informational or marketing events, such as
  - marching in a parade,
  - riding on a float,
  - having a table of print/video/digital information at a fair or
  - other such event

REVISED (46d) # of General Programs In the Library –

- This is the count of all programs for which the primary audience is people of all ages or "family programming"
- A program is any planned event which
  - introduces the group attending to any of the broad range of library services or activities or which directly provides information to participants.
  - may cover use of the library, library services, or library tours.
  - may provide cultural, recreational, or educational information, often designed to meet a specific social need.
- Each program is counted separately, even though it may be one of a series. For example, a film series offered once a week for eight weeks should be counted as eight programs.
- Examples of these types of programs include
  - film showings;
  - lectures;
  - story hours;
  - literacy,
  - English as a second language,
  - citizenship classes; and
  - book discussions.

- EXCLUDE library activities delivered on a one-to-one basis, rather than to a group, such as
  - one-to-one literacy tutoring,
  - services to homebound,
  - resume writing assistance,

- homework assistance, and
- mentoring activities.

Include the count of summer reading programs.

REVISED(46dd) # of General Programs Outside the Library (outreach) –

- This is the count of all programs for which the primary audience is people of all ages, or family programming", held at a location outside the library.
- Include the count of summer reading programs.
- Do not count informational or marketing events, such as
  - marching in a parade,
  - riding on a float,
  - having a table of print/video/digital information at a fair or
  - other such event

REVISED @(46) Total # of programs–

- This is the total number of programs for children, young adults, adults, and general audiences.
- Count all programs, whether held on- or off-site, that are sponsored or co-sponsored by the library.
- This is an automatic total, computed within the annual report.
- This total includes both in library and outreach programs.
- Current standards require:
  - 5 programs for every 1,000 people served per year with a minimum of 12 programs per year (Basic).
  - 10 library programs for every 1,000 people served per year, with a minimum of 12 library programs per year (Enhanced).
  - 15 library programs for every 1,000 people served per year, with a minimum of 12 library programs per year regardless of population served (Exemplary)

REVISED @(46.11) How Many Weeks was a Summer Reading Program held for Children at Each Fixed Location?

Each fixed location would include central library and each bookmobile.

(47a) Children's Program Attendance in the Library - This is the count of the audience at all programs held in the library for which the primary audience is children and includes adults who attend the program. Attendance at each program is counted separately, even though it may be one of a series.

(47aa). Children's Program Attendance Outside the Library (outreach) - This is the count of the audience at all programs held outside the library for which the primary audience is children and includes adults who attend the program. Attendance at each program is counted separately, even though it may be one of a series.

(47aaa) Total Children's Program Attendance - This is the total count of all attendees of children's programs. It is an automatic total, computed within the annual report, including programs held inside and outside (outreach) the library.

REVISE (47b) Young Adult Program Attendance in the Library - – The count of the audience at all programs for which the primary audience is young adults 12 through 18 years and includes 18 year olds. Include adults who attend programs intended primarily for young adults. Please count all patrons that attend the young adult program regardless of age.

REVISE (47bb) Young Adult Program Attendance Outside the Library (outreach) - The count of the audience at all programs held outside the library for which the primary audience is young adults 12 through 18 years and includes 18 year olds. Include adults* who attend programs intended primarily for young adults. Attendance at each program is counted separately, even though it may be one of a series.

Please count all patrons that attend the young adult program regardless of age. Attendance at each program is counted separately, even though it may be one of a series.

(47c) Adult Program Attendance in the Library – This is the count of the audience at all programs held in the library for which the primary audience is adults (18+). All other attendees should be counted. Attendance at each program is counted separately, even though it may be one of a series.
(47cc) Adult Program Attendance Outside the Library (outreach) – This is the count of the audience at all programs held outside the library for which the primary audience is adults (18+). All other attendees should be counted. Attendance at each program is counted separately, even though it may be one of a series.
(47d) General Program Attendance in the Library – This is the count of the audience at all programs held in the library for which there is no target audience by age. All attendees should be counted. Attendance at each program is counted separately, even though it may be one of a series.
(47dd) General Program Attendance Outside the Library (outreach) – This is the count of the audience at all programs held outside the library for which there is no target audience by age. All attendees should be counted. Attendance at each program is counted separately, even though it may be one of a series.
(47) Total attendance – This is the total attendance at programs for children, young adult, adults, and general audience. This is an automatic total, computed within the annual report. This total includes the attendance at in library and outreach programs.
(46.a1) # of Non-Library Sponsored Programs/meetings/events - This is the count of programs/meetings/events which are held in the library but are sponsored by outside groups. This question will help to show the total use of the library building by community groups.
(47.a1) Total Non-Library Sponsored Programs/meetings/events Attendance – This is the total attendance at programs/meetings/events which are held in the library but are sponsored by outside groups. This question will help to show the total use of the library building by community groups.
Typical Week - A typical week is defined as a time that is neither unusually busy nor unusually slow. Holiday times, vacation periods for key staff, or days when unusual events are taking place in the community or library should be avoided. A week in which the library is open its regular hours is chosen. Seven consecutive calendar days, from Sunday through Saturday (or whenever the library is usually open in a seven day period) are chosen.
(48) Total Visits In Library Per Year - Report the total number of persons entering the library in a year, including persons attending activities, meetings, and those persons requiring no staff services. Include all people entering for any reason, even entering and leaving multiple times within one day. Be sure to include numbers from bookmobile(es) and bookmobile(es). You may use a typical week count, then multiply by 52.
@(49) Total Reference Transactions Per Year - Report the total reference questions in a year including questions received from other libraries. A reference question requires knowledge or interpretation by the library staff of the library or its materials. It includes information and referral services. The request may come in person, by phone, by fax, mail, or by electronic mail. You should not report directional questions, queries about library policies or library services, activities, or the use of library equipment as reference questions. Be sure to include numbers from bookmobile(es) and bookmobile(es). You may use a typical week count, then multiply by 52.
Reference Transactions - A reference transaction requires knowledge, use recommendations, instruction in the use of one or more information sources by a member of the library staff or interpretation by library staff of the library or its materials. It includes information and referral services. Information sources include printed and non-printed materials, machine-readable databases, catalogs, and other holdings records, and through communication or referral, other libraries and institutions and people inside and outside the library. A request may come in person, by phone, by FAX, mail, electronic mail, or through live or networked electronic reference service from an adult, a young adult or a child.

Directional questions, queries about library policies or library services, activities, or the use of library equipment are not considered reference transactions and are excluded. Examples of directional questions include: where are the 800s, where is the bathroom, is your director available, are you open until 9:00 pm tonight.
Directional Questions – Directional questions, queries about library policies or library services, activities, or the use of library equipment are not considered reference transactions and are excluded. Examples include: where are the 800s, where is the bathroom, is your director available, are you open until 9:00 pm tonight.

Electronic Services
(50) Licensed Databases – Report the number of licensed databases (include locally mounted or remote, full-text or not) for which temporary or permanent access rights have been acquired through payment by the library (local), or by formal agreement with the State Library (state) or a cooperative agreement within the state or region (other). A database is a collection of electronically stored data or unit records (facts, bibliographic data, abstracts, texts) with a common user interface and software for the retrieval and manipulation of the data. NOTE: The data or records are usually collected with a particular intent and relate to a defined topic. A database may be issued on CD-ROM, diskette, or other direct access method, or as a computer file accessed via dial-up methods or via the Internet. Subscriptions to individual electronic serial titles are reported under Current Electronic Serial Subscriptions. Each database is counted individually even if access to several databases is supported through the same vendor interface. Do NOT include INSPIRE.
(50) Report number of licensed databases acquired through payment or formal agreement, by source of access :
(50a) local (local library);
(50b) state (state government or state library (Indiana State Library will complete); or
(50c) other cooperative agreements (or consortia) within state or region.
(50e) # of Searches of Public Use Databases to which the Library Subscribes – This is the number your vendor supplies for the databases to which You Subscribe. Request COUNTER COMPLIANT statistics from your vendor. Do NOT include statistics of usage of library process databases (including cataloging, acquisitions, etc.)
(50ee) # of Sessions of Public Use Databases to which the Library Subscribes – This is the number your vendor supplies for the databases to which You Subscribe. Request COUNTER COMPLIANT statistics from your vendor. Do NOT include statistics of usage of library process databases (including cataloging, acquisitions, etc.)
*REVISED (50f) Name(s) of Public Use Commercial Databases to which the Library Subscribes – List the names of all public use databases to which the library subscribes. Use the official name as published by the vendor. Do NOT include library process databases.
REVISED (50g) Subject(s) of Public Use Databases which the Library BOTH Developed AND Owns – List ONLY the subjects of public use databases produced and owned by the library. Do NOT include commercial databases, available by subscription. Do NOT include library process databases.
(51a) Users of Public Internet Computers Per Year – Report the total number of individuals that have used Internet computers in the library in the last year. If the computer is used for multiple purposes (Internet access, word-processing, OPAC, cd-rom reference resources, games, etc.) and Internet users cannot be isolated, report all usage. Count each customer that uses the electronic resources, regardless of the amount of time spent on the computer. A customer who uses the Internet computer three times a week would count as three users. Be sure to include numbers from branch(es) and bookmobile(s). You may use a typical week count, then multiply by 52. Sign-up forms or Web-log tracking software also may provide a reliable count of users. Formerly known as “Number of Patrons Accessing Electronic Resources In-house in a Typical Week”. Many libraries have scheduling software, the use of which provides an accurate count.

*Revised (51a1) # of Users of Wireless Connections in Building (or Outside) Per Year – Report the total number of individuals that have used the wireless connection to access the library's Internet site in the last year. Count each customer that uses the electronic resources, regardless of the amount of time spent on the computer. Count laptops supplied by the customer and checked out by the library. A customer who accesses the wireless connection three times a week would count as three users. Be sure to include numbers from branch(es) and bookmobile(s). You may use a typical week count, then multiply by 52. Web-log tracking software may provide a reliable count of users.

(51b) # of Hours Public Library Internet Computers Used per Year – This is the number of hours patrons use the library's Internet computers in one year. If you cannot supply the answer with a computed or typical week total, answer "N/A".

REVISED (51c-e) Supply whatever count is available. Some libraries receive counts of pages viewed on web pages in domain and hits on home page and hits on public access catalog from their ISP (Internet Service Provider), some may receive only one or two of the requested measures.

**NEW* *51a1. # of Users (sessions) of Wireless Connections in Building per Year - Include laptops provided by patrons or circulated in building by library. Include e-readers, smartphones, blackberries, any device which downloads from the internet. There are programs which can supply such information.

REVISED @ (52a) Internet Access – Report the library as providing Internet access only if one or more of the following services are accessible: World Wide Web (WWW), telnet, gopher, file transfer protocol (ftp), or community network. Do not answer "YES" if the library has access to electronic mail only. Internet access in branches and bookmobile(es) is reported separately.

REVISED (52b) Type of Internet Access in Central Building Only – Choose type of Internet access from drop box menu. List only the bandwidth available (that is, if you have a T1 but it's turned down to a 128, list 128, etc.) If your library does not have one of the choices listed, mark "Other. Internet access in branches and bookmobile(s) is reported separately.

@ (52c) Specify Other – Specify the type of Internet access if it is not listed in the drop box for 52b.

@ (52d) Speed of Internet Access – Specify the speed of Internet Access in the Central Building (e.g. Fiber Optic may be 15 mbs, 30, 45, etc.). Speed of Internet access in bookmobilees is reported separately.

REVISED @(53a) Number of Computer Terminals Used by General Public and Connected to Internet System-wide – Count only computers used by general public and connected to the Internet (count all Gates computers in this category, even if set to child's profile) at central library, branch(es) and bookmobiles. The current standards require 1 public access computer connected to the Internet per 2,000 population served, with a minimum of 2 computers. 1 wireless connection per fixed location counts for 10 public access computers

@ (53aa) Number of Printers Connected to Computer Terminals Used by the General Public System-wide – Count only printers connected to computers used by the general public at central library, branch(es) and bookmobile(s).

@ (53aaa) Number of Scanners for the General Public System-wide – Count only scanners available to the general public at central library, branch(es) and bookmobile(s).

@ (53b) Number of Computer Terminals Used by Staff with Office Software and Connected to the Internet System-wide – Count all computers used by staff with office software and connected to the Internet at central library, branch(es) and bookmobile(s).

@(53bb) Is There a Printer for Staff Computer Use – Response is only "yes" or 'no".

REVISED@ (54a) Is There a Wireless Hub in the Central Building? – Branch and Bookmobile wireless hubs are listed in the sections on branch(es) and bookmobile(s).

(54b) Voice Over IP – Does the library provide Voice Over IP service? Response is only "yes" or "no".

(55a) Does your library have an automated bookkeeping system – Response is only "yes" or "no".

(55b) Name of system- Please indicate the full, official name of the bookkeeping system. State Board of Accounts does not approve the system, just the forms generated by the system. (56a) Does Your Library Use an Integrated Library System – Response is only “yes” or “no”. (56b) Name of system - Please indicate the full, official name of the system. NOTE - If you have signed a contract for a new system to replace an old one within the last year, please provide the name of the new system and indicate estimated installation date. **If you have issued an RFP within the last year, please send a copy to the Library Development Office to share with other libraries**.
@(56c) Is the library catalog online – Response is only “yes” or “no”

Part 9 – Circulation and Holdings
Circulation
(57) Circulation - Transactions involving lending print and non-print materials from the library’s collection for use by patrons generally outside the library and includes charging materials manually or electronically. Each renewal is also reported as a circulation transaction. DO NOT include in-house use of materials in 57a or 57b. Include interlibrary loans (items borrowed by your library and lent to your patron); report them also as Inter Library Loan transactions. One download = one circulation, whether it is one book or one song.
(57a) Total Circulation of All Materials – Include all materials (print and non-print) charged out to patrons (or staff) of all ages either manually or electronically. Estimates are acceptable. INCLUDE Playaways. One download = one circulation, whether it is one book or one song. Do NOT include equipment, computer usage or in-house usage of materials Equipment circulation is reported in 57i. Computer usage is reported in 51a and/or 51b. In-house usage is reported in 57c. INCLUDE renewals.
(57b) Circulation Of All Children’s Materials – Materials cataloged as appropriate for patrons ages 0-14. This is a subset of total circulation of all materials. Estimates are acceptable. Do NOT include equipment, computer usage or in-house usage of materials. INCLUDE renewals.
(57c) Total In-house Usage of Materials – Count all materials used in the library but not checked out, including materials not allowed to circulate or be removed from the library. This may include materials used by staff for library purposes (programs, collection development), genealogical or local history materials, reference and circulating materials used by patrons in the library which staff re-shelve. DO NOT add into circulation count. You can use a typical week count, then multiply by 52. Estimates are acceptable. DO NOT include equipment or computer usage.
(57d) Did your Library Circulate Laptops? – Response is “yes” or “no”. Include use in the library or checkout for use outside the library.
(57e) Number of Annual Circulations of Laptops– Provide number of annual circulations of laptop computers. Usage in the building should also be reported in questions 51a and/or 51b.
(57f) Did Your Library Circulate Kindles, MP3s or other Electronic Book Reading or Music-playing Devices – Response is only “yes” or “no”. Include use in the library or checkout for use outside the library.
NEW 57f1. Number of Electronic Book Reading Devices Owned by the Library – This is the number of Kindles, Book Nooks, and other physical ereaders owned by the library, whether they circulate among patrons or remain at the library.
(57g) Number of Annual Circulations – Provide number of annual circulations of electronic book reading or music playing devices.
(57h) Did Your Library Circulate Other Equipment – Include any other equipment checked out for use in the library or outside the library, including but not limited to: any audio-visual device, die-cutter, anything used to access information in any format unless reported in 57d or 57f.
(57i) Number of Annual circulations – Provide number of annual circulations of other equipment.

Selected Holdings
- Selected holdings only. This is NOT a count of ALL materials which the library owns.

- Microfilm, microfiche, other microforms - Do NOT count any microforms except for current serial subscriptions.
- Do not count any realia (puzzles, puppets, toys, cake pans, etc.)
- Holdings – Materials the library has acquired as part of the collection and catalogued, whether purchased, leased, or donated as gifts.
- Physical Unit - A physical unit is a book volume, reel, disk, cassette, etc. Items which are packaged together as a unit, e.g. two compact disks, and are generally checked out as a unit, are counted as one physical unit.

(58a) Books - A nonperiodical/non-serial printed publication (including music and maps) bound in hard or soft covers, or in loose-leaf format. Include non-serial government documents. Report the number of physical units, including duplicates. For smaller libraries, if volume data are not available, count the number of titles. Books packaged together as a unit (e.g., a 2-volume set) and checked out as a unit are counted as one physical unit.

(58c) Video Materials - These are materials on which moving pictures are recorded, with or without sound. Electronic playback reproduces pictures, with or without sound, using a television receiver or monitor. Video formats may include tape, DVD, CD-ROM, web-based or downloaded files, etc. Report the number of units, both physical and electronic, including duplicates. Items packaged together as a unit (e.g., two video cassettes for one movie) and checked out as a unit are counted as one physical unit.

NEW (58cc) Video – downloadable titles. These are downloadable electronic files on which moving pictures are recorded, with or without sound. Electronic playback reproduces pictures, with or without sound, using a television receiver, computer monitor or video-enabled mobile device. Report only items the library has selected as part of the collection and made accessible through the library's Online Public Access Catalog (OPAC) or through a physical library catalog.

REVISE (58d) Audio Materials(Physical units) - These are materials circulated in a fixed, physical format on which sounds (only) are stored (recorded) and that can be reproduced (played back) mechanically, electronically, or both. Include records, audiocassettes, audio cartridges, audio discs (including audio CD-ROMS, talking books, and other sound recordings stored in a fixed, physical format. Do not include downloadable electronic audio files. Report the number of units, including duplicates. Items packaged together as a unit (e.g., two audiocassettes for one recorded book) and checked out as a unit are counted as one physical unit.

(58dd) Audio Materials (Downloadable titles) – These are downloadable electronic files on which sounds (only) are stored (recorded) and that can be reproduced (played back) electronically. Report the number of titles. Report only items the library has selected as part of the collection and made accessible through the library's Online Public Access Catalog (OPAC) or through a physical library catalog.

(58e) Electronic Format - Reference or printed information on CD-ROMS, Magnetic Tapes, Floppy Disks, DVDs (which are of a non-film nature, such as a reference book) or computer disks, magnetic tapes and other formats. You should count and report each physical unit, so that you would count each CD or each floppy disk in a multiple-disk set. Examples are U.S. Census Bureau CD-ROMs or data tapes, locally mounted databases, serials and reference tools. DO include ResumeMaker, cemetery records or other software used by patrons or by staff for patrons. Do NOT count individual files on a disk or any software that is used only by the staff. Include cataloged and non-cataloged items. Do NOT include software loaded onto a computer for which you do not have a physical disk, which includes all pre-loaded software on *CHANGE* Gates computers. DO NOT include Electronic Books or Electronic Subscriptions in this count.

(58f) Electronic Books (E-Books) - Digital documents, (including those digitized by the library), licensed or not, where searchable text is prevalent and which can be seen in analogy to a printed book (monograph). Include non-serial government documents. E-books are loaned to users on portable devices (e-book readers) or by transmitting the contents to a user's personal

computer for a limited time. Include e-books held locally and remote e-books for which permanent or temporary access rights have been acquired. Report the number of physical or electronic units, including duplicates, for all outlets. For smaller libraries, if volume data are not available, the number of titles may be counted. E-books packaged together as a unit (e.g., multiple titles on a single e-book reader) and checked out as a unit are counted as one unit. Note: Under this category, report only items the library has selected as part of the collection and made accessible through the library's Online Public Access Catalog (OPAC).
(58g) Current Serial Subscriptions - Includes Periodicals and Newspapers, print or microfilm ONLY. Report the total number of serial subscription titles, including duplicates. Report paid and gift subscriptions. Do not report individual issues. These are print and microfilm subscriptions only - NOT electronic or digital subscriptions. Include the total number of subscriptions for all outlets.

Part 10 – Library Board

- Enter the most current information available.
- List all county contractual board members, if appropriate.
- Contact the Library Development Office with updates throughout the year.

CHECK TO MAKE SURE YOUR DATA IS FILLED IN ACCURATELY.
(59a) Report any office currently held by each board member and list each board member only once.
President
President of County Contractual Library Board (if appropriate)
Vice President
Vice President of County Contractual Library Board (if appropriate)
Secretary
Secretary of County Contractual Library Board (if appropriate)
Treasurer
Board Member
Treasurer/employee (please use this designation if appropriate)
(59b) List each board member's first name or initial.
(59c) List each board member's middle initial (optional) or middle name, if used in place of first name.
(59d) List each board member's last name.
(59e) Report the board member's home street address.
(59f) Report the board member's home city.
(59g) Report the board member's home zip code.
(59h) Report the board member's email address.
(59i) List the appointing authority:
County Contractual Appointment (ONLY FOR THE 4 LIBRARIES WHICH ARE COUNTY CONTRACTUAL LIBRARIES)
County Commissioners
County Council
Library board/employee
Other - Class 2 Library Appointment (Only CLASS 2 LIBRARIES OR CLASS 2 WHICH HAVE ACCEPTED FINANCIAL PROVISIONS OF THE 1947 LIBRARY LAW).
School Board
Township Board
Town Board/City Council/Mayor
(59j) Report the date the board member's term expires. (ESSENTIAL)
(59k) Report the number of consecutive terms the board member has held (including the first term through this term). Include years 1-4 of each term as a consecutive term (i.e. year 1 of term 1 is 1 consecutive term). (ESSENTIAL)

(59l) Report the date the member was initially appointed. (ESSENTIAL)

Part 11 – Salary Section

- Director salary is reported as an annual figure.
- All other categories are to be reported as minimum hourly rate and maximum hourly rate, using dollars and cents.
- Report the most current information available.
- Remember, for purposes of this report, if an individual is referred to as a librarian within your library, they are considered a librarian.
- Report the certification level required for the position, not of an individual in the position.

Job categories

(74a) Director - Head of library. List the annual salary. Indiana is an at-will employer state. Most directors will not have a contract. Indicate whether director has a contract.

(75) Assistant or Associate Director - Librarian ranking next to the Library Director and having responsibility for library activities in the absence of the Library Director.

Department Head, Manager or Supervisor - Librarians at the Department Head level who may have supervisory responsibility for other professional librarians and/or clerks.

Bookmobile Head - May be a staff librarian, but should be reported separately because of their unique position of Bookmobile Head. Bookmobile Heads spend at least half of their work week in a bookmobile library setting and are usually responsible for the bookmobile library services, programs, and personnel.

Administrative Assistant - May include a variety of job titles such as Director's Secretary or Assistant to the Director. May have more administrative responsibility than typical clerical positions, but not the professional or managerial responsibilities.

Automation, Network or System Manager - Manages the operation and maintenance of the library's computer systems, including the library's automation system and microcomputer applications. Develops and manages installation of various types of computer networks. Serves as contact with internet provider. Possibly trains staff and public in use of equipment and software. Analyzes and troubleshoots software and equipment problems.

Business Manager - Responsible for managing Business Office activities.

Cataloging or Technical Services Librarian - Both experience and entry-level librarians.

@Children’s Librarian – Children's Reference Service and/or Programming. Both experienced and entry-level librarians.

@General Reference or Adult Librarian - Adult and/or Reference Service and/or Programming. Both experienced and entry-level librarians.

@Young Adult Librarian - Young Adult Reference Service and/or Programming. Both experienced and entry-level librarians. ALA defines “Young Adult” as ages 12-18.

Indiana History, Local History, or Genealogy Librarian - - Indiana History, Local History, or

Circulation Librarian - Circulation Desk. Both experienced and entry-level librarians.

Genealogy Reference Service. Both experienced and entry-level librarians.

Audio Visual Librarian - Responsible for developing a program of AV services and supervising all AV activities and staff.

Specialist (Professional) - Category for library professionals, including but not limited to Training Specialist, Public Relations Specialist, Outreach Specialist, Human Resource Manager, Artist, and Printing Manager, who generally do not hold a master’s in library science but certainly may.

Library Assistant - Paraprofessional working in any area of the library, who assists librarians in providing a library service.

Bookkeeper or Treasurer - Responsible for keeping the financial records and accounts for the library.

Secretary or Receptionist - Knowledge of some office skills. May be responsible for answering phone.

Library Technician (including computer) - Involves more responsibility than clerical category,

usually specialized, and of considerable variation and complexity.
Clerical or Aide - Knowledge of basic clerical skills and elementary knowledge of library procedure.
Maintenance, Custodian, Janitor, or House-keeper. - Responsible for maintaining the library building and/or grounds in a clean and orderly condition and in good repair. Do not include any staff that is paid by contract.
Security - Security provides security during the hours the building is open or closed for staff, patrons, and the building. Do not include any staff that is paid by contract.
Bookmobile Driver - Bookmobile Driver.
Messenger/Courier – Messenger or courier responsible for pickup and delivery of library materials.
Page, Intern or Student Assistant - Shelves books and other materials, with other duties as assigned. Typically a part-time position with no supervisory responsibilities.
Substitute - Temporary substitute employee in any job category.
(75a) List certification level of job classification if it were advertised, not the certification level each current employee holds.
(99) Other - Any other job category that it is not possible to include in above list. Please be specific.
(100a) List certification level of job classification if it were advertised, not the certification level each current employee holds.
Employee Fringe Benefit Information
For each benefit listed in the drop-down, please ADD a Group whether it is provided by your library for full time and part time employees.
Please give the most current information available.
(101) Benefit description:
PERF - Public Employees Retirement Fund
Deferred Compensation - A political subdivision may do the following: 1. agree with any employee to reduce and defer any portion of such employee's compensation which under federal law may be deferred under a nonqualified deferred compensation plan and subsequently contract for, purchase, or otherwise procure insurance and investment products appropriate for a nonqualified deferred compensation plan for the purpose of funding a deferred compensation plan for such employee or 2, contribute amounts before January 1, 1995 and continue or begin to contribute amounts after January 1, 1995 to a nonqualified deferred compensation plan on behalf of eligible employees, subject to any limits and provisions under Section 457 of the Internal Revenue Code (IC 5-10-1.1-1).
Health Insurance
Health Savings Account (HSA)
Dental Insurance
Life Insurance
Vision Insurance
Disability
Paid Time Off for Continuing Education
Reimbursement for Continuing Education
(109a) Other Fringe Benefit - Please specify. Do not include benefits reported in paid days off per year.
Paid Days Off Per Year
Please indicate the number or range of numbers of PAID DAYS OFF per year for entry-level full time librarians and support staff and entry-level part time librarians and support staff.
Remember, for purposes of this report, if an individual is referred to as a librarian within your library, they are considered a librarian.
Please give the most current information available.

(111a – d) Number of Vacation Days
(112a – d) Number of Sick Days
(113a – d) Number of Personal Days
(114a – d) Number of Holidays
(115a – d) Number of Funeral/Bereavement Days
(116a – d) Other Days

Part 12 – PLAC Loans
Number of items lent to patrons using a PLAC card.
Complete the report for PLAC loans your library made to patrons from other libraries from January 1 through December 31 of the report year.
The number of loans must be an accurate count of PLAC activity. Estimates may not be used.
Do NOT include any miscellaneous or out of state loans as PLAC loans.
Do NOT include any reciprocal borrowing (RB) loans as PLAC loans.
(117aa) –If you made no PLAC loans - If you did not loan any materials to PLAC patrons from other libraries, enter “0“.
The reporting library should show no PLAC loans, as its residents do not need a PLAC card for loans. There should be NO number next to your own library’s name.
List the total number of loans from each home library. Be sure to include bookmobile library totals in the home library’s total. (Home library is the PLAC card holder’s library which their property tax supports or where they purchased a non-resident card.)
For example, a patron from Starke County Public Library (the city of Knox) uses a PLAC card at Knox County Public Library (the city of Vincennes) to borrow 10 items. Knox County Public Library would report 10 loans to Starke County Public Library (the city of Knox).

Part 13
Statement of Compliance with Standards for Public Libraries

- This section assists in determining where your library is in compliance with the standards
- Standards which can be verified by data or information elsewhere in the report do not appear in this section
- Please answer only "yes", "no", or “n/a” if applicable, not both and DO NOT skip a question

(118). Is your library in compliance with:
(a) The Public Library Law under IC 36-12 - Consult this URL for the most current laws. http://www.in.gov/legislative/ic/code/title36/ar12/
(b) The Indiana Library and Historical Department Law under IC 4-23-7.- Consult this URL for the most current laws. http://www.in.gov/legislative/ic/code/title4/ar23/ch7.html
(c) Other Indiana laws that affect municipal corporations. – Many of these laws can be found in the State Board of Account’s *Accounting and Uniform Compliance Guidelines Manual for Public Libraries*
(119). The library board and director maintain their separate functions as follows:
(a) The board is responsible for governance and policy -. The board members' duties can be defined loosely as dealing with issues that affect the whole library and its position in the community. (IC 36-12-3-3) The board sets parameters of how the library will operate. The board is responsible for governing the library by writing policy, developing a long-range plan and delegating management responsibility to the director.
(b) The director is responsible for administration, operation, and management of the library. The director's duty is to carry out the day-to-day functions (procedures) of running the library within the parameters (policies) set by the board. (IC 36-12-2-24(a) last sentence).
(120). The library board has hired:

(a) a full-time library director - Full-time" means that the director is paid for:

(1) at least thirty-five (35) hours per week; OR

(2) if the library is open fewer than thirty-five (35) hours per week, the number of hours that the library is open.

(122). The library complies with federal laws affecting employment practice. – The primary source of information is the Department of Labor. There are other sources of information, but the library's attorney should be consulted.

(123). The library board adheres to the principles discussed in approved and current Indiana state library publications for library trustees. – The current document for trustees is named *In the Public Trust.*, http://www.in.gov/library/3274.htm

(124). All newly constructed and existing library facilities are in compliance with local, state, and federal building and health and safety codes. - Report for all buildings in library system, central library and any branch(es). Consult with your library attorney, local building inspector, and other professionals..

125. The library complies with provisions of the federal Americans with Disabilities Act to make its physical and digital services available to everyone. – Consult http://www.ada.gov/ and with local disabilities organizations.

(126). (a) The library makes available a means to provide copies to the public at each location. – The library has a copier at each fixed location.

(b) A fee may be charged not to exceed a fee established by Indiana state law. – Consult IC 5-14-3-8, http://www.in.gov/legislative/ic/code/title5/ar14/ch3.html

(127). Interlibrary loan is free of charge within Indiana (other than reimbursement for actual direct photocopy and postage costs, - The law does not allow for a fee charged for Interlibrary Loan; any fee must be the actual cost of providing a photocopy or mailing a package outside of the InfoExpress delivery system.

(128). The library lends materials using a local reciprocal borrowing agreement with at least one other public library district within the library district's county or an adjacent county. – Each library must have a signed agreement on file with the Indiana State Library/Library Development Office The Indiana State Library maintains records of statewide reciprocal borrowing participants, Evergreen participants and OCLC participants.

(129). The library provides adult services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate. - This person would be certified according to the requirements of the local library

(B) Knowledge of and access to reference materials, including INSPIRE .- Education or experience with reference materials and databases, including the INSPIRE databases.

(E) An enhanced level of service is achieved when a library designates:

(i) one (1) or more staff to serve at least part time – Whatever # of hours the library system designates as part time.

(ii) as an adult services librarian by a qualified individual holding the appropriate librarian certificate - This person would be certified according to the requirements of the local library

(iii) at each fixed location. – This would include the central library and each branch, if any in the library system.

(F) An exceptional level of service is achieved when a library designates:

(i) one (1) full-time equivalent – Generally 40 hours a week, but it would mean full time as determined by the local library

(ii) staff member designated as an adult services librarian by a qualified individual holding the appropriate librarian certificate - This person would be certified according to the requirements of the local library.

(iii) at each fixed location. – This would include the central library and each branch, if any in the library system.

(130). The library provides young adult services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate - This person would be certified according to the requirements of the local library.

(B) Knowledge of and access to reference materials, including INSPIRE. - Education or experience with reference materials and databases, including the INSPIRE databases

(E) An enhanced level of service is achieved when a library designates

- one (1) or more staff to serve at least part time – Whatever # of hours the library system designates as part time.
- as a young adult services librarian by a qualified individual holding the appropriate librarian certificate - This person would be certified according to the requirements of the local library.
- at each fixed location. This would include the central library and each branch, if any in the library system.

(F) An exceptional level of service is achieved when a library designates

- one (1) full-time equivalent staff member - Generally 40 hours a week, but it would mean full time as determined by the local library
- designated as a young adult services librarian by a qualified individual holding the appropriate librarian certificate - This person would be certified according to the requirements of the local library.

at each fixed location - This would include the central library and each branch, if any in the library system.

(131). The library provides children's services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate - This person would be certified according to the requirements of the local library.

(B) A collection of materials for @children, parents, and caregivers in each fixed location. – Materials which meet the needs of each of these groups.

(D) An enhanced level of service is achieved when a library designates:

- (i) one (1) or more staff to serve at least part time - Whatever # of hours the library system designates as part time.
- (ii) as a children's services librarian by a qualified individual holding the appropriate librarian certificate - This person would be certified according to the requirements of the local library.
- (iii) at each fixed location.- This would include the central library and each branch, if any in the library system.

(E) An exceptional level of service is achieved when a library designates:

(i) one (1) full-time equivalent staff member - Generally 40 hours a week, but it would mean full time as determined by the local librarian

(ii) designated as a children's services librarian by a qualified individual holding the appropriate librarian certificate - This person would be certified according to the requirements of the local library.

- (iii) at each fixed location. - This would include the central library and each branch, if any in the library system.

(132). Patrons who are unable to read regular print, because of a visual or a physical disability are provided access directly or through the Indiana state library to large print books, Braille books, audio books, and enhanced media - Applications may be downloaded from the Indiana State Library website. Librarians are authorized to sign applications for patrons with visual or physical difficulties with regular print. (This includes someone who is allergic to ink, cannot hold

a book, etc.) A medical doctor must sign an application for a patron with a learning disability. Visit this URL for more information: http://www.in.gov/library/tbbl.htm
(133). The library provides computers for the free use of all persons regardless of residency, so long as such use would not violate any laws or other legally binding prohibitions imposed upon the person, including, but not limited to, fines owed to the library or violations of library policies. – The library must make all computers, whether Gates, locally purchased, gifts or obtained in any other way, available to eligible people. Eligibility may be based on whether they owe fines to the library or have a documented violation of library policy. The policies should be available to the public.
(134).The library provides support for continuing education for trustees. – The library is encouraged to support continuing education for trustees with paid time off and financial assistance for fees, travel, lodging and related expenses on an annual basis. Webinars, library conferences, in-person trainings are all acceptable support.

NOTE: Parts 14 and 15 follow
Part 14 - Statement of Intent to Comply with Standards
List standard # and provide an explanation as to why you answered “no” to any question in Part 13 Statement of Compliance with Standards for Public Libraries
Describe actions to be taken to comply with each “no” answer.

Part 15 – Supplement

NEW (136). Rotating or shared collections
a. Does your library system (libraries with branches and/or bookmobiles) use rotating or shared collections? - Rotating collections are collections which move from one location to another as a block of materials. Shared collections are books, CDs, DVDs and other library materials a library system’s collection which are not "owned" by a particular library, but "shared" by all of the libraries throughout the system.. When an item is returned, it is shelved at the location to which it was returned and remains there until it is checked out at that location, or requested to be sent to another.
NEW (137). Outreach
a. What methods of outreach to individuals or organizations does your library system employ?
(i) Delivery system – Items are delivered by the mail or a delivery system (FedEx or the like)
(ii) Homebound services – Staff or volunteers deliver materials to people on a fixed or variable schedule
NEW (138). E-government Services
(a) Do you track patrons’ use of e-government services? – E-government services is services from local, state, or federal government over the Internet or which require the use of a computer
(b) # of public access computers dedicated to use of e-government services - Use best estimate
OR (d) % of public access computer use dedicated to use of e-government services Use best estimate
(c) Staff involvement in helping patrons use e-government services – Use best estimate
(f) Other remarks – Share anything else about the providing of e-government services by your library in terms of cost, resources including staff time, # of computers available, hours of library opening, etc.

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State Form 48117 (R13/10-11)

Library Code_____
Report Due: *February 1, 2012*

Indiana Public Library Annual Report 2011

Part 1 - General Information

Please provide the most current information available for this page.
Report Mail address ONLY if different from Street Address
@indicates questions related to standards

Respondent Identification

B. Library Director:_____

C. Name of Library:_____

D. Street Address:_____

E. City:_____F. State:_____G. ZIP+4:_____

H. Mailing Address:_____

I. City:_____J. State:_____K. ZIP+4:_____

@L. Phone: (_____)_____@M. FAX: (_____)_____

N. TDD: (_____)_____O. Dial-In Access Number: (_____)_____

P. Congressional District #: _____

@Q. Public Library E-Mail
Address:_____

@R. World Wide Web Address:_____

S. Time and Day of the Month of Regular Board Meetings:_____

T. Does your library have a Friends of the Library Group? ☐ Yes ☐ No
U. If yes, has your Friends group received a 501(c)3 designation from the IRS? ☐ Yes ☐ No

V. Person Preparing Report: _____W. Phone: (_____)_____

X. Time zone in which library district headquarters is located: _____

SAMPLE

Library Code_____

1. a. The year the current central building was built: 1a. ☐
b. Date of most recent structural addition or alteration to current central building: 1b. ☐

2. What is the square footage of the central building? 2. ☐ sq. ft

3. Are you currently involved in a new building construction project, an addition to an existing building, or structurally remodeling a building ? ☐ Yes ☐No

4. Answer question 4a-d only if question 3 was checked Yes: Time Frame: July 1, 2010 to June 30, 2011. PLEASE ANTICIPATE FUTURE PROJECTS. If your library has not yet started, but will be planning a construction project before June 30, 2011, please check the first category, "Planning a construction project."

4a.	☐	Planning a construction project
4b.	☐	Starting a construction project
4c.	☐	In the midst of a construction project
4d.	☐	Completed a construction project
4e.	☐	Non-building capital project
4f.	☐	Interior renovation

@5. Daily Schedule for Central Library Only:
Please record hours open for the Central Library only. Record the hours open during the majority of the year.

	Opening Time	Closing Time
Monday		
Tuesday		
Wednesday		
Thursday		
Friday		
Saturday		
Sunday		

@5. Total Regular/Winter Weekly Hours (Add 5a-5n) 5 ☐

5xa. Total weekly winter hours central library 5xa ☐
5xb. # of weeks for winter hours schedule central library 5xb ☐

5xc. Total weekly summer hours central library 5xc ☐
5xd. . # of weeks for summer hours schedule central library 5xd ☐

NEW @6. Total Hours Open after 6:00 p.m. each week 6 ☐
7. How many Sundays was the library district open last year? 7 ☐

SAMPLE

Library Code_____

Branch Information
_____Public Library

If your library system has branches, please list all information requested below. If there are no branches, please enter "0" (zero) after Total Number of Branches. Report Mail Address **ONLY** if different from Street Address. *Attach additional sheets as necessary.*

AA. Does Your Library System Have a Branch? ☐ Yes ☐ No
8aa. Total Number of Branches: _____*Attach additional sheets as necessary.*
8b. Total Annual Hours of Branches _____(Add weekly hours of all branches and multiply by 52)
8c. Has Your Library System Closed a Branch or Branches? ☐ Yes ☐ No
8cc. If Yes, Name(s) of Branch(es) Closed _____
_____
_____

Branch #1 Name:
Street Address:
City, State, Zip+4:
Mail Address:
Square Footage:
Year Built:_____Year of Addition/Alteration:____
Phone:
Fax:
@Total hours open per week: _____
Hours: Monday Open_____Close_____
Tuesday Open_____Close _____
Wed. Open_____Close _____
Thursday Open_____Close_____
Friday Open_____Close_____
Saturday Open_____Close_____
Sunday Open_____Close_
@*Internet access: __Y __N
___56K __ISDN ____Cable ___DSL __DS3
____Fiber Optic __Satellite __T1
___Other (please specify):_____
_____
@Speed of Internet access:_____
@Does this branch have a wireless hub? __ Yes __ No
Number of weeks branch is open: _____
@Total Weekly Winter Hours Branch Open _____
# of Weeks Branch Open at Winter Hours Schedule ____
@Total Weekly Summer Hours Branch Open ____
# of Weeks Branch Open at Summer Hours Schedule ____

Branch #2 Name:
Street Address:
City, State, Zip+4:
Mail Address:
Square Footage:
Year Built:_____Year of Addition/Alteration:____
Phone:
Fax:
@Total hours open per week: _____
Hours: Monday Open_____Close_____
Tuesday Open_____Close _____
Wed. Open_____Close _____
Thursday Open_____Close_____
Friday Open_____Close_____
Saturday Open_____Close_____
Sunday Open_____Close_
@*Internet access: __Y __N
___56K __ISDN ____Cable ___DSL ___DS3
____Fiber Optic __Satellite __T1
___Other (please specify):_____
_____
@Speed of Internet access:_____
@Does this branch have a wireless hub? ___Yes __ No
Number of weeks branch is open: _____
@Total Weekly Winter Hours Branch Open _____
# of Weeks Branch Open at Winter Hours Schedule ____
@Total Weekly Summer Hours Branch Open ____
# of Weeks Branch Open at Summer Hours Schedule ____

SAMPLE

Library Code _____

Bookmobile Information

_____Public Library

If your library system has bookmobiles, please list all information requested below. If there are no bookmobiles, please enter a "0" (zero) after Total Number of Bookmobiles. Report Mail Address **ONLY** if different from Street Address. *Attach additional sheets as necessary.*

9aa. Total Number of Bookmobiles:_____*Attach additional sheets as necessary.*
9b. Total Annual Hours of Bookmobiles _____(Add weekly hours of all branches and multiply by 52)

Bookmobile #1 Name:_____
Street Address:
_____
City, State, Zip+4:
_____
Mail Address:
_____
Phone:_____
Fax: _____
Total hours open per week: _____
Internet Access___
Type of Internet Access_____
Number of weeks open: _____
Total Weekly Winter Hours Bookmobile Open
_____
# of Weeks Bookmobile Open at Winter Hours Schedule _____
Total Weekly Summer Hours Bookmobile Open
____
# of Weeks Bookmobile Open at Summer Hours Schedule ____

Bookmobile #1 Name:_____
Street Address:
_____
City, State, Zip+4:
_____
Mail Address:
_____
Phone:_____
Fax: _____
Total hours open per week: _____
Internet Access___
Type of Internet Access_____
Number of weeks open: _____
Total Weekly Winter Hours Bookmobile Open
_____
# of Weeks Bookmobile Open at Winter Hours Schedule _____
Total Weekly Summer Hours Bookmobile Open
____
# of Weeks Bookmobile Open at Summer Hours Schedule _____

SAMPLE

Library Code_____

Part 2 - Registrations

If the exact data are not known for any item, please estimate data and enclose in [brackets]. Enter "0" if the correct entry for an item is "zero" or "none." Please enter "N/A" (Not Available) if you know a particular data item is not "0", but you don't know what it is and are unable to estimate it.

10a. Total Number of Individual Resident Registered Borrowers (Tax Payers) 10a. [ ]

NEW 10b. Total Number of Borrowers From Contracting Areas 10b. [ ]

11. Total Number of Individual Non-Resident Registered Borrowers 11a. [ ]

12. Total Number of Reciprocal Borrowers 12. [ ]

12a. Total Number of PLAC Borrowers 12a. [ ]

13a Total Number of Non-Resident Cards Issued to Student Borrowers 13a. [ ]

13b. Total Number of Non-Resident Cards Issued to School Employees 13b. [ ]

13c. Total Number of Non-Resident Cards Issued to Library Employees 13c. [ ]

@14. Registration Fee as of ***July 1, 2011*** or more current information if available.

*14a. Individual Non-Resident Fee 14a. $ [ ]

14b. Date Library Board adopted this fee 14b. [ ]

@15. Most Recent Year Patron File was Weeded (by purging or marking inactive unused library patron cards at least once every three years, deleting those patrons who have not used the card in the last three years and do not owe materials, fines, or fees to the library) 15. [ ]

@ 16. On What Timetable is the Patron File Weeded? 16. [ ]

SAMPLE

DO NOT FILL OUT THIS PAGE

Part 3 - Public Libraries and Political Subdivisions Served

Definitions:

Political Division Name: Enter the name of the town, township, or county served. For merged town-township library districts enter the township name.

Political Division Type: Report the type of library service area.

1. **Town/City.** Library tax boundaries are the same as town or city boundaries.
2. **County-Partial.** A county library tax district which covers part of the county in which it is located; the remainder of the county is served by another library district.
3. **County-Total.** A county library district which includes the entire county in which it is located.
4. **Township Merged.** Library tax district includes a former town/city district and one or more townships which have merged into a single town-township library district.
5. **Township, Partial, Served by Contract.** Part of a township is served by a contract with a nearby library district. Township funds to pay contracts may come from the township general fund or other unspecified revenues. (Specify which part of township.)
6. **Township Served by Contract.** An entire township is served by a contractual agreement with a nearby library district. The source of funds is unspecified.
7. **Township Taxed to Pay Contract.** Township levies a specific tax rate upon township property to pay for service received under contract from a nearby library district.
8. **Township, Partial, Taxed to Pay Contract.** Same as Type 5 above, with the exception that revenues are raised by the township through a direct library tax. (Specify which part of township.)
9. **Township Validated.** Same as Type 4 above, with the exception that the township has been taxed and served traditionally throughout the history of the library but no formal merger was adopted or recorded prior to conversion to the Public Library Law of 1947 as a town-township library.
10. **Town Served by Contract.** Town served through contractual agreement by a nearby library district.
11. **Endowed.** Library was established through and received operating funds from a bequest or endowment; man endowed libraries also receive some tax revenues.
12. **County Contractual.** A library tax district formed under Public Library Law IC 36-12-6 that provides library service in conjunction with a previously existing library district.

Population of Political Division: The number of people in the geographic area who are taxed for library service. Use the figures from the 2000 Census. The Library Development Office can provide this information.

Assessed Valuation: Enter the TOTAL assessed valuation upon which the library tax received in 2010 was based. Show this for the TOTAL library district taxed to pay for services - not contract area. Your County Auditor can provide this information.

Operating Tax Rate: Enter the library tax rate approved for collection in budget year 2011. If your library has a Bond and Interest Redemption Fund tax rate or Library Capital Project Funds tax rate, DO NOT include it with the operating fund tax rate, but list it separately as the BIRF Tax Rate or LCPF Tax Rate. Your County Auditor can provide this information.

BIRF Tax Rate: Enter the Bond and Interest Redemption Tax Rate (Lease Rental) for budget year 2010. Your County Auditor can provide this information.

LCPF Tax Rate: Enter the Library Capital Projects Funds Tax Rate for budget year 2011. Your County Auditor can provide this information.

SAMPLE

Library Code_____

Part 3 - Public Libraries and Political Subdivisions Served

Library Name:_____

All terms are defined on the preceding page.

If your library district is located in more than one county or your district is a county contractual library, please list information for both counties/tax rates.

		County1	County 2
County Name:	17/18a.	17a._____	18a,_____
Total Assessed Valuation for Library District:	17/18b.	17b.$_____	18b.$_____
Operating Tax Rate:	17/18c.	17c.__._____	18c.__._____
BIRF/Lease Rental Tax Rate:	17/18d.	17d.__._____	18d.__._____
LCPF Tax Rate:	17/18e.	17e.__._____	18e.__._____
17f. Did your library district roll the LCPF into the operating tax rate?	17f.	17f. __Y __N __NA	

Please report your library's service area(s), type(s) of political unit, and population(s) below. If the political division type is 5 or 8, please explain what part of the township is served. Be specific.

19.Total Population without contract (1, 2, 3, 4, 9, 11, 12) (addition of #c):
19a. Total Population with contracts (5, 6, 7, 8, 10) (addition of #e):

20a. Political Division 1 Name:
20b. Type of Political Unit:
20c. Population 2000 Census:
20d. Type of Political Unit (5-8, 10):
20e. Population 2000 Census:

21a. Political Division 2 Name:
21b. Type of Political Unit:
21c. Population 2000 Census:
21d. Type of Political Unit (5-8, 10):
21e. Population 2000 Census:

22a. Political Division 3 Name:
22b. Type of Political Unit:
22c. Population 2000 Census:
22d: Type of Political Unit (5-8, 10):
22e: Population 2000 Census:

23a. Political Division 4 Name:
23b. Type of Political Unit:
23c. Population 2000 Census:
23d. Type of Political Unit: (5-8, 10):
23e. Population 2000 Census:

24a. Political Division 5 Name:
24b. Type of Political Unit:
24c. Population 2000 Census:
24d. Type of Political Unit (5-8, 10)
24e. Population 2000 Census:

25a. Political Division 6 Name:
25b. Type of Political Unit:
25c. Population 2000 Census:
25d. Type of Political Unit (5-8, 10):
25e: Population 2000 Census

26a. Political Division 7 Name:
26b. Type of Political Unit:
26c. Population 2000 Census:
26d: Type of Political Unit (5-8, 10)
26e: Population 2000 Census:

27a. Political Division 8 Name:
27b. Type of Political Unit:
27c. Population 2000 Census:
27d. Type of Political Unit: (5-8, 10):
23e. Population 2000 Census:

2011 form
See Instructions for definitions.

SAMPLE

Library Code_____

Part 4 - Library Operating Fund Income

Report income actually **received OR DUE** *in 2011. Round all numbers to the nearest dollar. County contractual libraries combine income categories with host library figures. If the exact data are not known for any item, please estimate data and enclose in [brackets]. Estimates are very important. Enter "0" if the correct entry for an item is "zero" or "none". Please enter "N/A" (Not Available) if you know a particular data item is not "0", but you don't know what it is and are unable to estimate it.*

Local Government Operating Fund Income

This includes all tax and non-tax receipts designated by the community, district, or region for the library operating fund and available for expenditure by the public library. Do NOT include the value of any contributed or in-kind services or the value of any gifts and donations, fines, or fees. Report all income, but report income in only one category. *. Even if you receive a tax distribution in January 2012, report the tax distribution as part of the income for 2011.*

28. Local Government Operating Fund Income:

28a.	Property Tax or CEDIT Operating Fund Income From Library Tax Rate	28a.	$ .00
28b.	CAGIT Property Tax Replacement Credit	28b.	$ .00
28c.	CAGIT Certified Shares	28c.	$ .00
28d.	CAGIT Special Fund	28d.	$ .00
28e.	County Option Income Tax (COIT)	28e.	$ .00
28f.	Contractual Revenue Received for Service	28f.	$ .00
28g.	Local Option Income Tax (LOIT)	28g.	$ .00
28.	**Total Local Operating Fund Income** Add lines 28a through 28g and place total here.	**28.**	**$ .00**

State Government Operating Fund Income

These are all funds distributed to public libraries by State government for the library operating fund for expenditure by the public libraries, except for federal money distributed by the State. Report all income, but report income in only one category. Include State Technology Fund Grant Fund monies in Other. *Sometimes a tax distribution due and receivable in December is not actually received by the library until January of the following year. Even if you receive a tax distribution in January 2012, report the tax distribution as part of the income for 2011.*

29. State Government Operating Fund Income:

SAMPLE

Library Code_____

29a.	Financial Institutions Tax (FIT)	29a.	$ .00
29b.	License Excise and Commercial Vehicle Excise Tax (CVET)	29b.	$ .00
29c.	Other State Operating Fund Income	29c.	$ .00

29d. Source(s):

29. Total State Operating Fund Income **29.** $ .00
Add lines 29a, 29b, and 29c and place total here.

Federal Government Operating Fund Income

This includes all federal government funds distributed to public libraries for the library operating fund for expenditure by the public libraries including federal money distributed by the State. Report all income, but report income in only one category.

30. Federal Government Operating Fund Income:

30a.	LSTA Grants	30a.	$ .00
30b.	Non-Operating Fund Name	30b.	
30c.	Amount of LSTA grant placed in Non-Operating Fund	30c.	$ .00
30d.	Other Federal Grants	30d.	$ .00
30e.	List source(s)	30e.	

30. Total Federal Operating Fund Income **30.** $ .00
Add lines 30a and 30b and place total here.

Other Operating Fund Income

This includes all operating fund income not reported in Local, State, or Federal Government Operating Fund Income. Do **not** report Technology Grants here. Do not include any contributed services or the value or any non-monetary gifts and donations. Report all income, but report income in only one category.

31. Other Operating Fund Income

31a.	Fines and Fees	31a.	$ .00
31b.	Interest on Investments	31b.	$ .00
31c.	Gift Receipts	31c.	$ .00

SAMPLE

Library Code_____

31d. Private and Public Foundation, Community Foundation and Private Development Grants Operating Fund Income — 31d. $ .00

31e. Other Miscellaneous Revenue — 31e. .00

31f. Sources of Other Miscellaneous Revenue — 31f.

31. Total Other Operating Fund Income — **31. $ .00**
Add lines 31a through 31e and place total here.

32. TOTAL OPERATING INCOME — **32. $ .00**
Add lines 28, 29, 30 and 31 and place total here.

31d1. Total Foundation and Grant Receipts (deposited into any fund) 31d1.

Part 5 – Library Operating Fund Expenditure Data

Report expenditures actually made in 2011. County contractual libraries combine expenditure categories with host library figures. If the exact data are not known for any item, please estimate data and enclose in [brackets]. Enter "0" if the correct entry for an item is "zero" or "none." Please enter "N/A" (Not Available) if you know a particular data item is not "0", but you don't know what it is and are unable to estimate it.

These expenditure categories are taken from Operating Budget Form #1.
Report ACTUAL expenditures below, not encumbrances.

33. Personal Services (*Category 1 from Operating Budget Form 1)*

33a. Salaries/Wages of All Library Staff — 33a. $ .00

33b. Employee benefits — 33b. $ .00

33c. Other Personal Services — 33c. $ .00

33. Total Personal Services IN (total of a, b, and c) — 33. $ .00

33x. Total Staff Expenditures PLSC (total of a and b) — 33x. $ .00

34. Total Supplies *(Category 2 from Operating Budget Form 1)* — **34. $ .00**

35. Other Services and Charges *(Category 3- Operating Budget Form)*

35a. Professional Services — 35a $ .00

NEW @35aa. Public access electronic database licensing/purchase/ lease expenditures) **DO NOT REPORT in 35a.** — 35aa. $ .00

35b. Communication and Transportation — 35b. $ .00

35c. Printing and Advertising — 35c. $ .00

SAMPLE

Library Code_____

35d.	Insurance	35d.	$ .00
35e.	Utility Services	35e.	$ .00
35f.	Repairs and Maintenance	35f.	$ .00
35g.	Rentals	36g.	$ .00
35h.	Debt Service (Operating Expenditures only)	35h.	$ .00
35i.	Lease Rental (Operating Expenditures only)	35i.	$ .00
35j.	Other (exclude LIRF)	35j.	$ .00
35.	**Total Other Services and Charges** Add lines 35a through 35j and place total here.	**35.**	**$ .00**

36. Capital Outlays - Operating Fund Expenses (Physical Items) *(Category 4 from Operating Budget Form 1)*

36a. Land	36a.	$ .00
36b. Buildings	36b.	$ .00
36c. Improvements Other Than Buildings	36c.	$ .00
36d. Furniture and Equipment	36d.	$ .00
@36d1. Public Access Computers, electronic reading and electronic media devices) **DO NOT REPORT in 36d.**	36d1,	$ .00
@36e. Books (include Book Lease)	36e.	$ .00
@36f. Periodicals and Newspapers	36f.	$ .00
@36g. Nonprinted Materials, Microforms & AV (entertainment), Not Electronic	36g.	$ .00
@36h.Public Access Physical Electronic/Computer Format) (Information CD, DVD, etc. **DO NOT REPORT DATABASE LICENSES HERE**	36h.	$ .00
36. Total Capital Outlays - Operating Fund Expenses Add lines 36a through36h and place total here.	***36.***	**$ .00**
37. TOTAL OPERATING FUND EXPENDITURES IN Add lines 33, 34, 35 and 36 and place totals here.	**37.**	**$ .00**

SAMPLE

Library Code_____

37a. Operating Expenditures per capita (=37/19). **Internal Calculation**
****NEW** @36-CD IN Operating Expenditure Fund Collection Development IN Basic (add 35aa, 36d1, 36e-h)** **36CD-IN** $ .00

@Non-operating Fund Collection Expenditures (from gift, grant, any other funds) PLSC (Don't worry about adding this into any other category; Indiana State Library will deal with this)

@36.1a	Books (Include Book Lease)	36.1a	$ .00
@36.1b	Periodicals and Newspapers	36.1b	
@36.1c	Nonprinted Materials, Microforms & AV, Not Electronic	36.1c	$ .00
@36.1d.	Physical Electronic/Computer Format (Information) CD, DVD, etc,	36.1d.	$ .00
@36.1e	Public Access Purchased/Leased/Licensed Electronic Databases/Information	36.1e	$ .00

NEW @361.590-6 Public Access Computers, electronic reading and electronic media devices) from all funds except operating. $ .00

****NEW** @36.1 Non-Operating Fund Collection Expenditures 36.1** **$ .00**
Add lines 36.1a through 36.1e and 361.590-6; place total here

Other Specific/Special Expenditures

38a. Total Capital Fund Expenditures (NOT Operating Expenditures) 38. **$ .00**

These are those onetime, extraordinary costs that are Incurred usually for major purchases of or additions to fixed assets. The following are the most common uses of capital funds: building sites (real estate) new building construction; expansion of an existing building; remodeling or major repair of an existing building; initial book stock (sometimes called an opening day collection); furnishings or equipment for a new or remodeled building; new vehicles; major emergency repairs or other emergency costs. Generally speaking, if the source of the funds was a special appropriation or contribution earmarked for a specific major purchase in the areas mentioned above, then the expenditure should be counted as capital fund expenditures. These expenditures COULD ALSO come from LIRF, BIRF/Lease Rental, Library Capital Projects Fund (LCPF), Gift Fund, Technology Fund.

SAMPLE

Library Code _____

Part 6 - Capital Revenue

39a.	Local Government Capital Revenue	39a.	$ .00
39b.	State Government Capital Revenue	39b.	$ .00
39c.	Federal Government Capital Revenue		$ .00
39d.	Other Capital Revenue	39d.	$ .00
39.	**Total Capital Revenue** **Add lines 39a through 39d and place total here.**	**39**	**$ .00**

Part 7 - Employment Data

Enter "0" if the correct entry for an item is zero or "None."

40a.	Total Number of ALL Librarians with a Master's of Library Science (MLS) from a university accredited by the American Library Association (ALA)	40a.	
40b.	Total Hours Paid Per Week For ALL ALA MLS Librarians. Add together the hours for which each ALA MLS Librarian is paid weekly.	40b.	
41a.	Total Number of ALL Librarians, including ALA MLS Librarians. Include ALA MLS Librarians and all other staff with title or duties of librarian.	41a.	
41b.	Total Hours Paid Per Week For ALL Librarians, including ALA MLS Librarians. Add together the hours for which each librarian is paid weekly.	41b.	
42a.	Total Number of ALL OTHER PAID STAFF. Include all other paid employees (support, page, janitorial (if Not contract)).	42a.	
42b.	**Total Hours** Paid Per Week For **ALL** OTHER PAID STAFF. Add together the hours for which each employee is paid weekly.	42b.	
43a.	**Total Number of ALL PAID STAFF**	**43a.**	
43b.	**Total Hours Paid Per Week for ALL PAID STAFF**	**43b.**	
44.	Number of Hours per week Considered to be Full-time Employment in Your Library.	44.	

SAMPLE

Library Code _____

Part 8 - Library Service and Technology

If the exact data are not known for any item, please estimate data and enclose in [brackets]. Estimates are very important. Enter "0" if the correct entry for an item is "zero" or "none". Please enter "N/A" (Not Available) if you know a particular data item is not "0", but you don't now what it is and are unable to estimate it.

Inter-Library Loans

45a. Provided to Other Libraries (do NOT include Evergreen transactions) 45a. [ ]

45b. Received from Other Libraries (do NOT include Evergreen transactions) 45b. [ ]

Annual Local Library Service

Library Programs:

Include all outlets, including central library, branches and bookmobiles.

Intended Audience		# Programs		Total Attendance	
@46/47a.	Children (in library)	@46a.		47a.	
. @46/47aa	Children (outside library, Outreach) .	@46aa.		47aa.	
@46/47b.	Young Adults (in library)	@46b.		47b.	
@46/47bb.	Young Adults (outside library, Outreach) .	@46bb.		47bb	
@46/47c.	Adults (18+) (in library)	@46c.		47c.	
@46/47cc. .	Adults (18+) (outside library, Outreach)	@46cc.		47cc.	
46/47d.	General Programs (All age groups) (in library)	46d.		47d.	
46/47dd.	General Programs (All age groups) Outside library, Outreach)	@46dd.		47dd.	
@46/47	**TOTAL (46a, aa, b, bb, c, cc, (47a, aa, b, bb, c, cc ,d, dd d, dd)**	@46.		47.	

NEW @46.590-6. Required # of Programs (5 per 1,000) (Internal Calculation) **46.590-6.** Program will calculate

REVISED @46.11 How Many Weeks was Summer Reading Program for Children at Each Fixed Location?

_____

SAMPLE

Library Code_____

46.a1/47.a1 Non-Library Sponsored Programs/meetings/events
(All age groups) 46.a.1. [ ] 47.a1 [ ]

Library Service Per Year

You may take a typical week count. A typical week is a week in which the library is open its regular hours, without holidays and is neither unusually busy nor slow. It is seven consecutive calendar days, from Sunday through Saturday, or whatever days the library is open during that period. Include all outlets: central library, branches, bookmobiles. Multiply the typical week count by 52.

48. Total Visits In Library per Year [per year]

@49. Total Reference Transactions per Year [per year]

Electronic Services

50 # of Licensed Databases (by source of access)

50a. Local 50a. [ ]

50b. State (answer supplied by the Indiana State Library) 50b. [Do Not Answer]

50c. Other 50c. [ ]

50d. Total Licensed Databases (Indiana State Library will calculate) 50d. [Do Not Answer]

50e. Database Usage Measures (this counts the number of times patrons access library information databases). IF POSSIBLE, OBTAIN COUNTER COMPLIANT STATISTICS FROM THE LIBRARY'S VENDOR.

50e.# Searches of Databases to which the Library Subscribes (exclude INSPIRE): or ☐ N/A 50e. [ ]

AND

50ee. # Sessions of Databases to which the Library Subscribes (exclude INSPIRE): or ☐ N/A 50ee. [ ]

*REVISED*50f. Names of Commercial Databases to which the Library Subscribes (exclude INSPIRE): (use additional paper if needed) or ☐N/A_____

_____

_____

REVISED 50g. Subject(s) of Databases which the Library **BOTH** Developed **AND** Owns: **(No license purchased)** (use additional paper if needed) _____

_____

_____or ☐N/A

Library Code _____

51a. # of Users (sessions) of Public Internet Computers per Year 51a. [per year]

SAMPLE

51a1. # of Users (sessions) of Wireless Connections in Building per Year (include laptops provided by patrons or circulated in building by library). 51a1. per year

51b. # of Hours Public Internet Computers Used per Year 51b. per year

51c-e. Internet Usage Measures (please supply whatever count is available or answer not applicable). Providing only one count is acceptable.

c. Total # of Page Views of All Web Pages in the Library's Domain 51c. ☐ AND/OR

d. Total # of Page Views of the Library's Home Page 51d. ☐ AND/OR

e. Total # of Hits or Page Views on the library's public access catalog 51e. ☐

@52a. Internet Access ☐Yes ☐ No

REVISED 52b. Type of Internet Access in **Central Building ONLY (if two types of access, choose higher speed):**

☐ Dial Up ☐ 56K ☐ 1024K ☐ T1 Line ☐Cable
☐ DSL ☐ DS3 ☐ Fiber Optic ☐ Satellite ☐ Other:

52c. Specify other 52c. ☐

REVISED@52d. Speed of Internet Access in Central Building ONLY **(if two types of access, choose higher speed):**

@53a. # of Computer Terminals Used by the General Public and Connected to the Internet System-wide. Remember, 1 wireless connection per building counts for 10 public access computers) 53a. ☐

@53aa. # of Printers Connected to Computer Terminals Used by the General Public System-wide. 53aa. ☐

@53aaa. # of Scanners for the General Public System-wide 53aaa. ☐

@53b. # of Computer Terminals Used by Staff with Office Software and Connected to the Internet System-wide. 53b. ☐

@53bb. Is There a Printer for Staff Computer Use? ☐Yes ☐ No

@54. Wireless, VOIP:

@54a. Is There a Wireless Hub in the Central Building? ☐ Yes ☐ No

54c. Voice over IP? ☐Yes ☐ No

SAMPLE

Library Code_____

Library System Bookkeeping and Circulation

55. Bookkeeping System
    a. Does the Library Have an Automated Bookkeeping System? ☐Yes ☐No
    b. Name of System_____

@56. Integrated Library System
    a. Does the Library Use an Integrated Library System? ☐Yes ☐No
    b. Name of System_____
    c. Is the Library's Catalog Online? ☐ Yes ☐ No

Part 9 - Circulation and Holdings

Report figures as of the last day of 2011. If the exact data are not known for any item, please estimate data and enclose in [brackets]. Estimates are very important. Enter "0" if the correct entry for an item is zero or "none." Please enter "N/A" (Not Available) if you know a particular data item is not "0", but you don't know what it is and are unable to estimate it. Include items circulated manually as well as through the circulation automation system.

SAMPLE

Materials and Equipment Circulation

Public access computer usage is reported in 51a and 51b

Include all outlets (central library, branches and bookmobiles) INCLUDE RENEWALS.

57a. TOTAL Circulation of All Materials (do not include Equipment, Computer Usage or In-house Usage) 57a. ☐

57b. Circulation of All Children's (0-14 years) Materials . 57b, ☐

57c. Total In-house Usage of Materials 57c. ☐

57d. Did your library circulate laptops? ☐ Yes ☐ No

57e. # of annual circulations 57e. ☐

*REVISED*57f. Did your library circulate Kindles, Playaways, MP3s or other electronic book reading or music-playing devices? ☐ YesNo ☐

NEW 57f1. Number of Electronic Book Reading Devices Owned by the Library. 57f1

57g. # of annual circulations 57g

57h. Did your library circulate other equipment? ☐ Yes ☐No

57i. # of annual circulations 57i. ☐

Library Code_____

Selected Holdings

A **physical unit** is usually a volume, but might also be a reel, disk, cassette, etc. Items which are packaged together as a unit, e.g. two compact disks, and are generally checked out as a unit, should be counted as one physical unit. Include all outlets (central library, branches, bookmobiles).

58.	Books	58.
58c.	Video Materials – Physical units	58c.
58cc.	Video Materials – Downloadable titles	58cc.
58d.	Audio Materials – Physical units	58d.
58dd.	Audio Materials – Downloadable titles	58dd.
58e.	Electronic Format	58e.
58f.	Electronic books (E-books)	58f.
58g.	# of Current Serial Subscriptions	58g.

SAMPLE

Part 10 - Library Board

Library Board Members: For each current board member, provide a complete mailing address, the appointing authority, the date the board member's term expires, and the number of consecutive terms the
board member has held (including the first term and this one). Officers and all members should be current as of the date the report is filled out. Include board members of county contractual libraries.

Please contact the Library Development Office with updates for this page throughout the year.

59a. President: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

60a. President Co. Contractual: b. First Name c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

61a. Vice President: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h, Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

62a. Vice Pres. Co. Contractual: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

63a. Secretary: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

64a. Sec. Co. Contractual: b. First Name c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

SAMPLE

Library Code_____

65a. Treasurer: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

66a. Treas. Co. Contractual: First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

67a. Member: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

68a. Member: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

69a. Member: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

70a. Member: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

71a. Member: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

SAMPLE

Library Code _____

72a. Member: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

73a. Member: b. First Name: c. Middle Initial/Name
d. Last Name: e. Home Address:
f. City: g. Zip Code:
h. Email Address: i. Appointing Authority
j. Date Term Expires k. Number of Consecutive Terms
l. Date Initially Appointed:

SAMPLE

Library Code_____

Part 11 - Salary Section

	Job Category			
		Annual Salary		**Certification Level of Position**
74a.	Director	$		**
74b.	Does the director have a contract?	Yes	No	
	** Indicate whether LC 1, LC 2, LC 3, LC 4, LC 5, LC 6, Spec 1, Spec 2, Spec 3, Spec 4, Spec 5, or N/A	Minimum Hourly Rate (in dollars and cents)	Maximum Hourly Rate (in dollars and cents)	**
75.	Assistant/Associate Director	$_____._____	$_____._____	
76.	Department Head, Manager or Supervisor	$_____._____	$_____._____	
77.	Branch Head	$_____._____	$_____._____	
78.	Administrative Assistant	$_____._____	$_____._____	
79.	Automation/Network/System Manager	$_____._____	$_____._____	
80.	Business Manager	$_____._____	$_____._____	
81.	Cataloging or Technical Librarian	$_____._____	$_____._____	
82.	@Children's Librarian	$_____._____	$_____._____	
83.	@General Reference or Adult Librarian	$_____._____	$_____._____	
84.	@Young Adult Librarian	$_____._____	$_____._____	
85.	Indiana History, Local History or Genealogy Librarian	$_____._____	$_____._____	
86.	Circulation Librarian	$_____._____	$_____._____	
87.	Audio Visual Librarian	$_____._____	$_____._____	
88.	Specialist (Professional)	$_____._____	$_____._____	
89.	Library Assistant	$_____._____	$_____._____	
90.	Bookkeeper or Treasurer	$_____._____	$_____._____	
91.	Secretary or Receptionist	$_____._____	$_____._____	
92.	Library Technicians (Including Computer)	$_____._____	$_____._____	
93.	Clerical or Aide	$_____._____	$_____._____	
94.	Maintenance, Custodian, Janitor or Housekeeper	$_____._____	$_____._____	
95.	Security	$_____._____	$_____._____	
96.	Bookmobile Driver	$_____._____	$_____._____	
97.	Messenger or Courier	$_____._____	$_____._____	
98.	Page, Intern or Student Assistant	$_____._____	$_____._____	
99.	Substitute	$_____._____	$_____._____	
100.	Other	$_____._____	$_____._____	

SAMPLE

Library Code_____

Employee Fringe Benefit Information

	Full Time Employees	Part Time Employees
101. PERF		
102. Deferred Compensation		
103a-b. Health Insurance		
103c-d. Health Savings Account (HSA)		
104. Dental Insurance		
105. Life Insurance		
106. Vision Insurance		
107. Disability		
108a-b. Paid time off for continuing education		
108c-d. Reimbursement for continuing education		
109. Other 1.(specify) 110. Other 2. (specify)		

Paid days off per year

	Full Time Librarian	Part Time Librarian	Full Time Support Staff	Part Time Support Staff
111. Number of Vacation Days				
112. Number of Sick Days				
113. Number of Personal Days				
114. Holidays				
115. Funeral/Bereavement				
116. Other Days				

SAMPLE

Library Code _____

Part 12 – PLAC Loans

- **If you made No PLAC loans, enter "0" in 117aa.**

117aa.

Library Name	*City*	*# of PLAC Loans*	
Adams Public Library District	Decatur	_____	117bb
Akron Carnegie Public Library	Akron	_____	117b.
Alexandria-Monroe Public Library	Alexandria	_____	117c.
Alexandrian Public Library	Mount Vernon	_____	117d.
Allen County Public Library	Fort Wayne	_____	117e.
Anderson Public Library	Anderson	_____	117f.
Andrews Dallas Township Public Library	Andrews	_____	117g.
Argos Public Library	Argos	_____	117h.
Attica Public Library	Attica	_____	117i.
Aurora Public Library District	Aurora	_____	117j.
Avon Washington Township Public Library	Avon	_____	117k.
Bartholomew County Public Library	Columbus	_____	117l.
Barton Rees Pogue Memorial Public Library	Upland	_____	117m.
Batesville Memorial Public Library	Batesville	_____	117n.
Bedford Public Library	Bedford	_____	117o.
Beech Grove Public Library	Beech Grove	_____	117p.
Bell Memorial Public Library	Mentone	_____	117q.
Benton County Public Library	Fowler	_____	117r.
Berne Public Library	Berne	_____	117s.
Bicknell-Vigo Township Public Library	Bicknell	_____	117t.
Bloomfield-Eastern Greene County Public Library	Bloomfield	_____	117u.
Boonville-Warrick County Public Library	Boonville	_____	117v.
Boswell-Grant Township Public Library	Boswell	_____	117w.
Bourbon Public Library	Bourbon	_____	117x.
Brazil Public Library	Brazil	_____	117y.
Bremen Public Library	Bremen	_____	117z.
Bristol-Washington Township Public Library	Bristol	_____	117aa.
Brook-Iroquois-Washington Public Library	Brook	_____	117ab.
Brookston-Prairie Township Public Library	Brookston	_____	117ac.
Brown County Public Library	Nashville	_____	117ad.
Brownsburg Public Library	Brownsburg	_____	117ae.
Brownstown Public Library	Brownstown	_____	117af.
Butler Public Library	Butler	_____	117ag.
Cambridge City Public Library	Cambridge City	_____	117ah.
Camden-Jackson Township Public Library	Camden	_____	117ai.
Cannelton Public Library	Cannelton	_____	117aj.
Carmel Clay Public Library	Carmel	_____	117ak.
Carnegie Public Library of Steuben County	Angola	_____	117al.
Centerville-Center Township Public Library	Centerville	_____	117am.
Charlestown Clark County Public Library	Charlestown	_____	117an.
Churubusco Public Library	Churubusco	_____	117ao.
Clayton-Liberty Township Public Library	Clayton	_____	117ap.
Clinton Public Library	Clinton	_____	117aq.
Coatesville-Clay Township Public Library	Coatesville	_____	117ar.
Colfax-Perry Township Public Library	Colfax	_____	117as.
Converse-Jackson Township Public Library	Converse	_____	117at.
Covington-Veedersburg Public Library	Covington	_____	117au.

SAMPLE

		Library Code_____
Crawford County Public Library	English	_____117av.
Crawfordsville District Public Library	Crawfordsville	_____117aw.
Crown Point Community Public Library	Crown Point	_____117ax.
Culver-Union Township Public Library	Culver	_____117ay.
Danville-Center Township Public Library	Danville	_____117az.
Darlington Public Library	Darlington	_____117ba.
Delphi Public Library	Delphi	_____117bc.
Dublin Public Library	Dublin	_____117bd.
Dunkirk Public Library	Dunkirk	_____117be.
Earl Park Public Library	Earl Park	_____117bf.
East Chicago Public Library	East Chicago	_____117bg.
Eckhart Public Library	Auburn	_____117bh.
Edinburgh Wright-Hageman Public Library	Edinburgh	_____117bi.
Elkhart Public Library	Elkhart	_____117bj.
Evansville-Vanderburgh Public Library	Evansville	_____117bk.
Fairmount Public Library	Fairmount	_____117bl.
Farmland Public Library	Farmland	_____117bm.
Fayette County Public Library	Connersville	_____117bn.
Flora-Monroe Township Public Library	Flora	_____117bo.
Fort Branch Johnson Township Public Library	Fort Branch	_____117bp.
Fortville-Vernon Township Public Library	Fortville	_____117bq.
Francesville-Salem Township Public Library	Francesville	_____117br.
Frankfort-Clinton County Contractual Public Library	Frankfort	_____117bs.
Franklin County Public Library District	Brookville	_____117hx.
Fremont Public Library	Fremont	_____117bt.
Fulton County Public Library	Rochester	_____117bu.
Garrett Public Library	Garrett	_____117bv.
Gary Public Library	Gary	_____117bw.
Gas City-Mill Township Public Library	Gas City	_____117bx.
Goodland & Grant Township Public Library	Goodland	_____117bz.
Goshen Public Library	Goshen	_____117ca.
Greensburg-Decatur County Contractual Public Library	Greensburg	_____117cb.
Greentown & Eastern Howard School Public Library	Greentown	_____117cc.
Greenwood Public Library	Greenwood	_____117cd.
Hagerstown-Jefferson Township Public Library	Hagerstown	_____117ce.
Hamilton East Public Library	Noblesville	_____117cf.
Hamilton North Public Library	Cicero	_____117cg.
Hammond Public Library	Hammond	_____117ch.
Hancock County Public Library	Greenfield	_____117ci.
Harrison County Public Library	Corydon	_____117cj.
Hartford City Public Library	Hartford City	_____117ck.
Henry Henley Public Library	Carthage	_____117cl.
Huntingburg Public Library	Huntingburg	_____117cm.
Huntington City-Township Public Library	Huntington	_____117cn.
Hussey-Mayfield Memorial Public Library	Zionsville	_____117co.
Indianapolis-Marion County Public Library	Indianapolis	_____117cp.
Jackson County Public Library	Seymour	_____117cq.
Jasonville Public Library	Jasonville	_____117cr.
Jasper County Public Library	Rensselaer	_____117cs.
Jasper Dubois County Contractual Public Library	Jasper	_____117ct.
Jay County Public Library	Portland	_____117cu
Jefferson County Public Library	Madison	_____117cuu.
Jeffersonville Township Public Library	Jeffersonville	_____117cv.
Jennings County Public Library	North Vernon	_____117cw.
Johnson County Public Library	Franklin	_____117cx.

SAMPLE

		Library Code_____	
Jonesboro Public Library	Jonesboro	_____	117cy.
Joyce Public Library	Orland	_____	117cz.
Kendallville Public Library	Kendallville	_____	117da.
Kentland-Jefferson Township Public Library	Kentland	_____	117db.
Kewanna-Union Township Public Library	Kewanna	_____	117dc.
Kingman-Millcreek Public Library	Kingman	_____	117dd.
Kirklin Public Library	Kirklin	_____	117de.
Knightstown Public Library	Knightstown	_____	117df.
Knox County Public Library	Vincennes	_____	117dg.
Kokomo-Howard County Public Library	Kokomo	_____	117dh.
La Crosse Public Library	La Crosse	_____	117di.
La Grange County Public Library	La Grange	_____	117dj.
La Porte County Public Library	La Porte	_____	117dk.
Ladoga-Clark Township Public Library	Ladoga	_____	117dl.
Lake County Public Library	Merrillville	_____	117dm.
Lawrenceburg Public Library District	Lawrenceburg	_____	117dn.
Lebanon Public Library	Lebanon	_____	117do.
Ligonier Public Library	Ligonier	_____	117dp.
Lincoln Heritage Public Library	Dale	_____	117dq.
Linden Carnegie Public Library	Linden	_____	117dr.
Linton Public Library	Linton	_____	117ds.
Logansport-Cass County Public Library	Logansport	_____	117dt.
Loogootee Public Library	Loogootee	_____	117du.
Lowell Public Library	Lowell	_____	117dv.
Marion Public Library	Marion	_____	117dx.
Matthews Public Library	Matthews	_____	117dy.
Melton Public Library	French Lick	_____	117dz.
Michigan City Public Library	Michigan City	_____	117ea.
Middlebury Community Library	Middlebury	_____	117eb.
Middletown Fall Creek Township Public Library	Middletown	_____	117ec.
Milford Public Library	Milford	_____	117ed.
Mishawaka-Penn-Harris Public Library	Mishawaka	_____	117ee.
Mitchell Community Public Library	Mitchell	_____	117ef.
Monon Town & Township Public Library	Monon	_____	117eg.
Monroe County Public Library	Bloomington	_____	117eh.
Monterey-Tippecanoe Township Public Library	Monterey	_____	117ei.
Montezuma Public Library	Montezuma	_____	117ej.
Monticello-Union Township Public Library	Monticello	_____	117ek.
Montpelier-Harrison Township Public Library	Montpelier	_____	117el.
Mooresville Public Library	Mooresville	_____	117em.
Morgan County Public Library	Martinsville	_____	117en.
Morrisson-Reeves Library	Richmond	_____	117eo.
Muncie Center Township Public Library	Muncie	_____	117ep.
Nappanee Public Library	Nappanee	_____	117eq.
New Albany-Floyd County Public Library	New Albany	_____	117er.
New Carlisle & Olive Township Public Library	New Carlisle	_____	117es.
New Castle-Henry County Public Library	New Castle	_____	117et.
New Harmony Workingmen's Institute	New Harmony	_____	117eu.
Newton County Public Library	Lake Village	_____	117ew.
Noble County Public Library	Albion	_____	117ex.
North Judson-Wayne Township Public Library	North Judson	_____	117ey.
North Madison County Public Library System	Elwood	_____	117ez.
North Manchester Public Library	North Manchester	_____	117fa.
North Webster Community Public Library	North Webster	_____	117fb.
Oakland City-Columbia Township Public Library	Oakland City	_____	117fc.

SAMPLE

		Library Code_____
Odon Winkelpleck Public Library	Odon	_____117fd.
Ohio County Public Library	Rising Sun	_____117fe.
Ohio Township Public Library System	Newburgh	_____117ff.
Orleans Town & Township Public Library	Orleans	_____117fg.
Osgood Public Library	Osgood	_____117fh.
Otterbein Public Library	Otterbein	_____117fi.
Owen County Public Library	Spencer	_____117fj.
Owensville Carnegie Public Library	Owensville	_____117fk.
Oxford Public Library	Oxford	_____117fl.
Paoli Public Library	Paoli	_____117fm.
Peabody Public Library	Columbia City	_____117fn.
Pendleton Community Public Library	Pendleton	_____117fo.
Penn Township Public Library	Pennville	_____117fp.
Peru Public Library	Peru	_____117fq.
Pierceton & Washington Township Public Library	Pierceton	_____117fr.
Pike County Public Library	Petersburg	_____117fs.
Plainfield-Guilford Township Public Library	Plainfield	_____117ft.
Plymouth Public Library	Plymouth	_____117fu.
Porter County Public Library System	Valparaiso	_____117fv.
Poseyville Carnegie Public Library	Poseyville	_____117fw.
Princeton Public Library	Princeton	_____117fx.
Pulaski County Public Library	Winamac	_____117fy.
Putnam County Public Library	Greencastle	_____117fz.
Remington-Carpenter Township Public Library	Remington	_____117ga.
Ridgeville Public Library	Ridgeville	_____117gb.
Roachdale-Franklin Township Public Library	Roachdale	_____117gc.
Roann-Paw Paw Township Public Library	Roann	_____117gd.
Roanoke Public Library	Roanoke	_____117ge.
Rockville Public Library	Rockville	_____117gf.
Royal Center-Boone Township Public Library	Royal Center	_____117gg.
Rushville Public Library	Rushville	_____117gh.
Salem-Washington Township Public Library	Salem	_____117gi.
Scott County Public Library	Scottsburg	_____117gj.
Shelbyville-Shelby County Public Library	Shelbyville	_____117gk.
Sheridan Public Library	Sheridan	_____117gl.
Shoals Public Library	Shoals	_____117gm.
South Whitley-Cleveland Township Public Library	South Whitley	_____117gn.
Speedway Public Library	Speedway	_____117go.
Spencer County Public Library	Rockport	_____117gp.
Spiceland Town-Township Public Library	Spiceland	_____117gq.
St Joseph County Public Library	South Bend	_____117gr.
Starke County Public Library System	Knox	_____117gs.
Sullivan County Public Library	Sullivan	_____117gt.
Swayzee Public Library	Swayzee	_____117gu.
Switzerland County Public Library	Vevay	_____117gv.
Syracuse-Turkey Creek Township Public Library	Syracuse	_____117gw.
Tell City-Perry County Public Library	Tell City	_____117gx.
Thorntown Public Library	Thorntown	_____117gy.
Tippecanoe County Public Library	Lafayette	_____117gz.
Tipton County Public Library	Tipton	_____117ha.
Tyson Library Association, Inc	Versailles	_____117hb.
Union City Public Library	Union City	_____117hc.
Union County Public Library	Liberty	_____117hd.
Van Buren Public Library	Van Buren	_____117he.
Vermillion County Library	Newport	_____117ev.

SAMPLE

		Library Code_____
Vigo County Public Library	Terre Haute	_____117hf.
Wabash Carnegie Public Library	Wabash	_____117hg.
Wakarusa-Olive & Harrison Township Public Library	Wakarusa	_____117hh.
Walkerton-Lincoln Township Public Library	Walkerton	_____117hi.
Walton & Tipton Township Public Library	Walton	_____117hj.
Wanatah Public Library	Wanatah	_____117hk.
Warren Public Library	Warren	_____117hl.
Warsaw Community Public Library	Warsaw	_____117hm.
Washington Carnegie Public Library	Washington	_____117hn.
Washington Township Public Library	Lynn	_____117ho.
Waterloo-Grant Township Public Library	Waterloo	_____117hp.
Waveland-Brown Township Public Library	Waveland	_____117hq.
Wells County Public Library	Bluffton	_____117hr.
West Lafayette Public Library	West Lafayette	_____117hs.
West Lebanon-Pike Township Public Library	West Lebanon	_____117ht.
Westchester Public Library	Chesterton	_____117hu.
Westfield-Washington Public Library	Westfield	_____117hv.
Westville-New Durham Township Public Library	Westville	_____117hw.
Whiting Public Library	Whiting	_____117hy.
Willard Library of Evansville	Evansville	_____117hz.
Williamsport-Washington Township Public Library	Williamsport	_____117ia.
Winchester Community Public Library	Winchester	_____117ib.
Wolcott Community Public Library	Wolcott	_____117ic.
Worthington Jefferson Township Public Library	Worthington	_____117id.
York Township Public Library	Raub	_____117ie.
Yorktown-Mount Pleasant Township Public Library	Yorktown	_____117if.
TOTAL		**_____117**

SAMPLE

Library Code_____

Part 13 –Statement of Compliance with Current Standards for Public Libraries (590 IAC 6)

Standards which can be verified by data or information elsewhere in the report do not appear in this section

118. Is your library in compliance with:
(a) The Public Library Law under IC 36-12 ☐ Yes ☐No
(b) The Indiana Library and Historical Department Law under IC 4-23-7. ☐ Yes ☐No
(c) Other Indiana laws that affect municipal corporations. ☐ Yes ☐No

119. The library board and director maintain their separate functions as follows:
(a) The board is responsible for governance and policy. ☐ Yes ☐No
(b) The director is responsible for administration, operation, and management of the library. ☐ Yes ☐No

120 The library board has hired:
(a) a full-time library director ☐ Yes ☐No

121. With the advice and recommendations of the library director, the library board has adopted the following policies and procedures:
(1) An annual classification of employees ☐ Yes ☐No
(2) Schedules of salaries ☐ Yes ☐No
(3) Library policies. ☐ Yes ☐No
(4) Employment practices, including the following:
(A) Recruitment. ☐ Yes ☐No
(B) Selection ☐ Yes ☐No
(C) Appointment ☐ Yes ☐No
(5) Personnel actions ☐ Yes ☐No
(6) Salary administration ☐ Yes ☐No
(7) Employee benefits ☐ Yes ☐No
(8) Conditions of work ☐ Yes ☐No
(9) Leaves ☐ Yes ☐No
(10) Collection development ☐ Yes ☐No
(11) Principles of access to all library materials and services ☐ Yes ☐No

122. The library complies with federal laws affecting employment practice. ☐ Yes ☐No

123. The library board adheres to the principles discussed in approved and current Indiana state library publications for library trustees. ☐ Yes ☐No

124. All newly constructed and existing library facilities are in compliance with local, state, and federal building and health and safety codes. ☐ Yes ☐No

125. The library complies with provisions of the federal Americans with Disabilities Act to make its physical and digital services available to everyone. ☐ Yes ☐No

126. (a) The library makes available a means to provide copies to the public at each location. ☐ Yes ☐No

SAMPLE

(b) A fee may be charged not to exceed a fee established by Indiana state law. ☐ Yes ☐No

127. Interlibrary loan is free of charge within Indiana (other than reimbursement for actual direct photocopy and postage costs), ☐ Yes ☐No

128. The library lends materials using a local reciprocal borrowing agreement with at least one (1) other public library district within the library district's county or an adjacent county. ☐ Yes ☐No **Send signed local reciprocal borrowing agreement(s) to the Library Development Office, Indiana State Library**

129. The library provides adult services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate. ☐ Yes ☐ No

(B) Knowledge of and access to reference materials, including INSPIRE. ☐ Yes ☐ No

(C) A collection of materials for adults. ☐ Yes ☐ No

(D) Space designated in the library for adult services.☐ Yes ☐ No

(E) An enhanced level of service is achieved when a library designates:

(i) one (1) or more staff to serve at least part time ☐ Yes ☐ No

(ii) as an adult services librarian by a qualified individual holding the appropriate librarian certificate ☐ Yes ☐ No

(iii) at each fixed location. ☐ Yes ☐ No

(F) An exceptional level of service is achieved when a library designates:

(i) one (1) full-time equivalent ☐ Yes ☐ No

(ii) staff member designated as an adult services librarian by a qualified individual holding the appropriate librarian certificate ☐ Yes ☐ No

(iii) at each fixed location. ☐ Yes ☐ No

130. The library provides young adult services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate ☐ Yes ☐ No

(B) Knowledge of and access to reference materials, including INSPIRE. ☐ Yes ☐ No

(C) A collection of materials for young adults. ☐ Yes ☐ No

(D) Space designated in the library for young adult services.☐ Yes ☐ No

(E) An enhanced level of service is achieved when a library designates:

(i) one (1) or more staff to serve at least part time ☐ Yes ☐ No

(ii) as a young adult services librarian by a qualified individual holding the appropriate librarian certificate ☐ Yes ☐ No

(iii) at each fixed location. ☐ Yes ☐ No

(F) An exceptional level of service is achieved when a library designates:

(i) one (1) full-time equivalent staff member

(ii) designated as a young adult services librarian by a qualified individual holding the appropriate librarian certificate ☐ Yes ☐ No

(iii) at each fixed location. ☐ Yes ☐ No

131. The library provides children's services that include the following:

(A) Programs and reference services offered by a qualified individual holding the appropriate librarian certificate. ☐ Yes ☐ No

SAMPLE

(B) A collection of materials for @children, parents, and caregivers in each fixed location. ☐ Yes ☐ No
(C) Space in each fixed location designated in the library for children's services ☐ Yes ☐ No
(D) An enhanced level of service is achieved when a library designates:
(i) one (1) or more staff to serve at least part time ☐ Yes ☐ No
(ii) as a children's services librarian by a qualified individual holding the appropriate librarian certificate ☐ Yes ☐ No
(iii) at each fixed location. ☐ Yes ☐ No
(E) An exceptional level of service is achieved when a library designates:
(I) one (1) full-time equivalent ☐ Yes ☐ No
(II) staff member designated as a children's services librarian by a qualified individual holding the appropriate librarian certificate ☐ Yes ☐ No
(III) at each fixed location. ☐ Yes ☐ No

132. Patrons who are unable to read regular print, because of a visual or a physical disability are provided access directly or through the Indiana state library to large print books, Braille books, audio books, and enhanced media ☐ Yes ☐ No

133. The library provides computers for the free use of all persons regardless of residency, so long as such use would not violate any laws or other legally binding prohibitions imposed upon the person, including, but not limited to, fines owed to the library or violations of library policies. ☐ Yes ☐ No

134. The library provides support for continuing education for trustees. ☐ Yes ☐No

SAMPLE

Part 14 – Statement of Intent to Comply with Standards

135. Details for “No” answers in part 13, Statement of Compliance with Standards.

Part 15 -- Supplement Questions

NEW 136. Rotating or shared collections
a. Does your library system (libraries with branches and/or bookmobiles) use
(i) rotating or ☐ Yes ☐No ☐ N/A
(ii) shared collections? ☐ Yes ☐No ☐ N/A
b. Is there a schedule for rotation? ☐ Yes ☐No ☐ N/A
c. What items are not shared? ☐N/A or
(List)_____
_____
_____
d. Are all locations with the system included in rotating/shared collection? ☐ Yes or # of locations_____

NEW 137. Outreach

a. What methods of outreach to individuals or organizations does your library system employ?

Delivery system ☐ Yes ☐No ☐ N/A
Homebound services☐ Yes ☐No ☐ N/A
Programs ☐ Yes ☐No ☐ N/A
Other (List)

_____

_____

b. What kind of staffing do you use
Paid staff | Yes | | No | | N/A
Volunteer Yes No N/A
Other?
(List)_____

c. Cost?
Salaries $_____☐ N/A
Transportation (excluding Bookmobile) $_____☐ N/A
Bookmobile $_____☐ N/A
Supplies/Materials $_____☐ N/A
Dedicated collection $_____☐ N/A
Offset by grants, donations $_____☐ N/A

NEW 138. Proctoring

a. Do you provide proctoring services? ☐ Yes ☐No
b. If yes, is it free to the public? ☐ Yes ☐ No
c. If not free, what do you charge?_____☐ N/A
d. Average number of proctoring requests per month_____☐ N/A
e. Are there barriers or difficulties with proctoring? ☐ Yes ☐No ☐ N/A
List_____

_____

NEW 139. E-government Services

(a) Do you track patrons' use of e-government services? (Answer Yes or No)
(b) If yes, how?

_____

_____

_____

(c) # of public access computers dedicated to use of e-government services _____OR
(d) % of public access computer use dedicated to use of e-government services- _____
(e) Staff involvement in helping patrons use e-government services
(i) None or limited, up to 5 hours a week (Answer Yes or No)
(ii) Moderate; 5 – 20 hours a week (Answer Yes or No)
(iii) Extensive; more than 20 hours a week (Answer Yes or No)
(f) Other remarks

_____

SAMPLE

Chapter 7

Resource Sharing

Evergreen Indiana is a growing consortium of 99 public, school and institutional libraries located throughout Indiana that use the Evergreen ILS. Patrons of member libraries can use their Evergreen Indiana library card to view the catalogs and borrow materials from the other member libraries. The Evergreen Indiana catalog, largest catalog in the state, may be viewed at: evergreen.lib.in.us/

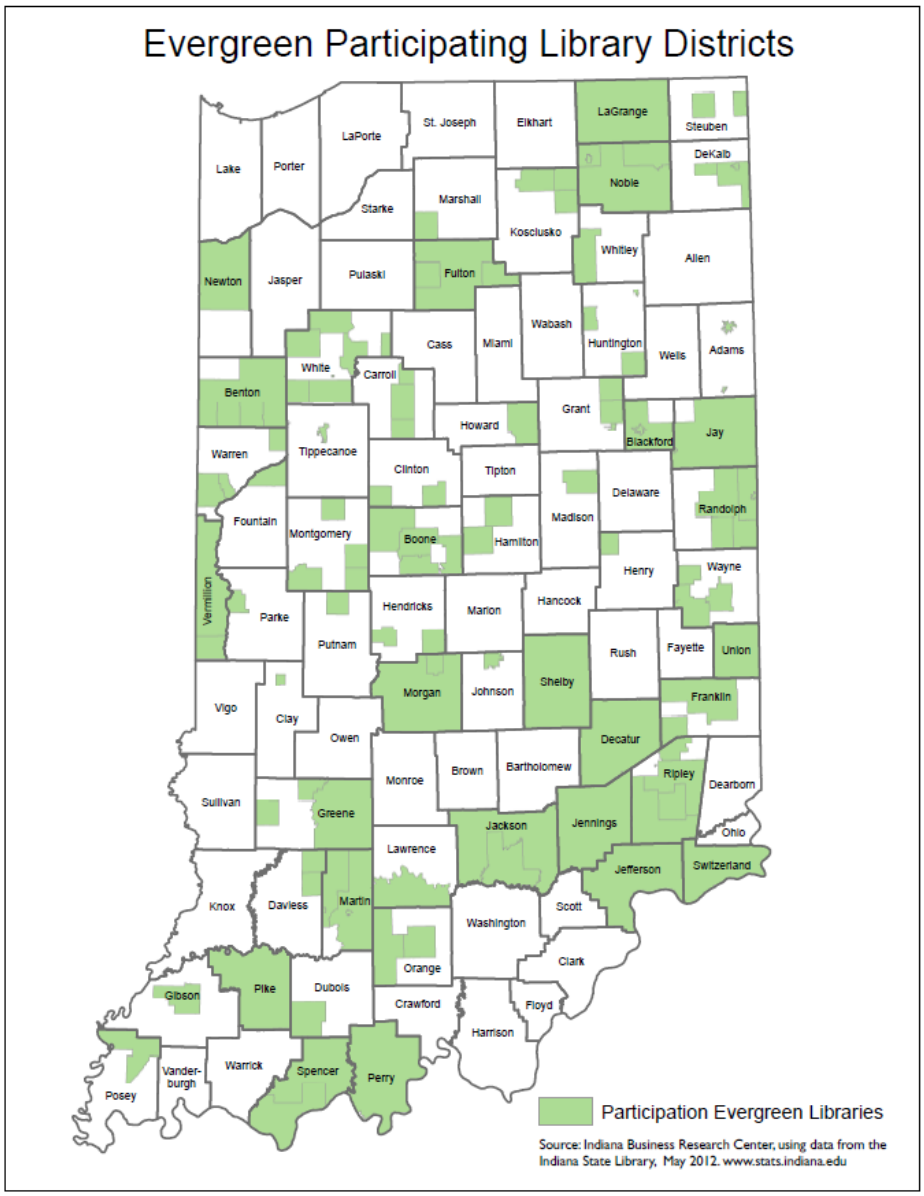
The Evergreen Indiana project is funded by the Indiana State Library through Library Services and Technology Act (LSTA) grants and state funds. The services provided by the State Library include purchasing and maintaining the central servers, personnel costs in operating the system, training, software development, data conversion, and other related expenses.

In 2008, the Indiana State Library enlisted the services and expertise of Equinox Software, Inc. to develop a comprehensive migration strategy for Indiana libraries. With a migration strategy in place, the 20 pilot libraries elected the first Evergreen Indiana Executive Committee and commenced the development of the consortium's policies and procedures. Evergreen Indiana's policies, as adopted by the Executive Committee, may be viewed on the website: www.in.gov/library/evergreen.htm

The Evergreen Indiana Consortium has seen a steady rise in interest from all types of libraries around the state. The Consortium is currently accepting applications from libraries seeking to migrate to Evergreen in 2012-2013. Requests for membership are approved by the Executive Committee. Libraries interested in joining the consortium must have board approval and submit a completed executed Membership Agreement , Code of Ethics and Board Resolution which may be found on the website: www.in.gov/library/evergreen.htm

For more information about Evergreen Indiana contact:

Shauna Borger, Evergreen Indiana Project Coordinator,
317.234-6536,
sborger@library.in.gov.



Members of Evergreen Indiana are eligible to join the eIndiana Digital OverDrive Consortium. OverDrive Libraries have access to thousands of audiobooks, ebooks, video and music through OverDrive.

Contact Shauna Borger, Evergreen Indiana Coordinator, at sborger@library.in.gov for more information.

INfo Express is the statewide library courier service managed by the Indiana State Library. Public Library districts, school districts, academic, institutional and special libraries are eligible to participate in INfo Express

Fees are based on the number of deliveries per week. Participants determine how many days a week (weekdays only) they need pickup and delivery. In order to offer the lowest possible delivery service cost for all Indiana libraries, the State Library will continue to provide state tax monies to subsidize the cost of one delivery per week per library district.

For the 2012-2013 year the cost of a single stop one day per week for 52 weeks per year will be just $75. Additional stops per week are $450 a year per stop/day.

In addition to keeping prices low, the State Library has added an incentive to promote resource sharing throughout Indiana's library community. Any library INCREASING its weekly delivery days AND participating as an active lender through OCLC's WorldCat or as an Evergreen member library will be provided a special discounted resource sharing rate. These libraries (and libraries already at 5-days-a-week service) will receive an additional day of delivery provided at the subsidized rate of $125.00, rather than the normal annual rate of $450.

Prices for the 2012-2013 year:

# of Stops per week	INfo Express Rate	Resource Sharing Rate
One	***$75.00***	***$75.00***
Two	***$525.00***	***$200.00***
Three	***$975.00***	***$650.00***
Four	***$1,425.00***	***$1,100.00***
Five	***$1,875.00***	***$1,550.00***

Participants use the INfo Express website to create labels and shipping manifests.

To learn more about how to use InfoExpress visit www.infoexpress.in.gov

You may also contact the Info Express staff:

Phone: (317) 232 3699
Toll Free Number: (877) 835-0014
E-mail dhicks@library.in.gov
Fax (317) 232 0002

Indiana SHARE Program

The Indiana SHARE program allows a large variety of libraries from around the state to request interlibrary loan materials through the Indiana State Library using ILLiad software. State Library staff submits the interlibrary loan requests on behalf of the requesting libraries.

Lending libraries that accept the requests will ship the materials to requesting libraries via INfo Express or library rate postage.

IN-SHARE is one of the programs that the State Library inherited from INCOLSA. It was created back in the 1970's and has changed very little since that time. As a result, IN-SHARE is not sustainable in its current form.

The ISL Resources Sharing committee is currently reviewing the construction of IN-Share, and it is unlikely that we will be able to add any more libraries to the program until they come up with a sustainable model for the program.

To learn more about the program including how to submit requests and a brief tutorial , please visit the Indiana SHARE website:

www.in.gov/library/ishare.htm

You may also contact the Indiana Share staff:

E-mail	share@library.in.gov
Phone:	(317) 234-5650
Toll Free Number:	(877) 835-0014
Fax	(317) 232-0002

Public Library Access Card (PLAC)

N°: 011500

PUBLIC LIBRARY ACCESS CARD

Name
Address
Date of Expiration (mm/dd/yyyy)
Name of Issuing Library

State Form 45680 (9-92) Indiana Code 4-23-7.1-5.1

Side One of PLAC Card Above

Side Two of PLAC Card Below

Signature
is responsible for the return of any borrowed item directly to the public library from which the cardholder borrowed the item. All public libraries shall participate in this program and shall permit an individual who holds a valid statewide library card to borrow items available for borrowing as established by rules adopted by the Indiana Library and Historical Board under subsection (c). Indiana Code 4-23-7.1-5.1(b)(6)(7)

The Public Library Access Card (PLAC) is the name for the statewide library card, enacted in 1993 by (Indiana Code 4-23-7.1-5.1) , with rules promulgated in 590 IAC 3, www.in.gov/legislative/iac/T05900/A00030.PDF. The PLAC program allows an individual to borrow materials directly from any public library in Indiana. Books and non-book materials that normally circulate are eligible for loan through the PLAC program. Circulation of eBooks and eAudios are restricted and often not available to PLAC borrowers; vendor agreements limit circulation of these items. Any individual who holds a valid Indiana public library card may obtain a PLAC card.

The fee for a PLAC in calendar year **2012-2013** is **$50.00**.

PLAC Working Guidelines

Obtaining a PLAC Card

1. Availability of Cards. The Indiana State Library will provide a supply of numbered Public Library Access Cards at no cost to each public library in the State. Orders for

additional Public Library Access Cards (PLAC) may be placed on the PLAC Quarterly Report Form www.in.gov/library/plac.htm.

2. Appearance of Card. The Public Library Access Card (PLAC) contains the following information: name of cardholder, address of cardholder, home public library of cardholder and expiration date of card. This information will be made part of the PLAC record at the issuing library. The card is issued as an individual card to one specific person.

Definitions:

The **home public library** (590 IAC 3) means the public library where an individual is a resident or real property taxpayer in the taxing district of the library or library from which a nonresident has purchased a card.

The **issuing library** may be any public library in the state, not just the home library. The PLAC card lists the name of the home library, not the issuing library.

Guideline (a): Eligibility for PLAC. An individual who is in "good standing" and eligible to obtain a valid resident or nonresident library card from one of the 237 public libraries in the state of Indiana qualifies to obtain a PLAC. A law passed in 1996 allows an individual to obtain a PLAC at any public library in Indiana.

To receive a Public Library Access Card you must have an Indiana “resident” or a non-resident library card, (I.C. 4-23-7.1-5.1).

Guideline (b): "Good Standing" is defined at the local library level. Do not issue PLAC card to individuals with overdue fines and fees.

Guideline (c): A family PLAC cannot be issued. The card is issued only as an individual card to one specific person. The local library's guidelines regarding use of a library card by a person other than the actual cardholder should be followed if a family member wishes to borrow on a PLAC card.

Guideline (d): A public library may choose to issue its own library card to an individual holding a PLAC to properly code patron record in the circulation system for record keeping. This determination is made at the local library level. Any local card that is issued to a PLAC cardholder should be marked clearly with the PLAC expiration date. Libraries that have computerized registration files should mark the expiration date of the PLAC cardholder's record in the database. PLAC cardholders may be required to show both the PLAC and the local library card to check out materials according to the lending library's rules.

College/University Student PLAC. Resident students are not required to have a PLAC to use the local public library in the college/university community in that library district.

If a college student wants to borrow materials from a public library other than his/her home library or the library in the college/university community where he/she resides, then the student will need to purchase a PLAC.

> Guideline: Local libraries should follow their policies in place for issuance of student cards to local college/university or other post secondary school students.

3. Refunds. No refunds for paid PLAC fee will be made under any circumstance.
4. Replacement Card. When a cardholder's PLAC is lost or stolen, the cardholder will be issued a replacement card at the library where the PLAC was issued; the expiration date remains the original one. The fee for the replacement card will be $1.00 (subject to annual review by the Indiana Library and Historical Board) and will be remitted to the Indiana State Library. Keep a record of voided card numbers. Names, addresses, and card numbers of individuals who are issued replacement cards must appear on the PLAC Quarterly Report Form.

Fee Collection for Card

5. Payment for PLAC. An individual may pay either by cash or by check when obtaining a PLAC; credit card payment is available at some public libraries and is acceptable for PLAC card payment. If payment is made by check, the check should be made out to the public library issuing the PLAC. Collection and deposit of fees should be recorded by the issuing library according to the prescribed method of the Indiana State Board of Accounts www.in.gov/sboa/files/lib2010_003.pdf :

> PLAC CARD FUND [IC 4-23-7.1-5.1]
>
> All money received from the sale of PLAC cards should be receipted to a PLAC Card fund.
>
> Payments are to be made to the State Library of such receipts on a quarterly basis as required by 590 IAC 3.

6. Submitting Fees to Indiana State Library. Collected fees on the PLAC should be remitted to the Indiana State Library on a quarterly basis using the PLAC Quarterly Report Form.

Types of Materials Eligible for Loan to PLAC Patrons

1. Books.

Definitions of books: hardbound print books, paperback print books, large print format books and board books.

Books that normally circulate must be available for loan to PLAC cardholders.

2. Non-book Materials.

Definition of non-book materials: videotapes, audiocassettes, CDs, records, art prints, slides, microfiche, pamphlets, periodicals (single or bound issues), etc.

Non-book materials may be loaned to PLAC cardholders at the discretion of the individual library.

EBooks and eAudio books are often ineligible for the PLAC loans because of vendor restrictions.

Annual Determination of Eligible Materials. Each local library determines annually what types of materials are eligible for loan to PLAC cardholders. This information needs to be readily available to borrowers on their library website.

Overdue & Lost Materials

Fees. Library overdue fees are set locally and the local library collects the daily overdue fee for library materials loaned to PLAC cardholders

> *Guideline: In the spirit of cooperation, when feasible, libraries should alert other libraries to problem borrowers with PLAC privileges that have accrued sizable overdue fines or have lost an inordinate number of items borrowed through the program.*

Replacement Cost. Reimbursement for lost library material borrowed on a PLAC is the responsibility of the borrower not the borrower's home library. The replacement cost of an item is determined by the lending library.

Materials Returned to the Wrong Library. Often library materials can be re-routed to lending library without an additional cost. In those cases where there is an additional cost, the library can collect cost from the borrower.

> *Guideline: PLAC users should be informed that they are expected to return materials borrowed using PLAC to the lending library.*

Procedures for Issuing PLAC

1. Determine if individual holds a **valid** library card at a public library in Indiana.

Here is a link to a map that shows the areas unserved by a library district:

www.stats.indiana.edu/maptools/maps/boundary/library/LibraryDistricts2011.pdf

Those in unserved areas may obtain a PLAC card if they have purchased a non-resident card. The fee for a non-resident card is a minimum of $25.00 or the library's operating fund expenditure per capita (if greater than $25.00). The non-resident fee for the Indiana public libraries is found in table 4 of the latest publication of "Statistics of Indiana Libraries" found here www.in.gov/library/plstats.htm. This fee is paid in *addition* to the PLAC fee.

2. Determine that the individual is in "good standing." Good Standing" is defined as an individual who does not have outstanding overdue fines and fees. (This may be determined locally and require a phone call to local library for verification of patron standing).
3. Registration can take place at any of the Indiana public libraries. When registering in the computerized system, the PLAC borrower is coded to their home library not necessarily the library that sold the card.
4. Collect the PLAC fee
    a) The PLAC borrower pays by cash, check, or credit card where available. Personal checks are payable to the issuing public library.
    b) In some libraries, the PLAC fee may be paid in part by the home library. Accounting procedures must receipt both payments. The individual may pay by cash, check or credit card where available. Personal checks are made out to the issuing public library.

Or

5. When total fee is properly receipted issue the PLAC card to borrower.
6. Type or write in ink on the face of the PLAC
    - Name;
    - Address;
    - Expiration date (one year from date of issue of the PLAC);
    - Home library.

Procedure when an individual brings a PLAC to your library:

The issuing library validates that the individual is in good standing at the home library; also verifies the identity on card matches the individual. Libraries differ in their procedures with PLAC borrowers. Some issue local card to register PLAC borrower in the library's computerized system. The PLAC expiration date matches the expiration date on the local card issued.

Library policy regarding use of a library card by a person other than the actual cardholder is in force for PLAC borrower.

Statistics & Recordkeeping

Each library will be required by the State Library to keep statistics recording the home library of each PLAC cardholder who borrows materials from them as well as the number of items borrowed by a PLAC cardholder.

Library Reporting Responsibilities

Statistics. Each public library is expected to report all required borrowing statistics on the Public Library Access Card Program as a part of the Annual Report. The Board President shall attest to the accuracy of the report submitted on PLAC.

Eligible Materials for Loan. Each public library is responsible to communicate to PLAC cardholders the eligible list of loan items. Two ways to communicate to the cardholders is on the library website and as a handout detailing what library materials are eligible for loan to PLAC cardholders. For illustration of how to list on a library website visit the Allen County Public Library borrower page at
www.acpl.lib.in.us/aboutus/borrowing.html#plac

Failure to Report. Failure to submit a complete statistical report to the Indiana State Library by the established deadline will result in the following action taken: Determination that the library is in non-compliance with Minimum Standards for Public Libraries and the withholding of state and federal funds to the library by the Indiana State Library.

PLAC Reimbursement to Libraries Based on Net Loans

Payment of funds for the PLAC program is paid out on the basis of net loans (IC 4-23-7.1-5.2(d)). Money paid into the PLAC program fund to the Indiana State Library plus the interest earned on this fund during a calendar year will be divided by the number of net loans made to PLAC cardholders and the resulting figure will be the per net loan figure paid to libraries. Each eligible public library will receive payment for its net loans, made during the previous calendar year, by August 1 of each year

PLAC net loans are defined as the number of loans made by a library to PLAC cardholders from outside its district less the number of loans made by PLAC cardholders from within its district at other libraries.

To receive payment public libraries with net PLAC loans must meet Minimum Standards for Public Libraries in order to be eligible for reimbursement through the Public Library Access Card Program.

Procedures for Recordkeeping:

1. Keep data on file at your library for PLAC card purchases:
    - Name;
    - Address;
    - Phone (if available)
    - Cash/check#
    - PLAC Number
    - Expiration date (one year from date of issue).

- When a PLAC cardholder uses the PLAC to borrow materials at your library, keep the usual information that you would need to issue one of your local cards. Keep a record of the name, address, PLAC #, and expiration date.
- For each use by a PLAC borrower, record the home library of the PLAC cardholder and the number of items borrowed. Some libraries keep this as manual record and others automated circulation systems retain the records. (This information is **VERY IMPORTANT** and will be used to figure the reimbursement to libraries in the PLAC Program.)

Recordkeeping: Before Library Migrates to New Integrated Library System (Circulation)

- Always retain the circulation records regarding PLAC borrowers and loans for reporting in the Annual Statistics.
- Ask vendor, including Evergreen Indiana, about retention of the PLAC circulation records.
- Generate end of system report of circulation statistics with PLAC data to backup records. Keep hardcopy if possible.

PUBLIC LIBRARY ACCESS CARD (PLAC) QUARTERLY REPORT
State Form 44289 (R2/2-04)

Check time period covered: Year_____	*Report Due:*
_____1st quarter, Jan.-Mar.	April 25
_____2nd quarter, Apr.-June	July 25
_____3rd quarter, July-Sept.	Oct. 25
_____4th quarter, Oct.-Dec.	Jan. 25

Name of Library

Complete Address

Cards sold this quarter # thru #

No cards sold this quarter *(check here if applicable)* ☐

Quantity of replacement cards sold at $1.00		Total $

Please use the following formula to calculate the quantity of cards sold:
Last card number sold this quarter minus (-) last card number sold from previous quarter = total cards sold.
Total cards sold minus (-) voided or replacement cards = quantity of cards sold.
Example: 131409 - 131400 = 9 - voided card (1) #131408 = 8 cards sold.

Quantity of cards sold	Total $
Quantity of voided cards (list card #'s in this space)	Total remitted $ **Make check payable to the Indiana State Library**

Please give information only for each **replacement card** sold. Attach additional sheets if needed.

Name, Address	Replacement card #	Lost Card #

Send additional cards. (Cards come in packages of 250.) Quantity requested: ☐ Package (s)

The undersigned hereby certifies the accuracy of the information submitted on the Public Library Access Card (PLAC Quarterly Report).

Signature of Library Director	Date signed (month, day, year)
Signature of one Library Board Officer	Date signed (month, day, year)

Please return check, original form, and 1 copy to: Administrative Division, Room 410, Indiana State Library, 140 North Senate Avenue, Indianapolis, IN 46204-2296. Please make check payable to the Indiana State Library.

Statewide Reciprocal Borrowing

Participating libraries sign a statewide reciprocal borrowing covenant agreement that allows users from any other participating library to borrow books in person at public libraries all over Indiana. The reciprocal borrowing covenant agreement is found online at www.in.gov/library/ldoresources.htm

Any person who has a current resident library card from their local library can use Reciprocal Borrowing privileges to borrow from other libraries that participate in the statewide agreement.

Cardholders from contracting townships are not eligible for this program.

A current list of participants is included at the end of this chapter.

For those libraries wishing to participate in the state wide reciprocal borrowing program, a covenant has been included in this chapter. It must be filled out and returned to the LDO office in order to participate in the program and be added to the list.

Any questions need to be directed to the Indiana State Library, Library Development Office at 1-800-451-6028.

DO NOT REQUIRE A PLAC CARD, if the patron's home library is on the Statewide Reciprocal Borrowing List and they are a taxing resident of that home library. A list of participating libraries can be found at the end of this chapter.

Any 2 or more libraries may sign a local reciprocal borrowing covenant to allow only those libraries to participate in a reciprocal borrowing program that includes their libraries and not participate statewide. This agreement is at the consent of the local library board and not required by state law.

PLAC, on the other hand, is state law and **all public libraries in Indiana are required** to sell a PLAC card to anyone who has a current and valid public library card from any other public library in the state.

Local Reciprocal Borrowing

A local or regional agreement is defined as an agreement between two or more libraries that allows residents of each library district to borrow items from a public library in the other library district(s), or a resolution by a local library board that the library will allow anyone with a public library card from another library in the state to borrow materials.

All local agreements must be in writing and approved by the participating libraries' boards of trustees. For recordkeeping purposes, copies of local agreements are filed with the Indiana State Library.

Do not issue the PLAC card to residents of your library district who wish only to use libraries that have local agreements with your library. (However, you would issue the PLAC if one of your residents wants to borrow materials from a library that does not have a local agreement with your library.)

Do not count loans made to individuals whose libraries have local agreements as part of the PLAC Program. The only loans that are reimbursed in the PLAC Program are those made to PLAC cardholders.

Non-Resident Fees

According to Indiana Code (IC 36-12-2-25), a resident of Indiana in an unserved area may purchase library services from one of the 237 library districts. The fee for a nonresident card is at least the sum of $25.00 or the library's expenditure per capita, if that amount is greater than $25.00; the PLAC fee is in addition to the nonresident fee. A nonresident fee may be set higher than the library's operating fund expenditure per capita. The amounts of the operating fund expenditure per capita for public libraries are found in latest year of Public Library Statistics Table 4 www.in.gov/library/4558.htm.

_____ Public Library

Reciprocal Borrowing Covenant

WHEREAS, it is to the advantage of the people of Indiana that intellectual materials be accessible to them; and

WHEREAS, public libraries have been developed to promote access to intellectual materials available in organized collections of such materials in locally supported public libraries; and

WHEREAS, the parties to this agreement desire to fulfill their obligations and purposes in this regard do

HEREBY, covenant between them on behalf of the people in their library district to permit any person holding a valid resident borrower's card from any library which is a party to the Covenant access to circulating materials, such an arrangement being generally referred to as reciprocal borrowing, subject only to the conditions set forth here following:

1. Users of this arrangement are expected to
   a. Conform to the rules and regulations of the institution from which they borrow
   b. Present a valid resident borrower's card issued by their local library as evidence of their eligibility for this service; and
   c. Pay promptly all delinquency charges which may accrue against them
2. Participating libraries agree to assist each other, if necessary (on request) in recovering materials.
3. Participating libraries may limit this activity to specific eligible materials at their discretion, but are encouraged to provide unlimited access.
4. Participating libraries are not required to take reserves or initiate interlibrary loan requests for reciprocal borrowers.

This covenant becomes effective on the latest date shown below and shall remain in force until either party wishes it modified or canceled. A copy of this agreement shall be filed with the Indiana State Library upon signing, whereas to facilitate the compilation of a statewide listing of participating libraries.

_____ Public Library

_____ Date _____ Librarian

_____ Date _____ President
Board of Trustees

Statewide Reciprocal Borrowing Covenant Libraries	Date Covenant Signed (It remains in effect until the library board rescinds it in writing, with a copy sent to the Indiana State Library, Library Development Office)
Revised 05/31/2012	
AKRON CARNEGIE PUBLIC LIBRARY	8/2/2005
ALEXANDRIAN PUBLIC LIBRARY	6/2/1995
ARGOS PUBLIC LIBRARY	7/29/1996
ATTICA PUBLIC LIBRARY	5/4/2004
AURORA PUBLIC LIBRARY DISTRICT	3/10/2008
BARTHOLOMEW COUNTY PUBLIC LIBRARY	3/12/2012
BARTON REES POGUE MEMORIAL PUBLIC LIBRARY	7/27/2005
BEDFORD PUBLIC LIBRARY	2/29/2012
BELL MEMORIAL PUBLIC LIBRARY	7/22/2005
BENTON COUNTY PUBLIC LIBRARY	8/1/2005
BICKNELL-VIGO TOWNSHIP PUBLIC LIBRARY	8/11/2005
BLOOMFIELD-EASTERN GREENE COUNTY PUBLIC LIBRARY	5/12/2004
BOONVILLE-WARRICK COUNTY PUBLIC LIBRARY	2/14/2012
BOSWELL-GRANT TOWNSHIP PUBLIC LIBRARY	6/21/1996
BRAZIL PUBLIC LIBRARY	8/3/2005
BRISTOL-WASHINGTON TOWNSHIP PUBLIC LIBRARY	8/4/2005
BROOK-IROQUOIS-WASHINGTON PUBLIC LIBRARY	5/25/2004
BROOKSTON-PRAIRIE TOWNSHIP PUBLIC LIBRARY	8/10/2005
BROWN COUNTY PUBLIC LIBRARY	9/12/2005
BUTLER PUBLIC LIBRARY	12/18/2001
CAMBRIDGE CITY PUBLIC LIBRARY	7/26/2005
CAMDEN-JACKSON TOWNSHIP PUBLIC LIBRARY	8/3/1995
CENTERVILLE-CENTER TOWNSHIP PUBLIC LIBRARY	8/24/2005
CHARLESTOWN CLARK COUNTY PUBLIC LIBRARY	5/20/2004
CHURUBUSCO PUBLIC LIBRARY	7/3/1995
CLAYTON-LIBERTY TOWNSHIP PUBLIC LIBRARY	8/9/2005
CLINTON PUBLIC LIBRARY	7/26/2005
COLFAX-PERRY TOWNSHIP PUBLIC LIBRARY	7/26/2005
CONVERSE-JACKSON TOWNSHIP PUBLIC LIBRARY	6/28/1995
COVINGTON-VEEDERSBURG PUBLIC LIBRARY	8/2/2005
CRAWFORD COUNTY PUBLIC LIBRARY	8/25/2009
CRAWFORDSVILLE DISTRICT PUBLIC LIBRARY	7/14/1995
CROWN POINT COMMUNITY PUBLIC LIBRARY	6/21/1995
CULVER-UNION TOWNSHIP PUBLIC LIBRARY	3/7/2001
DARLINGTON PUBLIC LIBRARY	4/28/2009
DELPHI PUBLIC LIBRARY	6/21/1995
DUBLIN PUBLIC LIBRARY	2/9/2009
DUNKIRK PUBLIC LIBRARY	7/1/1995
EARL PARK PUBLIC LIBRARY	5/11/2004
EAST CHICAGO PUBLIC LIBRARY	5/20/2004
EDINBURGH WRIGHT-HAGEMAN PUBLIC LIBRARY	6/19/1995
ELKHART PUBLIC LIBRARY	7/26/1995
FLORA-MONROE TOWNSHIP PUBLIC LIBRARY	6/12/1995
FORT BRANCH-JOHNSON TOWNSHIP PUBLIC LIBRARY	7/3/1995
FORTVILLE-VERNON TOWNSHIP PUBLIC LIBRARY	5/25/2004

Statewide Reciprocal Borrowing Covenant Libraries	Date Covenant Signed (It remains in effect until the library board rescinds it in writing, with a copy sent to the Indiana State Library, Library Development Office)
FRANCESVILLE-SALEM TOWNSHIP PUBLIC LIBRARY	7/11/1995
FRANKFORT COMMUNITY LIBRARY-CLINTON COUNTY CONTRACTUAL PUBLIC LIBRARY	5/10/2004
FULTON COUNTY PUBLIC LIBRARY	8/1/2005
GARRETT PUBLIC LIBRARY	7/7/1995
GARY PUBLIC LIBRARY	5/24/2004
GAS CITY-MILL TOWNSHIP PUBLIC LIBRARY	12/20/2011
GOODLAND & GRANT TOWNSHIP PUBLIC LIBRARY	6/13/1995
GREENTOWN & EASTERN HOWARD SCHOOL PUBLIC LIBRARY	1/22/2007
GREENWOOD PUBLIC LIBRARY	7/11/1995
HAGERSTOWN-JEFFERSON TOWNSHIP PUBLIC LIBRARY	11/3/2004
HAMILTON NORTH PUBLIC LIBRARY	7/5/1995
HAMMOND PUBLIC LIBRARY	6/27/1995
HARRISON COUNTY PUBLIC LIBRARY	8/12/2005
HENRY HENLEY PUBLIC LIBRARY	7/15/2005
HUNTINGBURG PUBLIC LIBRARY	6/17/2004
JASONVILLE PUBLIC LIBRARY	9/10/2009
JASPER COUNTY PUBLIC LIBRARY	6/14/1995
JASPER-DUBOIS COUNTY CONTRACTUAL PUBLIC LIBRARY	8/4/2005
JEFFERSON COUNTY PUBLIC LIBRARY	7/12/1995
JEFFERSONVILLE TOWNSHIP PUBLIC LIBRARY	8/2/2005
JENNINGS COUNTY PUBLIC LIBRARY	5/10/2004
JOYCE PUBLIC LIBRARY	7/10/1995
KENDALLVILLE PUBLIC LIBRARY	6/3/2004
KENTLAND-JEFFERSON TOWNSHIP PUBLIC LIBRARY	7/18/1995
KEWANNA-UNION TOWNSHIP PUBLIC LIBRARY	6/26/1995
KINGMAN-MILLCREEK PUBLIC LIBRARY	6/1/2004
KIRKLIN PUBLIC LIBRARY	6/22/2004
KNIGHTSTOWN PUBLIC LIBRARY	5/9/2000
KNOX COUNTY PUBLIC LIBRARY	8/11/2005
LA CROSSE PUBLIC LIBRARY	6/20/1995
LA GRANGE COUNTY PUBLIC LIBRARY	7/3/1995
LA PORTE COUNTY PUBLIC LIBRARY	7/28/2005
LADOGA-CLARK TOWNSHIP PUBLIC LIBRARY	6/26/1997
LAWRENCEBURG PUBLIC LIBRARY	6/30/2008
LEBANON PUBLIC LIBRARY	8/24/2005
LINCOLN HERITAGE PUBLIC LIBRARY	6/21/2004
LINDEN CARNEGIE PUBLIC LIBRARY	7/3/1995
LINTON PUBLIC LIBRARY	7/21/2005
LOOGOOTEE PUBLIC LIBRARY	6/13/21995
LOWELL PUBLIC LIBRARY	9/19/2005
MICHIGAN CITY PUBLIC LIBRARY	7/1/1995
MIDDLEBURY COMMUNITY PUBLIC LIBRARY	4/8/2010
MISHAWAKA-PENN-HARRIS PUBLIC LIBRARY	8/11/2005
MITCHELL COMMUNITY PUBLIC LIBRARY	7/6/1995
MONON TOWN & TOWNSHIP PUBLIC LIBRARY	7/10/1995

Statewide Reciprocal Borrowing Covenant Libraries	Date Covenant Signed (It remains in effect until the library board rescinds it in writing, with a copy sent to the Indiana State Library, Library Development Office)
MONTEREY-TIPPECANOE TOWNSHIP PUBLIC LIBRARY	6/19/1995
MONTEZUMA PUBLIC LIBRARY	7/11/1995
MONTICELLO-UNION TOWNSHIP PUBLIC LIBRARY	5/18/2004
MONTPELIER-HARRISON TOWNSHIP PUBLIC LIBRARY	7/11/1995
MORGAN COUNTY PUBLIC LIBRARY	6/28/1995
NEW CASTLE-HENRY COUNTY PUBLIC LIBRARY	8/17/1998
NEW HARMONY WORKINGMEN'S INSTITUTE	7/13/1995
NEWTON COUNTY PUBLIC LIBRARY	6/14/1995
NOBLE COUNTY PUBLIC LIBRARY	5/6/2004
NORTH JUDSON-WAYNE TOWNSHIP PUBLIC LIBRARY	5/11/2004
NORTH MADISON COUNTY PUBLIC LIBRARY SYSTEM	7/10/1995
ODON WINKELPLECK PUBLIC LIBRARY	4/16/2002
OHIO COUNTY PUBLIC LIBRARY	8/3/2005
OHIO TOWNSHIP PUBLIC LIBRARY SYSTEM	7/10/1995
ORLEANS TOWN & TOWNSHIP PUBLIC LIBRARY	6/27/1995
OSGOOD PUBLIC LIBRARY	5/30/2012
OTTERBEIN PUBLIC LIBRARY	7/1/1996
OWEN COUNTY PUBLIC LIBRARY	6/29/1995
OWENSVILLE CARNEGIE PUBLIC LIBRARY	7/5/1995
OXFORD PUBLIC LIBRARY	8/5/2005
PAOLI PUBLIC LIBRARY	5/24/2004
PENDLETON COMMUNITY PUBLIC LIBRARY	5/12/2004
PENN TOWNSHIP PUBLIC LIBRARY	7/22/1995
PERRY COUNTY PUBLIC LIBRARY	4/4/2012
PIKE COUNTY PUBLIC LIBRARY	8/5/2005
PLYMOUTH PUBLIC LIBRARY	3/26/2007
PORTER COUNTY PUBLIC LIBRARY SYSTEM	7/20/2005
POSEYVILLE CARNEGIE PUBLIC LIBRARY	7/15/2005
PRINCETON PUBLIC LIBRARY	9/20/2005
PULASKI COUNTY PUBLIC LIBRARY	7/21/2005
PUTNAM COUNTY PUBLIC LIBRARY	7/26/1995
REMINGTON-CARPENTER TOWNSHIP PUBLIC LIBRARY	12/2/1996
ROACHDALE-FRANKLIN TOWNSHIP PUBLIC LIBRARY	7/14/2005
ROCKVILLE PUBLIC LIBRARY	6/12/1995
RUSHVILLE PUBLIC LIBRARY	1/17/2011
SALEM-WASHINGTON TOWNSHIP PUBLIC LIBRARY	6/23/2004
SCOTT COUNTY PUBLIC LIBRARY	7/14/2005
SHELBYVILLE-SHELBY COUNTY PUBLIC LIBRARY	1/24/2012
SHERIDAN PUBLIC LIBRARY	7/15/2005
SHOALS PUBLIC LIBRARY	7/3/1995
SPENCER COUNTY PUBLIC LIBRARY	5/11/2004
SPICELAND TOWN-TOWNSHIP PUBLIC LIBRARY	11/28/2011
STARKE COUNTY PUBLIC LIBRARY SYSTEM	6/13/1995
SULLIVAN COUNTY PUBLIC LIBRARY	8/10/2005
SWITZERLAND COUNTY PUBLIC LIBRARY	7/11/1995
SYRACUSE-TURKEY CREEK TOWNSHIP PUBLIC LIBRARY	8/11/2003

Statewide Reciprocal Borrowing Covenant Libraries	Date Covenant Signed (It remains in effect until the library board rescinds it in writing, with a copy sent to the Indiana State Library, Library Development Office)
THORNTOWN PUBLIC LIBRARY	6/19/1995
TIPPECANOE COUNTY PUBLIC LIBRARY	8/1/1995
TIPTON COUNTY PUBLIC LIBRARY	2/21/2007
UNION COUNTY PUBLIC LIBRARY	5/26/2004
VAN BUREN PUBLIC LIBRARY	7/25/2005
VERMILLION COUNTY PUBLIC LIBRARY	6/1/2004
VIGO COUNTY PUBLIC LIBRARY	8/17/2009
WABASH CARNEGIE PUBLIC LIBRARY	1/17/2012
WAKARUSA-OLIVE & HARRISON TOWNSHIP PUBLIC LIBRARY	8/7/1995
WALKERTON-LINCOLN TOWNSHIP PUBLIC LIBRARY	8/9/2005
WALTON & TIPTON TOWNSHIP PUBLIC LIBRARY	8/10/2010
WANATAH PUBLIC LIBRARY	7/7/1995
WASHINGTON CARNEGIE PUBLIC LIBRARY	2/11/2010
WASHINGTON TOWNSHIP PUBLIC LIBRARY	5/1/2004
WATERLOO-GRANT TOWNSHIP PUBLIC LIBRARY	12/4/2006
WAVELAND-BROWN TOWNSHIP PUBLIC LIBRARY	7/10/1995
WEST LAFAYETTE PUBLIC LIBRARY	7/18/1995
WEST LEBANON-PIKE TOWNSHIP PUBLIC LIBRARY	7/26/2005
WESTCHESTER PUBLIC LIBRARY	5/13/2004
WESTVILLE-NEW DURHAM TOWNSHIP PUBLIC LIBRARY	5/25/2004
WHITING PUBLIC LIBRARY	8/9/2005
WILLARD LIBRARY OF EVANSVILLE	6/29/1995
WILLIAMSPORT-WASHINGTON TOWNSHIP PUBLIC LIBRARY	6/26/1995
WOLCOTT COMMUNITY PUBLIC LIBRARY	9/1/1999
WORTHINGTON JEFFERSON TOWNSHIP PUBLIC LIBRARY	8/3/2005

Chapter 8

LDO Calendar of Important Dates

The LDO calendar is maintained on WebJunction Indiana. The link is in.webjunction.org/1

On the right hand side of page see **Quick Links** and select **Calendar of Events**.

In addition to LDO events dates that are in purple font color, the calendar includes Evergreen events and PDO events.

Disclaimer

The calendar is maintained on the server to enhance access to information. The calendar is continually updated as event dates become know. The user should be aware that, while effort is made to keep the information timely and accurate, there is no express or implied guarantee. Please bring to our attention any corrections that are required.

Chapter 9

Employment Practices, Workers Rights

Resources in this chapter are an aid to draft a handbook or personnel manual. A carefully crafted handbook provides an opportunity to communicate to an employee the philosophy of the library. When crafting a handbook check with your library lawyer to make sure it does not imply a contract and jeopardize Indiana's employment at will doctrine.

For specific guidance in drafting a policy handbook or personnel manual consult *Model Employee Policies for Indiana Employers with Legal Commentary* 4th edition published by Indiana Chamber, 2003 available for loan from Indiana State Library. To purchase 5th edition go to www.indianachamber.com/index.php/hr-employment-law-compliance/model-employee-policies-fifth-edition-with-cd-rom.

Contact the Indiana State Library if you want samples of other library's personnel manuals.

A. Addresses for Employment Practices, Workers Rights, Etc.

Indiana

Indiana Department of Labor
402 West Washington Street, W-195
Indianapolis, IN 46204
(317) 232-2655
www.IN.gov/dol/2368.htm

Department of Workforce Development
For Employer Handbook of Unemployment Insurance go to
www.in.gov/dwd/files/Employer_Handbook.pdf

Unemployment Insurance Taxes
General tax questions and employer assistance (800) 891- 6499
8:00 to 5:00 Monday-Tuesday
8:00 to 4:30 Wednesday-Friday
Hours Effective March 10, 2008
To find WorkOne Center closest to your location visit online map at
www.in.gov/dwd/WorkOne/locations.html
Employer Tax Hotline is 1-800-437-9136

Worker's Compensation Board of Indiana
402 West Washington Street, W-196
Indianapolis, IN 46204
(800) 824-COMP
www.in.gov/wcb/

National

U.S. Department of Labor - Main Office
Frances Perkins Building
200 Constitution Ave., NW
Room S-1032
Washington, DC 20210
(866) 4-USA-DOL
www.dol.gov

DOL Topics and Agency Offices: On the www.dol.gov/ web page, click on *topics* (wages, health plans, and unemployment insurance. For a listing of offices, click on *DOL Agencies*. This includes:

1. **Bureau of Labor Statistics** (BLS)
2. **Employment Standards Administration** (ESA) Includes **Wage and Hour Division**
3. **Employment and Training Administration** (ETA)
4. **Occupational Safety and Health Administration** (OSHA)
5. **Veterans' Employment and Training Service** (VETS)
6. **Women's Bureau** (WB)

B. Federal Laws Requiring Posting

Included here are Federal laws required to be posted in the library - Department of Labor - www.dol.gov.

You can request free posters for each of these. There are companies who will send you an order blank to order their version of the free posters. These posters are in color and all mandatory laws are shown on one poster. The free posters are individual posters that have to be posted independently. It's your choice whether you get the free ones or pay to have a colorful poster with all the laws in one place.

Posters can be downloaded and printed free of charge directly from this eLaws Poster Advisor at www.dol.gov/elaws/posters.htm.

C. Wage and Hour Division (WHD)

Wage and Hour Division, part of the Department of Labor, webpage at www.dol.gov/whd/ contains links to minimum wage information, overtime pay, recordkeeping, youth employment and special employment, family and medical leave, migrant workers, lie detector tests, worker protections in certain temporary worker programs, and the prevailing wages for government service and construction contracts.

Federal Minimum Wage Notice - **(29 USC 206)**
www.dol.gov/dol/topic/wages/minimumwage.htm

Employers subject to the Fair Labor Standards Act must post a notice regarding the federal minimum wage in "conspicuous places in every establishment" where the affected employers can readily observe it on their way to or from work (29 CFR 516.4). Failure to post the required notice is a federal crime.

Minimum Wage and Overtime Pay

"The Fair Labor Standards Act (FLSA) establishes standards for minimum wages, overtime pay, recordkeeping, and child labor. These standards affect more than 100 million workers, both full-time and part-time, in the private and public sectors.

The Act applies to enterprises with employees who engage in interstate commerce, produce goods for interstate commerce, or handle, sell, or work on goods or materials that have been moved in or produced for interstate commerce. For most firms, a test of not less than $500,000 in annual dollar volume of business applies (i.e., the Act does not cover enterprises with less than this amount of business).

However, the Act does cover the following regardless of their dollar volume of business: hospitals; institutions primarily engaged in the care of the sick, aged, mentally ill, or disabled who reside on the premises; schools for children who are mentally, or physically disabled or gifted; preschools, elementary, and secondary schools and institutions of higher education; and federal, state, and local government agencies."

For further information consult www.dol.gov/compliance/guide/minwage.htm.

Employee Polygraph Protection Notice - (29 USC 2001)
www.dol.gov/elaws/firststep/poster_direct.htm?p_eppa=1

Each employer shall post and maintain such notice in conspicuous places on its premises where notices to employees are customarily posted" (29 USC S 2003). Any employer who violates Polygraph Protection Act may be assessed a civil penalty of up to $10,000 (29 USC 2005).

Equal Employment Opportunity Commission/Age Discrimination (29 CFR 1601.30)
www.eeoc.gov/

"Every employer has an obligation to keep posted in conspicuous places upon its premises notices describing the applicable provisions of Title VII and I. The ADA.Section 711(b) of Title VII makes failure to comply with this section punishable by fine…" for each violation (29 CFR 1601.30).

Family and Medical Leave Act of 1993 - (U.S. Dept of Labor, Employment Standards Division)
www.dol.gov/whd/fmla/index.htmThis Act pertains to employers having at least 50 employees within 75 miles. "FMLA requires covered employers to provide up to 12 weeks of unpaid, job-protected leave to 'eligible' employees for certain family and medical reasons." Please consult the Fact Sheet #28: The Family and Medical Leave Act of 1993 at www.dol.gov/whd/regs/compliance/whdfs28.htm.

State Laws Requiring Posting

State laws required to be posted in the library – Indiana Department of Labor – You can request free posters for each of these. There are companies who will send you an order blank to order their version of the free posters. These posters are in color and all mandatory laws are shown on one poster. The free posters are individual posters that have to be posted independently. It's your choice whether you get the free ones or pay to have a

colorful poster with all the laws in one place. A number of posters have links on this page www.in.gov/dol/2366.htm to PDF versions

Smoking Ban New Legislation HEA 1149 (Effective July 1, 2012)

Post sign that reads "Smoking is Prohibited by State Law." Legislation provides that smoking is prohibited within eight feet of a public entrance to a public place or place of employment. This new law does not prohibit local authorities from enacting more restrictive smoking ordinances and this new law does not supersede an existing more restrictive local smoking ordinance.

Minimum Wage Law - (Ind. Code Ann. 22-2-2-8)
www.in.gov/legislative/ic/code/title22/ar2/ch2.html
"Every employer subject to the provisions of this chapter…shall keep a copy of them posted in a conspicuous place in the area where employees are employed." Violators of this statute may be guilty of an infraction.

Worker's Compensation Notice - (Ind. Code Ann. 22-3-2-2)
www.in.gov/wcb/2371.htm
"Each employer subject to this code shall post a notice in the employer's place of business to inform the employees that their employment is covered by worker's compensation." "(c) An employer who fails to comply with this section is subject to a penalty…" (22-3-2-22).

Equal Opportunity is the Law - (Ind. Code Ann. 22-9-5-25)
www.in.gov/legislative/ic/code/title22/ar9/ch5.html
Employers covered under this chapter "shall post notices in a format accessible to applicants, employees, and members describing the applicable provisions of this chapter…"Violators of this requirement may be subject to penalties under Section 711 of the Civil Rights Act of 1964. (42 U.S.C. 2000e-10).

Indiana Civil Rights Commission
Office: (317) 232-2600
Toll Free: (800) 628-2909
Hearing Impaired: (800) 743-3333
Fax: (317) 232-6580
E-mail: icrc@crc.in.gov
Website: www.in.gov/icrc
It is unlawful to discriminate against any person with regard to recruitment, hiring or firing, promotion, transfers, job training, wages or salaries, or any other term, condition, or benefit of employment. An employer must also accommodate employees with disabilities and those who have "sincerely held religious beliefs."

Workforce Development Act – (Ind. Code Ann. 22-4-17-1)
www.in.gov/legislative/ic/code/title22/ar4/ch17.html
"(e) Each employer shall display and maintain in places readily accessible to all employees posters concerning its regulations…"

Indiana Occupational Safety and Health Act of 1974
www.in.gov/dol/2391.htm
This poster must be displayed prominently in the workplace.

www.dol.gov/compliance/topics/posters.htm#applicable_laws

D. Important Employment Laws

1. **Minimum Wage** -- **federal and state** All library workers employed by the library, except for professional services, will fall under the federal minimum wage laws. Make sure that you are paying them at minimum wage or more. A computer professional who is paid an amount that is at least as high as the separate minimum wage for computer professionals is exempt from the overtime provisions of FLSA (see below).
2. **Fair Labor Standards Act (FLSA)** -- **federal** This includes the federal minimum wage, and it also lists requirements for overtime pay and compensatory (comp) time. It also prohibits covered employees from contributing volunteer hours to their place of employment. The Fair Labor Standards Act also includes child labor provisions, which set certain limitations on the use of juveniles as employees. If you use students under 18 years of age as pages, you should be aware of these restrictions.
3. **State and Federal Civil Rights Laws** These laws prohibit employers from discriminating on the basis of race, color, religion, sex, or national origin in hiring, promotion, and other employment policies. The federal Title VII is one of the main civil rights laws.
4. **Age Discrimination Employment Act (ADEA)** -- **federal** ADEA prohibits employers from discriminating on account of age. The protected age group is 40 years old and older.
5. **American with Disabilities Act (ADA)** -- **federal** ADA strengthens prohibitions on discrimination against the disabled and requires employers to make their facilities accessible to the disabled and to make reasonable changes in their accommodations for the employment of disabled people.
6. **The Immigration Reform and Control Act** -- **federal** This law requires that employees complete an I-9 form within three days of starting work, verifying their identity and authorization to work. Employers may condition an offer of employment on the successful applicant's completing the form, but may not specify what documents must be used to complete the form.
7. **The Family and Medical Leave Act (FMLA)** -- **federal** FMLA allows employees to take up to 12 work weeks of paid or unpaid leave for certain medical and family reasons. It requires that employees taking such leave be allowed to return to their original job or an equivalent job with equivalent pay, benefits, and other employment terms and conditions.
8. **Health Insurance Portability and Accountability Act (HIPAA)** -- **federal** HIPAA provides rights and protections for participants and beneficiaries in group health plans. HIPAA includes protections for coverage under group health plans that limit exclusions for preexisting conditions; prohibits discrimination against employees and dependents based on their health status; and allows a special opportunity to enroll in a new plan to individuals in certain circumstances. HIPAA may also give you a right to purchase individual coverage if you have no group health plan coverage available, and have exhausted COBRA or other continuation coverage.

E. Indiana's Employment At-Will

Indiana is an at-will employment state. The general rule, which has been a longstanding principle of employment in America, is that an employment relationship for no specific duration (no contract has been signed for a set period of time) may be terminated at any time at the will of either the employer or the employee for any reason or for no reason at all. Under this rule, the reason for terminating an at-will employment relationship does not matter. Whether the reason was unfair, immoral or just plain unfair is of no consequence.

Employment-related litigation stemming from employee discharges is an ever- increasing phenomenon in American business. To avoid the threat and liabilities associated with wrongful discharge, employers must review all their policies and procedures, as well as employee handbooks and other written personnel documents, to determine that no promises or statements are being made that could be construed as a binding employment contract. It is strongly recommended that all employers have written disclaimers that preserve the employment-at-will-relationships.

Finally, when terminating employees, an employer should always make sure that its action is uniform, consistent and fair and that whenever possible the employee has been given advance warning that particular behavior or conduct could result in termination.

F. Overtime Pay

Overtime pay and exemptions are covered by the Fair Labor Standards Act (FLSA). The State of Indiana refers to this act for matters of overtime.

U.S. Department of Labor
Employment Standards Administration
Wage and Hour Division

Fact Sheet #17A: Exemption for Executive, Administrative, Professional, Computer & Outside Sales Employees Under the Fair Labor Standards Act (FLSA)

This fact sheet provides general information on the exemption from minimum wage and overtime pay provided by Section 13(a)(1) of the Fair Labor Standards Act as defined by Regulations, 29 CFR Part 541.

The FLSA requires that most employees in the United States be paid at least the federal minimum wage for all hours worked and overtime pay at time and one-half the regular rate of pay for all hours worked over 40 hours in a workweek.

However, Section 13(a)(1) of the FLSA provides an exemption from both minimum wage and overtime pay for employees employed as bona fide executive, administrative, professional and outside sales employees. Section 13(a)(1) and Section 13(a)(17) also exempt certain computer employees. To qualify for exemption, employees generally must meet certain tests regarding their job duties and be paid on a salary basis at not less than $455 per week. Job titles do not determine exempt status. In order for an exemption to apply, an employee's specific job duties and salary must meet all the requirements of the Department's regulations.

See other fact sheets in this series for more information on the exemptions for executive, administrative, professional, computer and outside sales employees, and for more information on the salary basis requirement.

Executive Exemption

To qualify for the executive employee exemption, all of the following tests must be met:

- The employee must be compensated on a salary basis (as defined in the regulations) at a rate not less than $455 per week;
- The employee's primary duty must be managing the enterprise, or managing a customarily recognized department or subdivision of the enterprise;
- The employee must customarily and regularly direct the work of at least two or more other full-time employees or their equivalent; and
- The employee must have the authority to hire or fire other employees, or the employee's suggestions and recommendations as to the hiring, firing, advancement, promotion or any other change of status of other employees must be given particular weight.

Administrative Exemptions

To qualify for the administrative employee exemption, all of the following tests must be met:

- The employee must be compensated on a salary or fee basis (as defined in the regulations) at a rate not less than $455 per week;
- The employee's primary duty must be the performance of office or non-manual work directly related to the management or general business operations of the employer or the employer's customers; and
- The employee's primary duty includes the exercise of discretion and independent judgment with respect to matters of significance.

Professional Exemption

To qualify for the **learned professional** employee exemption, all of the following tests must be met:

- The employee must be compensated on a salary or fee basis (as defined in the regulations) at a rate not less than $455 per week;
- The employee's primary duty must be the performance of work requiring advanced knowledge, defined as work which is predominantly intellectual in character and which includes work requiring the consistent exercise of discretion and judgment;
- The advanced knowledge must be in a field of science or learning; and
- The advanced knowledge must be customarily acquired by a prolonged course of specialized intellectual instruction.

To qualify for the **creative professional** employee exemption, all of the following tests must be met:

- The employee must be compensated on a salary or fee basis (as defined in the regulations) at a rate not less than $455 per week;
- The employee's primary duty must be the performance of work requiring invention, imagination, originality or talent in a recognized field of artistic or creative endeavor.

Computer Employee Exemption

To qualify for the computer employee exemption, the following tests must be met:

- The employee must be compensated **either** on a salary or fee basis (as defined in the regulations) at a rate not less than $455 per week **or**, if compensated on an hourly basis, at a rate not less than $27.63 an hour;
- The employee must be employed as a computer systems analyst, computer programmer, software engineer or other similarly skilled worker in the computer field performing the duties described below;
- The employee's primary duty must consist of:

1) The application of systems analysis techniques and procedures, including consulting with users, to determine hardware, software or system functional specifications;

2) The design, development, documentation, analysis, creation, testing or modification of computer systems or programs, including prototypes, based on and related to user or system design specifications;

3) The design, documentation, testing, creation or modification of computer programs related to machine operating systems; or

4) A combination of the aforementioned duties, the performance of which requires the same level of skills.

Outside Sales Exemption

To qualify for the outside sales employee exemption, all of the following tests must be met:

- The employee's primary duty must be making sales (as defined in the FLSA), or obtaining orders or contracts for services or for the use of facilities for which a consideration will be paid by the client or customer; and
- The employee must be customarily and regularly engaged away from the employer's place or places of business.

Highly Compensated Employees

Highly compensated employees performing office or non-manual work and paid total annual compensation of $100,000 or more (which must include at least $455 per week paid on a salary or fee basis) are exempt from the FLSA if they customarily and regularly perform at least one of the duties of an exempt executive, administrative or professional employee identified in the standard tests for exemption.

Blue Collar Workers

The exemptions provided by FLSA Section 13(a)(1) apply only to "white collar" employees who meet the salary and duties tests set forth in the Part 541 regulations. The exemptions

do not apply to manual laborers or other "blue collar" workers who perform work involving repetitive operations with their hands, physical skill and energy. FLSA-covered, non-management employees in production, maintenance, construction and similar occupations such as carpenters, electricians, mechanics, plumbers, iron workers, craftsmen, operating engineers, longshoremen, construction workers and laborers are entitled to minimum wage and overtime premium pay under the FLSA, and are not exempt under the Part 541 regulations no matter how highly paid they might be.

Police, Fire Fighters, Paramedics & Other First Responders

The exemptions also do not apply to police officers, detectives, deputy sheriffs, state troopers, highway patrol officers, investigators, inspectors, correctional officers, parole or probation officers, park rangers, fire fighters, paramedics, emergency medical technicians, ambulance personnel, rescue workers, hazardous materials workers and similar employees, regardless of rank or pay level, who perform work such as preventing, controlling or extinguishing fires of any type; rescuing fire, crime or accident victims; preventing or detecting crimes; conducting investigations or inspections for violations of law; performing surveillance; pursuing, restraining and apprehending suspects; detaining or supervising suspected and convicted criminals, including those on probation or parole; interviewing witnesses; interrogating and fingerprinting suspects; preparing investigative reports; or other similar work.

Other Laws & Collective Bargaining Agreements

The FLSA provides minimum standards that may be exceeded, but cannot be waived or reduced. Employers must comply, for example, with any Federal, State or municipal laws, regulations or ordinances establishing a higher minimum wage or lower maximum workweek than those established under the FLSA. Similarly, employers may, on their own initiative or under a collective bargaining agreement, provide a higher wage, shorter workweek, or higher overtime premium than provided under the FLSA. While collective bargaining agreements cannot waive or reduce FLSA protections, nothing in the FLSA or the Part 541 regulation relieves employers from their contractual obligations under such bargaining agreements.

Where to Obtain Additional Information

For additional information, visit our Wage and Hour Division Website: www.dol.gov/whd/ and/or call our toll-free information and helpline, available 8 a.m. to 8 p.m. Eastern Time, 1-866-4USWAGE (1-866-487-9243).

When the state laws differ from the federal FLSA, an employer must comply with the standard most protective to employees. Links to your state labor department can be found at www.dol.gov/dol/location.htm.

Personnel Policies Checklist

(Possible topics to cover)

For examples of policies and procedures see the Indiana State Personnel Department webpage www.in.gov/spd/2393.htm.

36. **Employment-At-Will Disclaimer**
37. **Job Classifications**; full-time and part-time status
38. **Orientation/trial Period**
39. **Equal Employment Opportunity Statement**
40. **Sexual Harassment Policies**
41. **Work Rules and Disciplinary Policy and Procedures** — common items included may be:
    - excessive absences, tardiness, or early leaves
    - use, possession, actual or intended distribution or being under the influence of drugs, controlled substances, or alcohol
    - insubordination
    - refusal to cooperate with investigation
    - falsification of library records, including the employment application
    - negligent or unauthorized use of library equipment
    - harassment, physical abuse or verbal abuse of employees, patrons, or visitors
    - gambling during working hours
    - theft or unauthorized use or possession of library property or another person's property
    - soliciting or seeking support or contributions during working time for any cause or organization without management approval
    - violation of safety rules or common safety practices
    - failure to make a prompt report of any accident on library property
    - inattention to the job, or poor job performance
    - failure to observe library working hours and schedules, including scheduled overtime
    - disclosure of confidential information to unauthorized persons
    - possession of weapons on library property
42. **Hours of Work**, **Layoff/Recall**
43. **Military Leave**
44. **Jury Service**
45. **Bereavement Leave**
46. **Attendance Policy**
47. **Vacation**
48. **Holidays**
49. **Personal Days**
50. **Sick Days**

51. **Union-Free Workplace Statement**
52. **Open Door Statement** (do not restrict employees from communicating with members of management other than their immediate supervisors)
53. **Bulletin Boards** — fosters communication between employees
54. **Substance Abuse Policy**
55. **Family and Medical Leave Act Policies**
56. **Smoking** – can prohibit in facility
57. **Dress Code**
58. **References** — prevents employer from releasing references that will cause it to be held liable for defamation
59. **Promotion/Transfer/Job Openings**
60. **Timekeeping Requirements**
61. **Health Insurance, Health Savings Accounts**, **Disability Benefits Programs, Deferred Compensation, and PERF**
62. **Confidential Information**
63. **Personal Belongings**
64. **Employment of Relatives**
65. **Safety and Health**
66. **Inclement Weather/Emergencies**
67. **Telephone** (for customer satisfaction and for employee's personal calls)
68. **Internet/E-mail**
69. **Termination of Employment**

Receipt/Acknowledgement – helps to ensure that the employee has read the handbook. **Employee Examination of Personnel Files** — employer may decide whether employees may review their files or not; documents should not be removed.

Adapted from a Barnes & Thornburg handout, 1998.

Taxable Fringe Benefits

A good resource for taxable fringe benefits is the **Taxable Fringe Benefit Guide** at www.irs.gov/pub/irs-tege/fringe_benefit_fslg.pdf.This resource answers many of the questions library directors and staff ask.

Some cases require more research such as the following question.

For example, how is the purchase of staff polo shirts handled when the library board requires polo shirt to be worn during work hours? The work shirt is a taxable benefit because it can be worn for general use. The library allocates an employee clothing allowance in their payroll check.

In 2010 the Library Development Office included in the Annual Library Bookkeeping Workshop a presentation by on the topic of benefits and sales in libraries. Please visit the LDO workshop webpage at www.in.gov/library/ldoworkshops.htm. Click on the link for **Video Recording** "Afternoon Session (Part 2); Indiana State Library and Indiana Department of Revenue" found under the heading **Library Bookkeeping and Annual Report Workshop November 10 & 18, 201**

Chapter 10

eRate Services at Indiana State Library, the Public Library Internet Consortium and Technology Plans

Federal and state funding for Internet services is available to public libraries and schools in Indiana. The federal funding is from the FCC eRate program and state funding is from the Build Indiana Fund allocated during the biennial budget session of the state legislature. The public library consultant supports the statewide service associated with the Public Library Consortium for Internet Connectivity.

To provide eRate services, a federal program, the ISL hires a broadband vendor/consultant and an eRate application consultant. The broadband vendor/consultant and eRate application consultant are selected through state procurement process. The ISL works with the procurement personnel at the Indiana Department of Administration (www.in.gov/idoa/2342.htm). The public library consultant is part of the team that reviews proposals. In addition, the broadband vendor is also selected with the FCC eRate requirement to post the 470 form. The contracts are for 3 years, and the procurement is every three years. Copies of the contracts are filed in the Administrative Office.

There are three types of technology services eligible for eRate funding: telecommunications, Internet, and internal connections. The ISL Consortium supports only internet connectivity and not filing for the two other services. Internet connectivity is known as Priority 1 service. Priority 1 service no longer requires a technology plan, though the ISL requires a 3 year technology plan according to 590 Indiana Administrative Code Rule 6.

Each library in the consortium has a Billed Entity Number (BEN). For new members, AdTec will obtain a BEN number. AdTec may need the public library consultant to provide the FSCS number for the Indiana library found on IMLS website at https://harvester.census.gov/imls/search/index.asp

Timeline for the support services

FCC program defines the eRate year as beginning July 1 and ending on June 30. The public library consultant handles three years of the program at any given time: the year ending, the current year, and planning for the next year. Most consultant duties are associated with the planning that begins in June and ends in late February with the application for funding for eRate services.

I. Planning for the Next Year Begins in Late July

ERate packets are prepared for all public libraries in Indiana in July. There are two versions of the packet: 1) CIPA compliant libraries that filter; 2) CIPA non-compliant libraries who do not filter. A packet is sent to all libraries, members and non-members alike, to notify all public libraries about the opportunity to continue or join Consortium with the notification of forms and timeline for application.

Packet

The annual packet sent in July includes a formal letter from the Library Development Office Supervisor at the Indiana State Library. The letter declares the end of past eRate year, start of current eRate year, and the planning for the next year. Also included with the letter are the new forms for planning year in order for public libraries to file for eRate; the forms allow the eRate consultant to file for consortium members with reference to the State Master Contract 470. Included in the packet are the following new forms:

- **Form 479** to certify that you are in compliance with the Children's Internet Protection Act (CIPA)
- **Letter of Agency** to give authority to AdTec to file E-rate forms on behalf of your library for the upcoming year
- **Board Resolution** to continue in the consortium
- Letter and data sheet from AdTec
- Sample of Request for Services Form
- Tentative timeline for your E-Rate Year 2012-2013.

Forms and information may also be found on the E-Rate page of the Indiana State Library's website www.in.gov/library/erate.htm

Please consider needs as outlined in the library's Technology Plan and select service requirements on Request for Services Form. Service requirements may be affected by proposed new Public Library Standards. Please consider the need for additional broadband capacity whether that entails additional T1 lines or a switch to fiber. The ENA price list can be viewed on the LDO website at www.in.gov/library/files/contact2.pdf. Note: fiber pricing is not on the price list and is quoted for each particular site.

Each year a representative from the State Library will attend the State Budget Committee meeting, usually in August. Data on funding the State Technology Grant is released at that time. Public Libraries are required to budget the full non-eRate portion of Internet and Internet related services.

Completion of Forms

Consortium libraries have from July until October to meet with their library board and complete the first four documents. Even if library completed forms the year before, new ones are completed and copies filed with Indiana State Library for the new eRate year.

1. new **Form 479** to certify that library is in compliance with the Children's Internet Protection Act (CIPA)
2. new **Letter of Agency** to give authority to AdTec to file E-rate forms on behalf of your library for the upcoming year
3. new **Board Resolution** to continue in the consortium

Copies of documents one through three are returned to eRate consultant in the Library Development Office in mid-September. The libraries retain their originals for audit purposes.

The AdTec data sheet is completed and faxed in mid-September to AdTec in Centerville, IN.

4. Letter and data sheet from AdTec

In late November, the library assesses broadband capacity for current year and determines if additional service capacity needs to be ordered.

5. Request for Services Form

Document five is completed after meeting with broadband consultant, ENA, who helps library fill in the data.

6. Tentative timeline for your E-Rate Year 2012-2013.

Document six is informational with deadlines for submitting the documents. The deadlines for eRate documents are also on the LDO Calendar
evanced.info/indiana/evanced/eventcalendar.asp?ln=2

The tentative dates for planning year 2013-2014 are:

Timeline for Your E-Rate Year 15

(July 1, 2012-June 30, 2013)

9/17/12	Though Technology Plan no longer required for Priority 1 services, Internet connectivity, the Indiana State Library requires a 3 year technology plan in accordance with Indiana Administrative Code 590 Article 6 www.in.gov/legislative/iac/T05900/A00060.PDF?
9/28/2012	Deadline for the AdTec Data Sheet (including budget pages)
	Board Resolution to Join the Consortium—Date must be received in ISL
	Form 479 (CIPA compliance)—Date must be received in ISL
	Letter of Agency—Date must be received in ISL
11/30/2012	Service Level Checklist Form – Document is handled on or before this date by your ENA Account Service Manager (ASM)
12/2012-2/2013	Approximate window for Form 471 (Description of Services Ordered and Certification Form)—
7/01/2013	Service year begins
7/2013-10/2013	Approximate window for Form 486 (Receipt of Services Confirmation
6/30/2014	Service Year ends

II. Current eRate Year

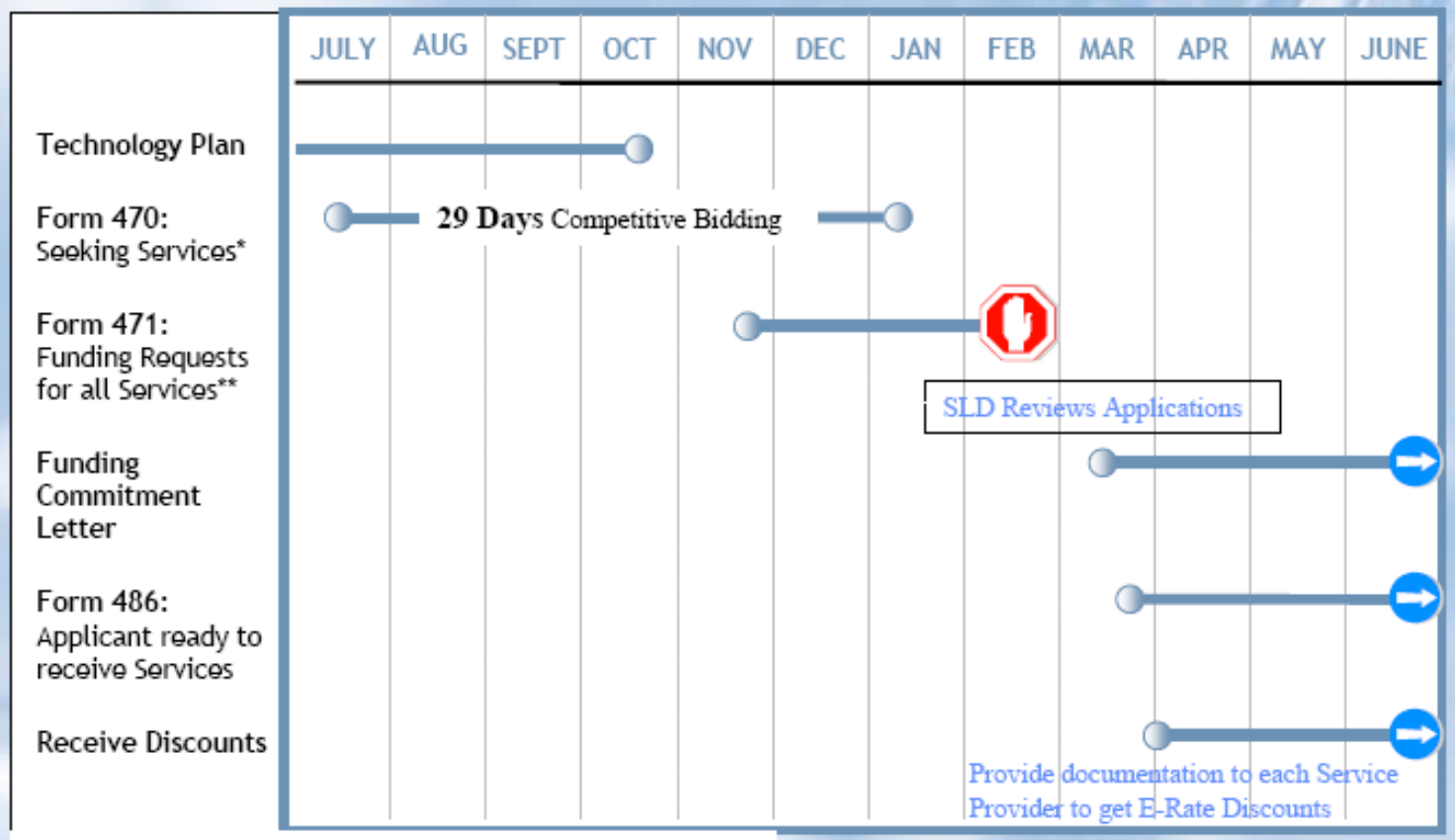
Concurrent with the receipt of completed documents for planning year, the Public Library Consultant calculates the reimbursement from State Technology Grant Fund to be deposited (EFT) into Consortium libraries accounts by end of calendar year. Reimbursement is for the full eRate year of non-eRate portion paid out of pocket by Consortium member(s). The reimbursement is based on a school lunch discount in library district and the balance of money in the State Technology Grant Fund for distribution. The distribution also pays the Adtec eRate consultant fee.

III. Closing Out the Previous Year

Retention Schedule for eRate Documents

Schools and libraries shall retain all documents related to the application for, receipt, and delivery of discounted telecommunications and other supported services for at least 5 years after the last day of service delivered in a particular Funding Year. Any other document that demonstrates compliance with the statutory or regulatory requirements for the schools and libraries mechanism shall be retained as well. Schools and libraries shall maintain assets and inventory records of equipment purchased as components of supported internal connections services sufficient to verify the actual location of such equipment for a period of five years after purchase.

E-RATE Timeline: July 1 - June 30



*These dates are estimates. In order to derive the Form 470 deadline, applicants must count backwards from the Form 471 deadline.

**FCC announces Form 471 filing deadlines each Fall.

Start Over!

Source: J. Siminitus 7/2007

Technology Plan

As September 28, 2010 the FCC announced changes in the eRate program. A technology plan is no longer required for Priority 1 Internet Access services. A 3-year Technology Plan is a state requirement as defined in the Indiana Administrative Code Title 590 Article 6. Furthermore, Priority 2 services in the eRate program require an approved technology plan. Definition of eligible services for eRate, including the definition of priority 2 services, can be found on the USAC site for USAC Eligible Services List

Technology Plan Requirements from IAC 590 6-1-4

A technology plan of service for three (3) years. The plan, updates, and revisions must be filed with the Indiana State Library. At a minimum, the plan shall include the following:

(A) Goals and realistic strategy for using telecommunications and information technology.

(B) A professional development strategy.

(C) An assessment of telecommunication services, hardware, software, and other services needed.

(D) An equipment replacement schedule.

(E) Financial resources and sustainability.

(F) An ongoing annual evaluation process.

(G) An automation plan that conforms to national cataloging standards.

TechAtlas is not required for completion of technology plan. Please contact public library consultant at Indiana State Library if you require assistance in drafting a technology plan.

In order to be in compliance with Indiana Public Library standards (590 IAC 6-1-4(g)), use the checklist on the following page to ensure the following elements are included in your submission to the Indiana State Library.

Does the technology plan . . .	Yes
Cover, at most, three years?	☐
List the library goals and realistic strategies for using telecommunications and information technology to respond to needs of the community?	☐
Provide a professional devel0pment strategy to ensure that staff has the skills and training necessary to meet the library's technology goals?	☐
Assess the library's current telecommunication services, hardware, software, and other services that comply with basic standards for the population served by the library?	☐
Indicate a replacement schedule for telecommunication services, hardware, software, and other services to meet continuing needs of the community?	☐
Include a budget for the costs of telecommunication services, hardware, software and other services required during the years covered by the plan?	☐
Describe the ongoing annual evaluation of the plan's goals and strategies that includes revision and modifications filed with the Indiana State Library?	☐
Outline the library's automation plan that indicates the library's collections are managed through the use of an integrated library system (ILS)?	☐

Please contact Karen Ainslie (317) 232-1938 or (800) 451-6028 [In State only], or kainslie@library.IN.gov with any questions you may have.

Children's Internet Protection Act

As of July 1, 2004, public libraries must comply with the Children's Internet Protection Act, or CIPA, to be eligible for the Internet access discount. This is done by filing an annual form 479 with the State Library. CIPA has three requirements:

1. The library must have an Internet safety policy adopted by the board. It must address the following issues:
    a. Access by minors to inappropriate matter on the Internet and World Wide Web;
    b. The safety and security of minors when using electronic mail, chat rooms, and other forms of direct electronic communications;
    c. Unauthorized access, including so-called "hacking," and other unlawful activities by minors online;
    d. Unauthorized disclosure, use, and dissemination of personal information regarding minors; and
    e. Measures designed to restrict minors' access to materials harmful to minors.
2. The policy must include a technology protection measure (filter) that protects against Internet access by both adults and minors to visual depictions that are obscene, child pornography, or, with respect to use of the computers by minors, harmful to minors. The filter must be present on ALL library computers, including staff computers, connected to the Internet, but must be disabled on request for adults engaged in bona fide research or for other lawful purposes. This includes staff computers.
3. The library shall hold at least one (1) public hearing or meeting and provide reasonable public notice for that hearing.

Please contact Karen Ainslie at the Library Development Office at 1-800-451-6028 for assistance

Resources

Bandwidth utilization reports for each Indiana State Library consortium members are available from ENA site at inpublibraries.ena.com/ Call customer support to obtain username and password.

Universal Service Administrative Corporation www.usac.org/sl/

- To receive notice of weekly funding commitments from eRate subscribe to USAC listserv for wave notifications
- Training in the fall and spring, conference is gratis but you have to pay travel/lodging
- Reference Area
- Data Retrieval Tool

American Library Association State www.ala.org/offices/oitp

Children's Internet Protection Act (CIPA)

State of Wisconsin Department of Education webpage at dpi.state.wi.us/pld/cipafaq.html

Chapter 11

Department of Local Government and Finance (DLGF) and the Budgeting Process

Department of Local Government Finance

Dan Jones (assistant director – budget division, libraries)
djones@dlgf.IN.gov
100 N. Senate Ave.
N1058 Indiana Government Center North
Indianapolis, Indiana 46204
317-232-0651
www.in.gov/dlgf

The Role of the Department of Local Government Finance

- Certifies budgets, tax rates and levies;
- Administers property tax laws; and
- Ensures property assessments are made in a manner provided by law

Budgeting Process

- Who is in charge of the establishing the budget?
  - Your library board is legally responsible for establishing the library's budget and for practicing good fiscal management. Often, however, much of this responsibility is delegated to the library director. As a new library director, one of your first jobs should be to find out how much you will be involved with the fiscal management of the library. Here are some questions that you should ask your library board:
- Who approves the budget?
  - The budget is always reviewed by county, or city/town council. If over the growth quotient it is a binding review. Budget may be adopted by County or City/Town council if library exceeds growth quotient. Fiscal body who adopts advertises adoption date.
- What is the library's budget for this year? Get a copy!
- Who receives the bills and verifies that the goods or services charged for have been received?
- Who assigns the bills to budget categories?
- Who prepares the monthly financial statement? If you are responsible for preparing the financial statement, what format should you use?
  - Are there computer programs/forms that are set up for this purpose?
- Who prepares and signs the check?
  - In Indiana the library director is not allowed to sign library checks
- If the fiscal management is handled by someone other than the staff, how is the staff kept informed of the library's financial status?

- Is there a limit set on the size of expenditures that can be made by the staff without board pre-approval?
    - This should be part of the public purchasing policy

You need to find out how the library board does its budget. Does the board ask you to present a draft budget, or does it have a budget committee of its own members? It is vitally important that you as the library director have input into the budget, as you know the day-to-day operation of the library better than any other person.

Once you know what the library board wants to do in the next year, you can begin to develop cost figures. You need to gather cost information from a variety of sources, such as the present year's expenditures, catalogs, information on utility rates and the cost of living rate that appears in newspapers and other sources, and information you gather from service vendors.

Remember that in budgeting you are making a series of educated guesses. The more information you have, the better your guesses are.

Budget Process

Beginning with the preparation of the 2012 budget the Department of Local Government Finance premiered the Gateway, online input of governmental units' budgets. The DLGF offers training on the system and the training calendar is at www.in.gov/dlgf/8944.htm. Also the DLGF has available on their website a Library Budget Manual at www.in.gov/dlgf/4843.htm updated in May 2010.

The Indiana State Library introduces the budgeting process with an Adobe Connect audio PowerPoint found at this link webinar.isl.in.gov/boardbudgetplan. The "Budget Workshop" is offered in June by the Indiana State Library with presentations from the Department of Local Government Finance, and State Board of Accounts. The State Board of Accounts updates libraries on any changes in recent legislative session that impacts the budget.

The Department of Local Government Finance also covers legislation as well as the Gateway budget forms. The budget process involves following a set timetable required by law. This year (2012) legislation simplified the deadlines for budget review and approval. The deadline to submit an approved budget remains November 1.

For up to date information, see 2012/2013 Budget Calendar of the Department of Local Government Finance website at www.in.gov/dlgf/files/120525_2012_-_2013_Budget_Calendar.pdf. All libraries are encouraged to attend the budget workshop, usually held in June. In past years the budget calendar followed the general timeframe that follows on the next page:

Overview	Online audio PowerPoint overview of library budget plan found at webinar.isl.in.gov/boardbudgetplan
June	Budget Workshops, usually held 2 times and broadcast to the video sites in Indiana. These workshops are presented by the State Board of Accounts, the Department of Local Government Finance, and the Indiana State Library. View the presentation on LDO workshop website: www.in.gov/library/ldoworkshops.htm. The Department of Local Government Finance offers a special workshop in each county for libraries. If a library is unable to attend the assigned workshop, a workshop in another county can be attended.
June - July	Preliminary work on the budget by board and librarian. Library is notified by the Department of Local Government Finance through the County Auditor of its maximum permissible levy. Often you do not have this information available and must estimate using previous year maximum permissible levy listed on the 1782 notice. Department of Local Government Finance Field Representative sets up an appointment to meet with each taxing unit in the county. After the meeting, library should have a completed Form 3, ready for advertisement.
September 1	Submission of Information to Fiscal Body. If the assessed valuation of a public library is entirely contained within a city or town or the assessed valuation of a public library is not entirely contained within a city or town but the public library was originally established by the city or town, the governing body must, before September 1, submit its proposed budget and property tax levy to the city or town fiscal body in the manner prescribed by the Department of Local Government Finance ("Department"). However, if more than 50% of the parcels of real property within the jurisdiction of the public library are located outside the city or town, the governing body must, before September 2 and in the manner prescribed by the Department, submit its proposed budget and property tax levy to the county fiscal body of the county where the public library has the most assessed valuation. (IC 6-1.1-17-3)
September 13	Deadline for first advertisement or publication of proposed 2013 tax levy, budget and notice to taxpayers of public hearing
September 20	Last date for second publication of proposed 2013 tax levy, budget and notice to taxpayers of public hearing (Form 3) (IC 6-1.1-17-3).
October 1	Last day for county fiscal body to complete review and issue non-binding recommendation to civil taxing units regarding civil taxing units' proposed 2013 tax rates, review, and budgets. IC 6.1-17-3.5

October 19	Last date for units to file excessive levy appeals for annexation/ consolidation/extension of services, three (3) year growth factor, emergence levy appeal and correction of error with DLGF. IC 6-1.1-18.5-12; IC 6-1.1-18.5-13(1), (3), (13); IC 6-1.1-18.5-14.
October 22	Last day for taxing units to hold a public hearing on the 2013 budget (except in Marion County and in second class cities) IC 6-1.1-17-5
October 28	Last possible day ten (10) or more taxpayers may object to a 2012 budget, tax rate, or tax levy of a political subdivision (must occur not more than seven (7) days after the hearing). IN OTHER WORDS THIS DEADLINE IS SUBJECT TO THE SCHEDULING OF THE ADOPTION HEARING, WHICH COULD BE HELD BEFORE NOVEMBER 1. IC 6-1.1-17-5(b)
November 1	Deadline for all taxing units to adopt 2013 budgets, rates, and levies IC 6-1.1-17-5(a).
	If a taxpayer objection petition is filed, the fiscal body of the political subdivision shall adopt with its 2013 budget a finding concerning the objections in the petition and any testimony presented at the adoption hearing. IC 6-1.1-17-5(c).
	In Marion County and second class cities, public hearing may be held anytime after introduction of 2012 budget. IC 6-1.1-17-5(a). Note that November 1 is the last date for adoption of the budget.
November 5	Last day for civil units to file adopted 2013 budgets with county auditor and County Tax Adjustment Board (TAB). Must not be later than two (2) days after budget adoption. IC 6-1.1-17-5.
February 15	The Department of Local Government Finance has until this date each year to certify the library's final appropriations (budget), tax rates and levies.
February 28	Deadline for each political subdivision to submit report to the DLGF of any outstanding bonds or leases (as of January 1). IC 5-1-18-9
March 1	Units file 2012 Annual Report with State Board of Accounts. In addition to being used for SBoA audit, this information is used by the DLGF to prepare an annual report on expenditure per capita of political subdivisions. IC 5-11-1-4; IC 6-1.1-33.5
	The Department will deny entirely a unit's budget and additional appropriations until the unit files an annual report.
	Deadline to establish new units in order to receive a property tax levy in 2014. IC 6-1.1-18.5-7

Things to Remember About Gateway

Input Budget

Prepare all the prescribed forms

Forms and screens will have formulas built in to perform math calculations

Prepare the budget advertisement

Budget Advertisement

An ad is by fund and includes: the budget, max levy, proposed levy, current levy, and amount of excess levy appeals.

An ad may include more funds than those reviewed by the DLGF.

Always include language that says taxpayers may object to budget or levies within seven days after the public hearing.

The goal is for units to have a copy of the ad at the end of budget workshop session at July or August meeting with DLGF representative.

Submit the adopted budget to the DLGF electronically

Make sure that all forms needing signatures have been signed at the appropriate time.

Make sure that you follow the proper number of days between each step.

If a petition is filed by taxpayers objecting to the budget, the library board **shall** adopt with its budget a finding concerning the objections in the petition and any testimony presented at the adoption hearing. All of this must be in writing.

Review Numbers in Published Budget by County

When the county auditor publishes the rates, you should compare the published rates with the amount you turned in to the auditor. If there is an error or if the County Board of Tax Adjustment has changed your rate, you only have 10 days to appeal. See levy appeal memo and forms at www.in.gov/dlgf/files/110715_-_Jones_Memo_-_2011_pay_2012_Excessive_Levy_Appeal_Memo.pdf. The library board must file the appeal petition with the Department of Local Government Finance, Indiana Government Center North, Rm. N1058,100 North Senate Avenue, Indianapolis, IN 46204.

Resources:

Definitions of Budget Classifications
www.in.gov/library/files/DEFINITIONS_OF_BUDGET_CLASSIFICATIONS.pdf
Budget Calendar www.in.gov/dlgf/files/120525_2012_-_2013_Budget_Calendar.pdf
Budget Preparation webinar.isl.in.gov/boardbudgetplan
Excessive Levy Appeals www.in.gov/dlgf/files/110715_-_Jones_Memo_-_2011_pay_2012_Excessive_Levy_Appeal_Memo.pdf
Publication of Budget Notice to Taxpayers and Public Notice Errors
(on last page) www.in.gov/library/files/workshoppub_not.pdf and
www.in.gov/library/files/workshopErrors.pdf
Operating Balance www.in.gov/library/files/workshopopbal.pdf
Financial Glossary of Terms to Know
www.in.gov/library/files/Financial_glossary_of_terms_to_know.pdf

This form is to be completed and submitted through the Indiana Gateway for Government Units at https://gateway.ifionline.org/login.aspx.

Prescribed by the Department of Local Government Finance
Approved by the State Board of Accounts

Budget Form No. 1 (Rev. 2011)

BUDGET ESTIMATE FOR

Selected Year: _____
Selected County: _____
Selected Unit: _____
Selected Fund: _____
Selected Department: _____

1. Personal Services

Salaries and Wages

Line Item Code	Description	Published Amount	Adopted Amount

Employee Benefits

Line Item Code	Description	Published Amount	Adopted Amount

Other Personal Services

Line Item Code	Description	Published Amount	Adopted Amount

Personal Services Totals		

2. Supplies

Office Supplies

Line Item Code	Description	Published Amount	Adopted Amount

Operating Supplies

Line Item Code	Description	Published Amount	Adopted Amount

This form is to be completed and submitted through the Indiana Gateway for Government Units at https://gateway.ifionline.org/login.aspx.

Prescribed by the Department of Local Government Finance
Approved by the State Board of Accounts

Budget Form No. 2 (Rev. 2011)

ESTIMATE OF MISCELLANEOUS REVENUES

Selected Year: _____
Selected County: _____
Selected Unit: _____
Selected Fund: _____

TAXES AND INTERGOVERNMENTAL REVENUE

Revenue Code	Description	July 1 to Dec 31, 20xx	Jan 1 to Dec 31, 20xx
Other Taxes Totals			

LICENSES AND PERMITS

Revenue Code	Description	July 1 to Dec 31, 20xx	Jan 1 to Dec 31, 20xx
Licenses and Permits Totals			

CHARGES FOR SERVICES

Revenue Code	Description	July 1 to Dec 31, 20xx	Jan 1 to Dec 31, 20xx
Charges for Services Totals			

FINES AND FORFEITURES

Revenue Code	Description	July 1 to Dec 31, 20xx	Jan 1 to Dec 31, 20xx
Fines and Forteitures Totals			

I hereby acknowledge that the submission of this document through the Gateway password and PIN system constitutes an "electronic signature" as defined in IC 5-24-2-2. This submission is intended to, and hereby does, constitute authentication and approval of the submitted document as required by the Indiana Code. I understand that this electronic signature takes the place of my handwritten signature and accomplishes the same purposes as would my handwritten signature in the same circumstance. I further acknowledge that this electronic signature has the same force and effect as my handwritten signature and can and will be used for all lawful purposes. I affirm that I have the real and apparent authority to electronically sign and submit this document on behalf of the unit.

This form is to be completed and submitted through the Indiana Gateway for Government Units at https://gateway.ifionline.org/login.aspx.

Prescribed by the Department of Local Government Finance
Approved by the State Board of Accounts

Budget Form No. 4b (Rev. 2011)

BUDGET ESTIMATE - FINANCIAL STATEMENT - PROPOSED TAX RATE

Selected Year: _____
Selected County: _____
Selected Unit: _____
Selected Fund: _____

	Net Assessed Value	

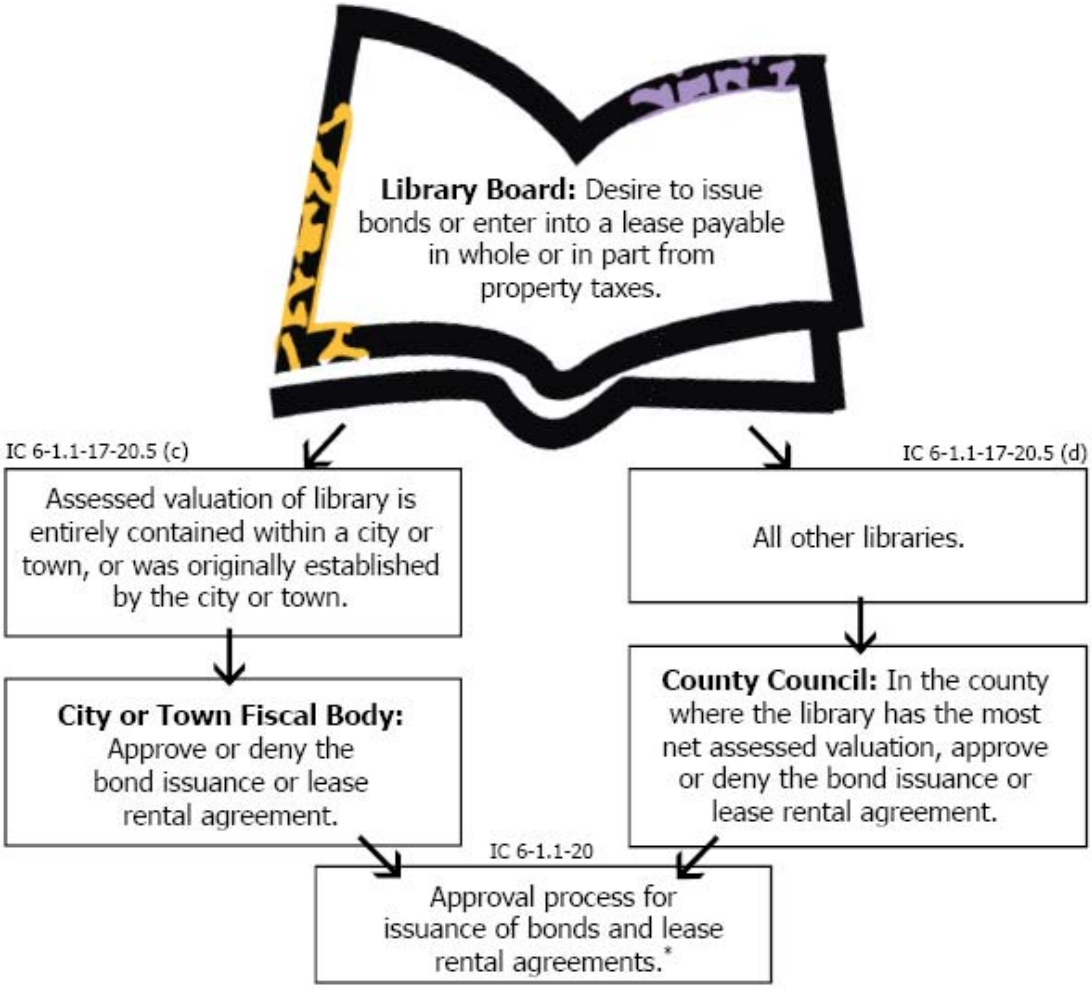
Funds Required For Expenses To December 31st Of Incoming Year	Published Amount	Adopted Amount
1. Total budget estimate for incoming year		
2. Necessary expenditures, July 1 to December 31 of present year, to be made from appropriations unexpended		
3. Additional appropriation necessary to be made July 1 to December 31 of present year		
4. Outstanding temporary loans: a). To be paid not included in lines 2 or 3		
b). Not repaid by December 31 of present year		
5. TOTAL FUNDS required (add lines 1,2,3,4a and 4b)		

Funds On Hand To Be Received From Sources Other Than Proposed Tax Levy	Published Amount	Adopted Amount
6. Actual cash balance, June 30 of present year (including cash investments)		
7. Taxes to be collected, present year (December settlement)		
8. Miscellaneous revenue to be received July 1 of present year to December 31 of incoming year (Schedule on File): a). Total Column A Budget Form 2		
b). Total Column B Budget Form 2		
9. TOTAL FUNDS (Add lines 6, 7, 8a and 8b)		
10. Net amount to be raised for expenses to December 31 of incoming year (deduct line 9 from 5)		

Proposed Tax Levy and Tax Rate	Published Amount	Adopted Amount
11. Operating balance (not in excess of expense January 1 to June 30, less miscellaneous revenue for same period)		
12. Amount to be raised by tax levy (add lines 10 and 11)		
13a. Property Tax Replacement Credit from Local Option Tax		
13b. Operating LOIT		
14. NET AMOUNT TO BE RAISED BY TAX LEVY (deduct line 13a and 13b from line 12)		
15. Levy Excess Fund applied to current budget		
16. Net amount to be raised		
17. Net Tax Rate on each one hundred dollars of taxable property		

Name:
Title:
PIN:
Date:

By submitting this form 4b, I confirm that this electronic submission contains the same budgets as the form 4b that was adopted by the adopting body in a resolution or ordinance. I hereby acknowledge that the submission of this document through the Gateway password and PIN system constitutes an "electronic signature" as defined in IC 5-24-2-2. This submission is intended to, and hereby does, constitute authentication and approval of the submitted document as required by the Indiana Code. I understand that this electronic signature takes the place of my handwritten signature and accomplishes the same purposes as would my handwritten signature in the same circumstance. I further acknowledge that this electronic signature has the same force and effect as my handwritten signature and can and will be used for all lawful purposes. I affirm that I have the real and apparent authority to electronically sign and submit this document on behalf of the unit.



*In accordance with IC 6-1.1-20-3.1, -3.2, the petition and remonstrance process applies to certain "controlled projects" below specific thresholds. In accordance with IC 6-1.1-20-3.5, -3.6, referendum procedures apply to certain "controlled projects" above specific thresholds. Under IC 6-1.1-20-7.5, notwithstanding any other provision, review by the Department of Local Government Finance (DLGF) and approval by the DLGF are not required before a political subdivision may issue or enter into bonds, a lease or any other obligations from ad valorem property taxes.

Debt Management

The debt management report can be submitted through the Gateway. Each debt that has an outstanding balance must be reported through Gateway no later than March 1. This serves as the annual debt report. The following are reported

- All bonds
- All loans except Tax Anticipation Warrants and other temporary loans
- Lease rentals that apply to real property and any equipment that is in a lease to own arrangement
- Do not report leases equipment such as copiers and vehicles

The Gateway Debt Management User Guide is found at
www.in.gov/dlgf/files/User_Guide_-_Gateway_Debt_Management.pdf

PUBLICATION OF BUDGET NOTICE TO TAXPAYERS

The library board is required by law pursuant to IC 6-1.1-17-3 to formulate the estimated budget and proposed tax rate using forms prescribed by the Department of Local Government Finance and approved by the State Board of Accounts. The library must give notice to taxpayers of the estimated budget, the estimated maximum permissible levy, the current and proposed tax levies of each fund; and the amounts of excess levy appeals to be requested. In the notice, the library board must state the time and place at which a public hearing will be held on these items. The notice must be published twice, according to the provisions given below, with the first publication to be made at least ten (10) days before the date fixed for the public hearing (IC 20-14-3-10 and IC 6-1.1-17-3).

Publication Requirements

Public notice of the estimated budget, rate and levy must be given as follows (IC 5-3-1-4),

a) By publication in two newspapers which are published in the library district; or
b) This subsection applies to notices published by county officers. If there is only one (1) newspaper published in the county, then publication in that newspaper alone is sufficient.
c) If no newspaper is published in the municipality or school corporation, then publication shall be made in a newspaper published in the county in which the municipality or school corporation is located and that circulates within the municipality or school corporation
d) This subsection applies to notices published by officers of political subdivisions not covered by subsection (a) or (b). If there is only one (1) newspaper published in the political subdivision, then the notice shall be published in that newspaper. If no newspaper is published in the political subdivision, then publication shall be made in a newspaper published in the county and that circulates within the political subdivision.
e) This subsection applies to a political subdivision, including a city, town, or school corporation. Notwithstanding any other law, if a library district has territory in more than one county, public notices that are required by law or ordered to be published must be given as follows:
    1) By publication in two (2) newspapers published within the boundaries of the political subdivision.
    2) If only one (1) newspaper is published within the boundaries of the political subdivision, by publication in that newspaper and in some other newspaper:
    (A) published in any county in which the political subdivision extends; and
    (B) that has a general circulation in the political subdivision.

3) If no newspaper is published within the boundaries of the political subdivision, by publication in two (2) newspapers that:
(A) are published in any counties into which the political subdivision extends; and
(B) have a general circulation in the political subdivision.
4) If only one (1) newspaper is published in any of the counties into which the political subdivision extends, by publication in that newspaper if it circulates within the political subdivision.

(f) A political subdivision may, in its discretion, publish public notices in a qualified publication or additional newspapers to provide supplementary notification to the public. The cost of publishing supplementary notification is a proper expenditure of the political subdivision

Definition of Newspaper

A newspaper is defined as follows:

1. Is a daily, weekly, semiweekly, or tri-weekly newspaper of general circulation;
2. Has been published for at least three (3) consecutive years in the same city or town;
3. Has been entered, authorized and accepted by the United States Postal Service for at least three (3) consecutive years as mail able matter of the periodicals class; and
4. Has at least fifty percent (50%) of all copies circulated paid for by subscribers or other purchasers at a rate that is not nominal. (IC 5-3-1-0.4)

Qualified Publications

A library district may in its discretion, publish public notices in a qualified publication to provide supplementary notification to the public. The cost of publishing supplementary notification is a proper expenditure of the library (IC 5-3-1-4). Qualified publications are specifically defined in IC 5-2-3-.07.

Posting notice on newspaper web site

IC 5-3-1-1.5

Requires a notice published in a newspaper to also be posted on the newspaper's Internet web site, if the newspaper maintains an Internet web site. A newspaper may not charge a fee for posting a notice on the newspaper's Internet web site under this section

PUBLIC NOTICE ERRORS

Error of Newspaper

If a notice of budget estimates for a library is published as required in IC 6-1.1-7-3, and the published notice contains an error due to the fault of a newspaper, the notice as presented for publication shall be considered valid. If the budget notice is not published for the first time at least ten days before the date fixed for the public hearing due to the fault of a newspaper, the notice shall be considered valid if it is published one time at least three days before the hearing. (IC 5-3-1-2)

Other Errors and Omissions

IC 5-3-1-2.3 provides that a notice required to be published by law is valid even though it contains error or omissions, as long as:

1. A reasonable person would not be misled by the error or omissions; and
2. The notice is in substantial compliance with the time and publication requirements applicable under this chapter or and other Indiana statutes under which the notice is published

DEFINITIONS OF BUDGET CLASSIFICATIONS

1. Personal Services

Personal service is the direct labor of persons in the employment of the library and all related employee benefits.

Salary of Librarian - Compensation of the head librarian

Salary of Assistants - Compensation of all assistant librarians, either part or full-time employees, including clerks and pages

Salary of Treasurer - Compensation of treasurer when so established by board resolution. This person can be a library board member and cannot be the library director.

Wages of Janitors - Compensation of regular employed janitors. If a firm is hired to do the custodian and maintenance work, the cost would come from either professional services or services, repair and maintenance.

Employee Benefits - Would include only the employer's or library's share of the cost of health insurance, life insurance, retirement and social security payments made to the Public Employees' Retirement Fund and other approved retirement plans. The employee's share is handled through the payroll deduction columns on the Financial and Appropriation Record and, therefore, requires no appropriation.

Other Compensation - Include fees paid for special counsel, legal service, surveys, expert and other services rendered of which the employment is temporary or on a part-time basis and social security, federal taxes, state taxes, and county taxes are withheld.

2. Supplies

Supplies include commodities which, after use, are either entirely consumed or show a definite impairment of their physical condition and rapid depreciation after use for a short period of time.

Office Supplies - All articles necessary to the proper operation of an office, other than equipment. Examples of office supplies are: prescribed forms and records, letterheads, envelopes, printer cartridges, paper clips, pencils, scotch tape, stencils, calculator tape and stationery.

Operating Supplies - Supplies used in cleaning, fuel, oil, bottled gas, lubricants, etc.

Repair and Maintenance Supplies - Materials used in repairing buildings, paint, motor vehicle repair supplies, repair parts, plumbing and electrical supplies, etc.

Other Supplies - Children's programming craft supplies and any other type of consumable product used by the library staff in the daily operation of the library and library programs. This would now include food and other emergency supplies needed to house people at the library in case of a Code Red Homeland Security Alert.

3. Other Services and Charges

This classification includes all services performed for the library, under express or implied contract, by other than employees of the library. Also included are all expenditures for insurance, premiums on official surety bonds of the designated treasurer or other employees, licenses, refunds, awards, indemnities, rents, tax assessments, dues to organizations, subscriptions to a service, and all other charges of a similar nature. (Subscriptions to magazines, newspapers, and periodicals should be charged to "Capital Outlays" if it is for hard copy.) EBook and electronic subscriptions are included in this category. Also includes software, and database subscriptions

Professional Services - Services provided by professionals to the library, such as architectural services, legal services, accounting services, consulting services, INSPIRE Database cost, etc.

Communication and Transportation - Include costs of freight and express (when such expenses cannot be charged as part of the original cost of the commodity), postage, telephone and Internet transport costs, traveling expenses, professional meetings.

Printing and Advertising - Charges for advertising and publication of notices in newspapers and periodicals, expenditures for photographing and blueprinting and expenditures for printing other than office supplies. Printing of stationery, forms and other office supplies is chargeable to Account No. 2, Office Supplies.

Insurance - Includes expenditures on all types of insurance policies purchased by the library, the purpose of which is to purchase a guarantee of indemnity for injury or loss of property. Annual premiums on official surety bonds are also charged to this account.

Utility Services - Includes charges for heat, light, power and water furnished by public utilities. (Also, if applicable, sewage services furnished by a public utility would be charged under this caption.) Fuel, oil, and bottled gas used for heating should be charged to Account No. 2, Operating Supplies.

Repairs and Maintenance - All expenditures of a contractual nature for repairs of buildings, structures and equipment, except extensive repairs which would constitute additions or betterments to properties. If repair is performed by regular employees of the library, labor should be included under Services Personal and repair parts and materials should be charged to Account No. 2, Repair and Maintenance Supplies.

Rents - All expenditures for the use of properties not owned by the library, such as, temporary or emergency office rooms, store rooms, post office tax, safety deposit box, rental of equipment, etc.

Debt Service - Expenditures for the reduction of the principal of the library's general obligation bonds and the interest on such bonds. This budget item is usually listed on a separate set of budget forms in a fund especially for budgeting the amortization schedule the library has to follow for payment of bonds sold for a construction project. This item is listed on the operating budget only if it is to be paid out of the operating budget.

Lease Rental - Expenditures for the reduction of the principal of the bonds for the lease rental fund and the interest on such bonds. This budget item is usually listed on a separate set of budget forms in a fund especially for budgeting the amortization schedule the library has to follow for payment of bonds sold for a construction project. This item is listed on the operating budget only if it is to be paid out of the operating budget.

Other - All expenditures for memberships (in the name of the library, not individual) in state and national associations of a civic, education, professional, or governmental nature that have as their purpose the betterment and improvement of library operations. Also, interest on temporary loans; taxes and assessments for streets, sidewalks, sewers, and similar improvements; transfer to Library Improvement Reserve Fund; and all other services not included in other classifications, such as trash collection and laundry services.

4. Capital Outlays

Capital Outlays include all outlays which result in the acquisition of or additions to fixed assets.

Land - All land owned by the library.

Buildings - All permanent buildings owned by the library.

Improvements Other Than Buildings - All other improvements to land owned by the library.

Furniture and Equipment - Consists of machinery, implements, tools, furniture, motor vehicles, computer, servers, typewriters, calculators, microfilm readers, copying machines, projectors, and other equipment that may be used repeatedly without material impairment of its physical condition and which have a calculable period of service.

Other Capital Outlays - This classification includes all expenditures for books, periodicals, newspapers, audiovisual materials used for educational purposes and similar items or materials used as basic material furnished by a library. These are not electronic or virtual items but physical items.

Revised 5-2012

SUGGESTED BUDGET CLASSIFICATIONS FOR POSTING TO LIBRARY FINANCIAL LEDGER			
IF YOU USE A DIFFERENT SYSTEM, THAT IS FINE. BEING CONSISTENT IS IMPORTANT TO REMEMBER.			
			Revised 3-13-2012
1. Personal Services		Operating Supplies	2.2
		Cleaning & Sanitation Supplies	2.21
Salary and Wages	1.1	Fuel, Oil, & Lubricants	2.22
Salary of Librarian	1.11	Other Operating Supplies	2.23
Salary of Assistants	1.12	Other Repair & Maintenance Supplies	2.34
Clerical Wages	1.13	Other Supplies	2.4
Wages of Janitors	1.14		
College Clerks	1.15	**3. Other Services and Charges**	
Pages	1.16		
Employee Benefits	1.2	Professional Services	3.1
Employer's Share-FICA & Medicare	1.21	Consulting Services	3.11
Unemployment Compensation	1.22	Engineering & Architectural	3.12
Employer's Contribution-PERF	1.23	Legal Services	3.13
Employer's Contribution-Gp. Insurance	1.24	Other Professional Services	3.14
Other Personal Services	1.3	Databases Subscriptions, public	3.145
Substitutes	1.31	eBooks	3.146
Other Compensation	1.32		
2. Supplies			
Office Supplies	2.1		
Official Records	2.11		
Stationary & Supplies	2.12		
Other Office Supplies	2.13		

3. Other Services and Charges		Rentals	3.7
		Rental Real Estate	3.71
Communications and Transportation	3.2	Rental Equipment	3.72
Telephone	3.21	Debt Service	3.8
Postage	3.22	Payment of Bonds	3.81
Traveling Expense	3.23	Interest - Bonds	3.82
Professional Meetings	3.24	Other	3.9
Freight & Express	3.25	Dues and Membership	3.91
		Interest on Temporary Loans	3.92
Printing and Advertising	3.3	Transfer from Construction Fund	3.927
Advertising & Public Notices	3.31	Taxes and Assessments	3.93
Printing, Other than Office	3.32	Transfer to LIRF	3.94
Insurance	3.4		
Official Bonds	3.41		
Other Insurance	3.42	**4. Capital Outlays**	
Utility Services	3.5	Land	4.1
Gas	3.51	Buildings	4.2
Electricity	3.52	Improvements Other Than Buildings	4.3
Water	3.53	Furniture and Equipment	4.4
Waste Disposal Services	3.54	Adult Books	4.51
Fire Protection	3.55	Children's Books	4.52
Repairs and Maintenance	3.6	Young Adult Books	4.53
Repair & Maintenance Bldg & Structures	3.61	Reference	4.54
Repair Equipment	3.62	Reference Reserve	4.55

4. Capital Outlays		**5. Other Financing Uses**	
Periodicals and Newspapers	4.6	Interfund Transfers	5.1
Nonprinted Materials	4.7	Transfer to Operating Fund	5.11
Educational Video	4.71	Transfer to LIRF	5.12
Adult Entertainment Video	4.72	Transfer to Gift Fund	5.13
Children's Entertainment Video	4.73	Transfer to Building Fund	5.14
DVD	4.74	Transfer to Bond and Interest	5.16
Compact Discs (Audio)	4.75	Transfer to Excess Levy	5.17
Talking Books	4.76		
Music Cassettes-Adult	4.77	**6. Non Budgeted Item**	
Books/Cassettes-Children	4.78	Temporary Loans	6.1
Nonprint Materials-Other	4.8	Bank Loan Principal	6.11
Microforms	4.81	Temporary Loan from Operating Fund	6.12
Art Prints and Posters	4.82	Temporary Loan from LIRF	6.13
Realia	4.83	Temporary Loan from Gift Fund	6.14
Computer Software-Administration	4.84	Temporary Loan from Other Fund	6.15
Computer Software-Public	4.85	Purchase of Investments	6.2
CD Rom Computer Disc	4.86	Other	6.3
The account numbers have been suggested by a library that has used this list for years. Library Development has updated the list. If you use account numbers different from this list that is o.k. The list was done to give libraries a suggested place to post entries. State Board of Accounts suggests making sure you are consistent in the way you post. They realize that some items can be posted in different areas and your interpretation of where to post could be different than someone else. Just be consistent.			

Alphabetical list of budget items		Audiocassette Duplicator	4.4
		Audiocassette Player	4.4
		Audiovisual equipment	4.77
Acid Free boxes	2.13	Automobile lease or rental	3.72
Acid Free paper	2.13	Automobile repairs	3.62
Adapters	4.4	Automobiles	4.4
Adding machine	4.4	AV carts	4.4
Adding machine paper	2.13	Awnings	4.4
Addressing machine	4.4		
Adhesive tape	2.13	Bank deposit box rental	3.72
Advertising	3.31	Barcode labels	2.4
Air conditioner (window or central)	4.4	Barcode reader	4.4
Air conditioning from utility	3.52	Baskets (desk-metal)	2.13
Air filter	2.31	Baskets, Waste	4.4
Airborne Express Service	3.23	Batteries	2.23
Airline fares	3.23	Benches	4.4
Anti-freeze	2.22	Bills (statements)	2.12
Application cards	2.12	Binders (loose-leaf)	2.13
Art gum	2.13	Binding (Books, etc.)	2.4
Art prints	4.82	Binding (magazines & newspapers	2.4
Art supplies	2.4	Binding supplies	2.4
Assessments	3.14	Blackboards	4.4
Association membership dues	3.91	Blades (X-Acto, knife, scalpel)	2.23
Atlas stand	4.4	Bleach	2.21
Atlases	4.54	Blinds	4.4
Attorney's fees	3.13	Blotter holders	2.13
Blotters	2.13	Bookends	4.4
Blowers, Built in	4.4	Bookmobiles	4.4
Blueprint cabinets	4.4	Bookplates	2.4
Blueprint copies	3.14	Books on tape	4.76
Boiler insurance	3.42	Books, Adult	4.51
Boilers	4.4	Books, Children's	4.52
Bolts	2.33	Books, Record	2.13
Bonds (debt payments)	3.81	Books, Reference	4.54
Book cards	2.4	Books, Reference Reserve	4.55
Book charger	4.4	Books, Registration	2.13
Book drop box	4.4	Books, Scrap	2.4
Book holders	4.4	Books, Young Adult	4.53
Book Jackets	2.4	Borrowers' cards	2.4

Book lacquer	2.4	Borrowers' registers	2.4
Book pockets	2.4	Box (rental) Post office	3.72
Book processing (commercial)	3.14	Box (safe deposit) rental, Bank	3.72
Book racks	4.4	Boxes, pamphlet	2.4
Book repair	3.14	Brass Polish	2.21
Book repair press	4.4	Brooms	2.23
Book repair tape	2.4	Brushes, Paint (maintenance)	2.32
Book rests	4.4	Brushes, Paint (programming)	2.4
Book return	4.4	Brushes, Typewriter	2.13
Book security system	4.4	Buckets	2.21
Book shellac	2.4	Budget forms	2.11
Book trucks	4.4	Building material	2.31
Bookcases	4.4	Buildings	4.2
Bulbs, electric light	2.23	Cards, Index	2.13
Bulletin board	4.4	Cards, Periodical record	2.4
Bus fares	3.23	Cards, Reserve	2.4
Button Maker	4.4	Cards, Shelflist	2.4
Button maker buttons	2.4	Carpet sweepers	4.4
		Carpets	4.4
Cabinets, Medicine	4.4	Cases, Book	4.4
Cabinets, Wall	4.4	Cases, Show	4.4
Cables, Computer	4.4	Cash boxes	4.4
Calculators	4.4	Cassette boxes	2.4
Calendars, Desk	2.13	Cassette cases	4.4
Cameras	4.4	Cassettes, Audio (blank)	2.4
Canopies	4.4	Cassettes, Audio (music, adult)	4.77
Cans, Garbage	4.4	Catalog cards (blank)	2.4
Carbon paper	2.13	Catalog cards (Commercially printed)	2.4
Card catalog cabinets	4.4	CD players	4.4
Card daters	2.4	CD ROM cases	4.4
Card sorters	2.4	CD ROM hardware	4.4
Card trays	4.4	CD ROM software	4.87
Cardboard	2.4	CD ROM tower	4.4
Cards, Application	2.4	CD's-music	4.75
Cards, Book	2.4	CD-ROM lease	3.72
Cards, Borrowers'	2.4	Cement	2.31
Cards, Date	2.4	Cement, Rubber	2.13
Cards, Guide	2.4	Certificates (summer reading)	2.4
Cards, Identification	2.4	Chair tips or glides	2.33

Chairs	4.4	Compact Disc lease	3.72
Chalk, Blackboard	2.4	Compact Disc software	4.87
Charts	2.4	Computer cables	4.4
Check blanks	2.11	Computer CPU	4.4
Cheesecloth	2.21	Computer disk cases	4.4
Chinaware	4.4	Computer disks (blank)	2.13
Chisels	2.33	Computer dust cover	2.13
Christmas decorations	2.4	Computer equipment locks	4.4
Christmas trees, Artificial	2.4	Computer hard drive security	4.4
Christmas trees, Fresh	2.4	Computer hardware lease	3.72
Circulation statistics forms and books	2.4	Computer keyboard	4.4
Claim blanks	2.11	Computer line charges	3.21
Cleaners (all kinds)	2.21	Computer maintenance agreement	3.61
Cleaning carpet service	3.61	Computer monitor	4.4
Cleaning service	3.61	Computer mouse	4.4
Clipboards	2.13	Computer mousepad	2.13
Clipping service	3.14	Computer printer ink cartridges	2.13
Clips, Paper	2.13	Computer printer paper	2.13
Clocks	4.4	Computer printers	4.4
Clothes hangers	4.4	Computer repairs	3.62
Clothes lockers	4.4	Computer scanner	4.4
Clothes trees	4.4	Computer security drive locks	4.4
Cloths, Dust	2.21	Computer software license fees	3.14
Coffee urn or pot	4.4	Computer software upgrades	4.84/4.85
Collating machine	4.4	Computer software-Administration	4.84
Compact Disc equipment	4.4	Computer software-Public	4.85
Computer supplies	2.13	Curtain rods and poles	4.4
Computer support fees	3.11	Curtains	4.4
Computer terminals	4.4	Cutlery	4.4
Computer toner cartridges	2.13	Daily record slips	2.11
Computer training (workshops)	3.24	Data projector	4.4
Computer training on-site	3.11	Data switches	4.4
Computer upgrade	4.4	Database Equipment	4.4
Computer workstations	4.4	Database subscriptions. public	3.145
Computerized payroll service	3.13	Date cards	2.4
Conduit	2.31	Date holders	2.4
Consultant fees	3.11	Date slips	2.4
Contractual agreement for library service	3.14	Dating stamps	2.4

Cooking utensils	4.4	Delivery service	3.25
Coolers, Water	4.4	Delivery van lease or rental	3.72
Copying machine	4.4	Deodorizers	2.21
Copying machine rental	3.72	Deposit box rental (banks)	3.72
Cord, Picture	2.33	Desk lamps	4.4
Cords, Electric	2.4	Desk organizers	2.13
Cords, Window sash	2.33	Desk pads	2.13
Cork Board	4.4	Desks	4.4
Correction fluid	2.13	Dictating machines	4.4
Couches	4.4	Digital camera	4.4
Crayons	2.4	Dishes, China	4.4
Cupboards	4.4	Dishes, Paper	2.4
Cups, Glass	4.4	Door knobs	2.31
Cups, Paper	2.4	Door mats	4.4
Door stops	2.31	Electric light bulbs	2.34
Drafting equipment	4.4	Electric motors (repair part)	2.34
Drafting supplies	2.13	Electric pencil sharpeners	4.4
Draperies	4.4	Electric staplers	4.4
Drawing paper	2.4	Electrician	3.61
Drills	4.4	Electricity	3.52
Drinking cups, paper	2.4	Electronic database service	3.14
Drinking fountains	4.4	Electronic security system	4.4
Dry cleaning	3.61	Electronic tool kit	2.34
Dry markers	2.13	Embossing stamps	4.4
Due Date machines	4.4	Employer's portion of employee insurance	1.24
Due Date tape	2.4	Envelopes, Bubble	2.12
Dues (state and national)	3.91	Envelopes, Clipping	2.12
Duplicating equipment	4.4	Envelopes, Mailing	2.12
Duplicating materials	2.13	Envelopes, Picture	2.12
Dust cloths	2.21	Equipment, Fixed	3.61
Dust pans	2.21	Equipment, Office	4.4
DVD	4.74	Erasers	2.13
DVD Players	4.4	Express	3.25
		Extension cord	2.34
Easels	4.4	Extinguisher (fire) refills	2.23
eBooks	3.146	Extinguishers, Fire	4.4
Electric carts (wheelchair)	4.4		
Electric current	3.52	Fabric Boards	4.4
Electric fans	4.4	Fans, Electric	4.4

Electric lamps (desk, floor, table)	4.4	Fax machine	4.4
Fax switching device	4.4	Flower pots (landscape)	2.34
Federal Express Service	3.25	Flowers (landscape)	2.34
Fees, Professional	3.14	Flue cleaners	2.23
Fertilizer	2.31	Fluid, Correction	2.13
File folders	2.13	Fluorescent bulbs	2.34
Filing cabinets	4.4	Fluorescent fixtures	4.4
Film cases	2.4		
Film developing	3.14	Fly spray	2.23
Financial record forms	2.11	Fly swatters	2.23
Fine slips	2.4	Folders (file and manuscript)	2.13
Fire extinguishers	4.4	Folding chairs	4.4
Fire extinguishers refills	2.23	Folding machines	4.4
Fire insurance	3.42	Folding tables	4.4
Fire proof safe	4.4	Forks (cutlery)	4.4
Flags (bunting and decoration)	4.4	Form, Legal	2.11
Flannel board	4.4	Freight (other)	3.25
Flannelboard characters	2.4	Fuel (gasoline)	2.22
Flashlight	4.4	Fuel oil	2.22
Flashlight batteries	2.34	Furnaces	4.4
Flashlight bulbs	2.34	Furniture polish	2.21
Flip chart paper	2.13	Furniture upholstering	3.14
Flip charts	4.4	Fuses	2.34
Floodlights	4.4	Garbage can	4.4
Floor polishers	4.4	Garbage collection	3.54
Floor wax	2.21	Garden equipment	4.4
Florists' supplies	2.4	Garden supplies	2.23
Gas from utility	3.51	Hinges	2.31
Gasoline	2.22	Holders, Label	2.4
Generator	4.4	Holders, Pen	2.13
Generator repair	3.62	Hose racks	4.4
Glare filters	2.13	Hose, Garden	4.4
Glass, Window	2.33	Hot plate	4.4
Glasses, Magnifying	2.4	Hotel and motel charges on trips	3.23
Glides, Chair	2.33		
Globes for lights	2.33	Identification cards	2.4
Glue	2.13	Implements, Agricultural and garden	4.4
Grass Seed	2.31	INfo Express	3.25
Gravel	2.31	Index cards	2.13

Grease, Lubricating	2.22	Index tabs	2.13
Guide cards	2.13	Ink	2.13
		Ink eradicator	2.13
Hall mats	4.4	Ink jet cartridges	2.13
Hammers	4.4	Ink, marking	2.13
Hangers, Clothes	4.4	Ink, Mimeograph	2.13
Hardware, Computer	4.4	Ink pads	2.13
Hardware lease, Computer	3.72	Insecticides	2.34
Hatchets	4.4	Insurance	3.42
Hauling	3.14	Intercoms	4.4
Headphones	4.4	Interest on loans	3.92
Heat from utility	3.52	Interlibrary loan fees	3.14
Heat tape	2.34	Internet provider	3.21
Highlighters	2.13	Irons, Electric	4.4
		Laser printer cartridges	2.13
Janitor supplies	2.21	Laundry service	3.14
Jewel Cases, Compact Disc	2.4	Lawn mower parts	2.33
Jiffy bags	2.4	Lawn mowers	4.4
		Leather upholstering	3.14
Keyboard	4.4	Ledger sheets	2.11
Keyboard drawer	4.4	Legal fees	3.13
Keys	2.34	Legal notices	3.31
Knives	4.4	Library cards	2.4
		Library Improvement Reserve Fund	3.94
Label holders	2.13	Library supplies	2.4
Labels	2.13	Lighting fixtures	4.4
Lacquer	2.32	Lime for fertilizing	2.31
Lacquer thinner	2.32	Line charges	3.21
Lacquer, Book	2.4	Linen service	3.14
Ladders	4.4	Locks	2.31
Laminate cutters/trimmers	4.4	Lodging on trips	3.23
Laminating supplies	2.4	Lubricating grease or oil for motor vehicles	2.22
Laminator	4.4	Lumber (rough and finished)	2.31
Lamp globes	2.33		
Lamp shades	2.33	Machine service contracts	3.61
Lamps (floor, table)	4.4	Machines, adding and calculators	4.4
Lamps, Desk	4.4	Magazine binders and holders	2.4
Land (real estate)	4.1	Magazine racks	4.4
Landscaping on contract	3.14	Magazine subscriptions	4.6

Laptop Computer	4.4		
Mailing wrappers and jiffy bags	2.13	Motor vehicles	4.4
Marker boards	4.4	Motor vehicles, repairs	3.62
Material	2.31	Mounting paper	2.4
Mats, Door	4.4	Mouse and rat traps	2.31
Meals on trips	3.23	Mouse pad	2.4
Medicare Tax (Employer portion)	1.21	Mouse tray	4.4
Meetings	3.24	Mouse, Computer	4.4
Memberships (Institutional only)	3.91	Mowers, Lawn	4.4
Mending supplies	2.4	Mulch	2.31
Metal polish	2.21		
Microfiche readers and/or printers	4.4	Newspapers	4.6
Microfilm readers and/or printers	4.4	Notary fees	3.14
Microfilming	3.14	Notebooks	2.13
Microforms	4.81	Nuts and bolts	2.31
Microforms, equipment	4.4		
Microphone	4.4	OASI-Employer's share	1.21
Microphone for computer	4.4	OCLC First Search	3.14
Microwave	4.4	Office equipment	4.4
Mileage on trips	3.23	Office signs	2.13
Mirrors	4.4	Office supplies	2.12/2.13
Modem	4.4	Official records	2.11
Moisteners	2.13	Oil (Automobile)	2.22
Monitors	4.4	On-line database charges	3.14
Mop heads, sticks	2.21	Opaque projector	4.4
Motel charges	3.23		
Motor vehicle tires	2.33		
Order cards	2.4	Paper clips	2.13
Overhead projector	4.4	Paper fasteners	2.13
Overhead transparency film	2.13	Paper shredder	4.4
		Paper, Toilet	2.21
Padlocks	4.4	Paper towels	2.21
Pads, Calendar	2.13	Paper, Transfer	2.13
Pads, Mimeograph	2.13	Paper, Typewriter	2.13
Pads, Scratch	2.13	Paper, Waxed	2.4
Pads, Stamp	2.13	Paper, Wrapping	2.4
Pails	2.21	Paper, Writing	2.13
Paint brushes (maintenance)	2.32	Paper-cutting machines	4.4
Paint removers	2.32	Paper-weights	2.13

Painting (building) service	3.61	Paste brushes for programs	2.4
Paints	2.32	Paste brushes for wallpaper	2.31
Pamphlet binders	2.4	Paste for children's programs	2.4
Pamphlet boxes	2.4	Paste, Wallpaper	2.31
Pamphlets	4.6	Patron counter	4.4
Pans, Dust	2.21	Pencil date holder	2.13
Paper, Adding Machine	2.13	Pencil sharpeners	2.13
Paper (blank)	2.13	Pencils	2.13
Paper bags	2.4	Penholders	2.13
Paper, Carbon	2.13	Pens	2.13
Paper, Mounting	2.4	Pensions (employer's share)	1.23
Paper, Poster	2.4	Periodical racks	4.4
Paper punch	2.13	Periodical record cards	2.4
Paper, Sand	2.31	Periodicals and magazines	4.6
Phonograph record holders	2.4	Pockets, Book	2.4
Phonograph records	4.74	Polish, Furniture	2.21
Photocopies	3.32	Postage	3.22
Photocopying equipment (rental)	3.62	Postage meter rental	3.72
Photographic service	3.14	Postal cards, prestamped	3.22
Photographs	3.14	Poster Board	2.4
Photostatting	3.14	Pots (coffee and tea)	4.4
Piano	4.4	Pots, Flower (programming)	2.4
Piano stools	4.4	Power surge strips	4.4
Picture envelopes	2.4	Presses, Book repair	4.4
Picture frames	4.4	Printer paper	2.13
Picture wire	2.4	Printer ribbons	2.13
Pictures	4.82	Printer stand	4.4
Pins, Household	2.4	Printers, Computer	4.4
Plant spray	2.31	Printing (office supplies, forms)	2.12
Plants, Garden	2.4	Printing (other than office supplies)	3.32
Plaster	2.31	Processing, Books (professional)	3.14
Plaster molds	2.4	Professional meeting	3.24
Plastic book jackets	2.4	Projectors	4.4
Plastic trash bags	2.21	Publication of notices	3.31
Pliers	4.4	Punches, Paper	2.13
Plugs and cords, Electric	2.4	Puppets	2.4
Plumber	3.61	Purchase order forms	2.11
Plumbing repairs (done in-house)	2.33	Putty	2.31
Polish, Metal	2.21	Putty, Molding	2.4

Post office box rent	3.72		
Racks, Clothes	4.4	Rent of office	3.71
Racks, Magazine	4.4	Rent of office equipment	3.72
Racks, Towel	4.4	Rent of safe deposit and post office boxes	3.72
Radio parts	2.33	Repair of books	3.14
Radio repair	3.62	Repair of buildings and structures	3.61
Radios	4.4	Repair of equipment	3.62
Rags, Wiping	2.21	Repair parts	2.33
Rakes	4.4	Reserve cards	2.4
Ranges	4.4	Retirement fund (PERF, employer)	1.23
Reader-printers, Microfilm and Microfiche	4.4	Retirement fund (PERF, employee)	Payroll deduction
Real estate	4.1	Rhythm band instruments	4.4
Rebinding books	3.14	Ribbons, Typewriter	2.13
Receipt books	2.13	Roof repairs	3.61
Record books	2.13	Rope	2.31
Record sheets (Printed)	2.13	Router	4.4
Records, Official	2.11	Rubber bands	2.13
Records, Phonograph	4.74	Rubber cement (book repair)	2.4
Refrigerators	4.4	Rubber stamps	2.13
Registered mail fee	3.22	Rugs	4.4
Registration book and sheets	2.4	Rulers, Office	2.13
Remote control	4.4		
Rent of buildings	3.71	Safe deposit box rent	3.72
Rent of computer equipment	3.72	Safes	4.4
Rent of land	3.71	Safety deposit box	4.4
Rent of motor vehicle equipment	3.72		
Salt	2.21	Sheet protectors	2.4
Sand (construction)	2.31	Shellac	2.32
Sand paper	2.31	Shellac, Book	2.4
Saws	4.4	Shelving	4.4
Scaffolds	4.4	Show cases	4.4
Scales	4.4	Shrubbery	4.3
Scanner, Color	4.4	Signs	2.4
Scanner, Weapon Detector	4.4	Slide projectors	4.4
Scissors or shears	2.13	Small tools	4.4
Scotch tape	2.13	Snow blower	4.4
Scouring powder	2.21	Snow removal service	3.61

Scrap books	2.4	Soap	2.21
Scratch pads and paper	2.13	Sofas	4.4
Screen Enlarger, Computer Monitor	4.4	Software upgrades, Computer	4.84/4.85
Screens, Door and window	4.4	Software, Computer	4.84/4.85
Screens, Projector	4.4	Software, License	3.14
Screw drivers	4.4	Soil (potting and black)	2.31
Screws	2.31	Sound cards	4.4
Scrub brushes	2.21	Sound system	4.4
Seal-Official	2.13	Spades	4.4
Security Cases	4.4	Speaker (computer)	4.4
Security System	4.4	Splicer kit	4.4
Service contracts	3.11/3.14	Sponges	2.21
Service contracts (maintenance)	3.61	Spoons	4.4
Shades, Window	4.4	Sprinklers	4.4
Sharpeners, Pencil	2.13	Sprinkling cans	4.4
Squeegee	2.21	Tables	4.4
Stage equipment	4.4	Tack lifters	2.13
Stamp pads	2.13	Tacks	2.13
Stamps, Rubber	2.13	Tacks, Thumb	2.13
Staple remover	2.13	Tags, Shipping	2.13
Staplers	2.13	Tanks, Hot water	4.4
Staples, Copier	2.13	Tape measure	4.4
Staples, Paper	2.13	Tape, Adding machine	2.13
Stationery	2.12	Tape, Audio (music)	4.77/4.78
Steel wool	2.31	Tape, Mending	2.4
Stencil cutters	2.13	Tape, Scotch	2.13
Stencil paper	2.13	Tape, Video	4.71/4.72
Stencils	2.13	Tapes, Blank (video and audio)	2.4
Stepladders	4.4	Telecommunication fees	3.21
Storage of motor vehicles	3.71	Telephone (equipment)	4.4
Storm doors and windows	4.2	Telephone usage	3.21
Structures-Repair	3.61	Television	4.4
Subscription to database	3.14	Terminal Maintenance	3.62
Subscriptions (periodicals)	4.6	Terminal Rental	3.72
Supplies, Janitor	2.2	Terminals	4.4
Supplies, Library	2.4	Thermometers	2.31
Supplies, Office	2.1	Thinner, Lacquer	2.32
Supplies, Other	2.4	Thread	2.4
Surge suppressers	4.4	Thumb tacks	2.13

		Time cards	2.13
Tires	2.33	Umbrella stands	4.4
Tissue, Mending	2.4	United Parcel Service	3.22
Toilet paper	2.21	Usage fees, computer software	3.14
Toner cartridges (computer and copier)	2.13	Usage fees, on-line database	3.14
Tools, Carpenters	4.4		
Tote bags	2.4		
Towel service	3.14		
Towels	2.21	Vacuum cleaners	4.4
Train fares	3.23	Varnish	2.32
Training, Computer (workshop)	3.24	Vases	2.4
Training, Computer on-site	2.14	Vehicles	4.4
Transfer paper	2.13	Venetian blinds	4.4
Traps, Mouse, rat	2.21	Video equipment	4.4
Trash bags (plastic)	2.21	Video Scan Converter	4.4
Trash collection	3.54	Videocassette cables	2.4
Travel expense	3.23	Videocassette cases	2.4
Treasurer's Bond	3.41	Videocassette player/recorder	4.4
Trees	4.3	Videocassette rental	3.72
Tripods	4.4	Videocassette tapes	4.71/4.72/4.73
Trucks, Hand (books)	4.4		
Turpentine	2.32	Wardrobes	4.4
Twine, Wrapping	2.4	Waste baskets	2.23
Typewriter brushes	2.13	Water fountain	4.4
Typewriter ribbons	2.13	Water from utility	3.53
Typewriters	4.4	Wax, Floor	2.21
Typewriting paper	2.13	Waxed paper	2.4
Weights, Paper	2.13	Writing paper	2.13
Wheelchairs	4.4		
Window glass	2.31		
Window locks	2.31		
Window shades	4.4		
Wire	2.31		
Wiring for Internet	4.3		
Wood polish	2.21		
Workshops	3.24		
Workstation	4.4		
Wrapping paper	2.4		
Wrenches	4.4	Revised 05/14/12	

Chapter 12

State Board of Accounts/Bookkeeping Process and Prescribed Forms

State Board of Accounts

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302 W. Washington Street, E418

Indianapolis, Indiana

317-232-2521

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The Role of the State Board of Accounts

- To serve the citizens of Indiana by providing to the State of Indiana, its agencies and political subdivisions, on-time quality services at the best possible value.
- To help make Indiana's citizen-run government a workable concept.
- To perform financial and compliance audits of state and local governments
- To prescribe forms and uniform accounting systems.
- To provide training for public officials and employees.
- To publish manuals, newsletters, and technical bulletins.
- To consult with officials on the state and local level.

State Board of Accounts and Libraries

- Performs financial and compliance audits of state and local government.
- Prescribes forms and uniform accounting systems.
- Provides training for public officials and employees.

Workshops

- **Budget Clinics** are held late spring, often June, in cooperation with the Department of Local Government Finance and the Library Development Office of the Indiana State Library. New legislation, accounting changes, and budgeting matters are discussed at these clinics.
- **Bookkeeping workshops** are conducted each fall for new library directors, treasurers, and bookkeepers; the meeting is scheduled in early November. Accounting forms prescribed for libraries are discussed at these workshops as well as bookkeeping and financial statement preparation. In addition, libraries are given guidance on various recurring issues and audit positions.

The Accounting and Uniform Compliance Guidelines Manual for Libraries

- Published and updated annually by the State Board of Accounts to assist officers and employees of public libraries. The latest version Reissued 2010.
- This manual is now on the web and can be downloaded at: www.in.gov/sboa/2404.htm
- The manual includes important information about library board and employee responsibilities, revenue sources, allowable expenditures, budgeting, operating procedures, and uniform compliance guidelines.
- Referred to as the "Budget Manual", you may request copies from the State Board of Accounts, at 1-317-232-2521.

  You can then search the manual using the 'find" function of your document program.

Approved Ledger Sheets

- Libraries can use either prescribed ledger sheets specifically approved for library bookkeeping or those prescribed for cities and towns.

Computerized Bookkeeping Systems

- If a library board wants to change to a computerized bookkeeping system, they must first see if the forms produced by that system have previously been approved by State Board of Accounts.
- If another library has had a computerized bookkeeping software program approved by State Board of Accounts and your library plans to use the exact same set of forms, etc. for bookkeeping, you do not have to get prior approval to use the system.
- If the system has not already been approved by the State Board of Accounts, you will have to follow State Board of Accounts procedures for getting the forms approved. *See a sample letter in this Survival Guide Chapter – Prescribed Forms to start this process.
- You cannot begin using the new system until it has been formally approved by the State Board of Accounts.
- A list of libraries and their bookkeeping systems is included in this chapter.

Annual Library Audit Checklist

- A good tool to use for knowing what types of records need to be kept.
- An Audit Checklist is included in this chapter.

Bookkeeping Questions

- When a question arises concerning library bookkeeping, State Board of Accounts has people at the state level as well as in the field who can answer your questions.
- The telephone number for State Board of Accounts is 1-317-232-2521.
- Their website is www.IN.gov/sboa/ .

Prescribed Forms

The State Board of Accounts is charged by law with the responsibility of prescribing and installing a system of accounting and reporting which shall be uniform for every public office and every public account of the same class. [IC 5-11-1-2]

All governmental units are required by law to use the forms prescribed by State Board of Accounts; however, if it is desirable to use a different form or to have a prescribed form modified to conform for computer applications, a letter and three copies of the proposed form may be submitted to the State Board of Accounts for approval. No form should be printed and placed into use, other than a prescribed form, without prior approval.

As a result of advances in computer technology, some computer hardware, software, and application systems can now produce exact replicas of the forms prescribed by the State Board of Accounts.

The State Board of Accounts prescribes the required accounting system forms, but does not specify the source from which the forms must be obtained. Therefore, the State Board of Accounts will not take exception to the use of forms which provide exact replications of the prescribed forms created by computer printer or utilizing continuous form computer paper. These exact replications must be identical to the prescribed forms in format, titles and locations of data. The exact replicas are not required to be submitted to the State Board of Accounts for approval and each form should be identified as "Prescribed By the State Board of Accounts" in the same location as is printed on the prescribed forms.

The use of computer-generated prescribed forms should be brought to the attention of the Field Examiner during the next regularly scheduled audit. The forms and computer system generating the forms are subject to a technical computer audit based upon the results of the Field Examiner's risk assessment.

Form Approval Process

The use of a vendor software system is the responsibility of the library board in accordance with its statutory authority. If the library board desires to use forms generated by a particular software program, it may pass a resolution stating such a preference.

The **resolution and a letter** should be sent to the State Board of Accounts for compliance with applicable statutes and regulations and to provide assurance that a library does indeed desire to use the forms. The forms submitted should be very similar to the prescribed system (same headings and titles, information, etc.). Otherwise, a cross-reference to the prescribed form intended to be replaced should be submitted.

The State Board of Accounts approval is based upon compliance with the conditions outlined in this section. Compliance with these conditions will be reviewed during subsequent audits. Thereafter, other libraries may use any forms previously approved for the original library using that particular software program.

Any forms not previously reviewed and approved by the State Board of Accounts will need to go through the traditional form approval process. However, once approved, the new process as summarized below may be utilized.

Summarization of the Form Approval Process

1. The Library Board passes a resolution in a public meeting stating the desire to use forms generated by a specific software program.

2. A copy of the resolution, along with information in the sample is sent to the State Board of Accounts by the Library Board, along with a sample of all reports and forms of the system. The forms submitted should be very similar to the prescribed system (same headings, titles, information, etc.). Otherwise, a cross-reference to the prescribed form intended to be placed must be submitted.

3. The Library Board receives an approval letter from the State Board of Accounts and begins using the forms without any further approvals in the future unless the forms change.

4. Previously approved forms for an accounting system do not have to be sent in for approval. The Library Board does need to send a letter to State Board of Accounts stating which accounting system is going to be used. A suggested form letter can be found in the appendix of the Accounting and Uniform Compliance Guidelines Manual for Libraries.

Form Approval Conditions

1. The forms and systems shall be subject to further review and recommendations during the audits of the Library to allow for on-site review, as well as to ensure compliance with current statutes.

2. Any other Forms, Checks, Receipts, etc., necessary to complete the system shall be submitted to the State Board of Accounts for approval. The Library should continue to maintain all prescribed forms not otherwise covered by an approval.

3. All transactions that occur in the system must be recorded. Transactions can be maintained on-line, on backup tapes, microfilmed, or printed on hardcopy. These transactions include, but are not limited to: all input transactions, transactions that generate receipts, transactions that generate checks, master file updates, and all transactions that affect the ledgers in any way. For all information maintained on the system, the system must be designed in such a manner that changes to a transaction file cannot occur without being processed through an application.

4. The ability must not exist to change data after being posted. If an error is discovered after the entry has been posted, then a separate correcting entry must be made. Both the correcting entry and the original entry must be maintained.

5. If the unit owns the source code, sufficient controls must exist to prevent unauthorized modification. If the unit does not own the source code, upon request or in the event the vendor no longer provides maintenance service for the system, the vendor shall provide representatives of the State Board of Accounts with access to all computer source code for this system. In addition, the vendor shall provide representatives of the State Board of Accounts with a document describing the operating system used, the language that the source code is written in, the name of the compiler used, and the structure of the data files including data file names and data file descriptions, field names and field descriptions for the system upon request.

6. Any Checks, Receipts, Purchase Orders, Deposit Advices or other prescribed forms that require numbering shall be serially pre-numbered by the printing supplier prior to delivery to the Library. All receipts are to be printed at the time money is received. Furthermore Checks, Receipts, Purchase Orders or Deposit Advices shall not be pre-signed and shall have duplicates. An approved check register may be used to meet the duplicate requirement for checks.

7. Recap sheets for each depository for deposit advices, if applicable, will be maintained indicating direct deposits. Individual wage assignment agreements will be kept on file to support direct deposit.

8. Checks drawn on multiple bank accounts should only occur as a result of compliance with the Public Depository Law.

FORMS FOR USE BY LIBRARIES

Many of the forms are found in the Appendix of State Board of Accounts Accounting and Uniform Compliance Guidelines Manual for Libraries. Other electronic forms can be found on SBoA website at www.in.gov/sboa/2416.htm.

Library Form #	Title
1	Financial and Appropriation Record
1A	Financial and Appropriation Record
1B	Financial and Appropriation Record
1C	Financial and Appropriation Record
2	Warrant (in duplicate)
3	Daily Record of Desk Collections
4	Accounts Payable Voucher

General Budget Form #	Title
53	Bond Register
86	Contractor's Combination Bid Bond and Bond for Construction
86A	Contractor's Bond for Construction
96	Contractor's Bid for Public Work
98	Purchase Order
99	Payroll Schedule
99A	Employees Service Record
99B	Employees Earnings Record
99C	Employee's Weekly (Work Period) Earnings Record
99P	Publisher's Claim
100R	Certified Report of Names, Address, Duties and Compensation of Public Employees
101	Mileage Claim
350	Register of Investments
351	Register of Insurance
352	Receipt
359	Ledger of Appropriations, Encumbrances, Disbursements and Balances
364	Accounts Payable Voucher Register
369	General Fixed Asset Account Group Ledger
370	Receipt Register

Other Forms - Suggested Format

Certificate of County Auditor
Certificate of Secretary of Appropriating Body
Certified Copy of Additional Appropriation
Conflict of Interest Disclosure
Form Approval Letter
Library Appropriation Resolution
Notice to Taxpayers of Proposed Additional Appropriations
Petition to Appeal
Proof of Posting of Notice of Additional Appropriations
Resolution to Reduce Current Operating Budget

Annual Library Audit Checklist

Background Information

The library should have available or be able to obtain quickly the following information:

a. **Name and address of library, plus any branches**

b. **Population of service area as of latest official census** (Indiana State Library, Library Development Office can give you this number)

c. **Names and addresses of officials**, including

- Library Trustees
- Library Director
- Library Attorney
- Library Insurance Agent
- Library Accountant

d. **Major state statute(s) under which library operates**

e. **Date of library establishment** (Indiana State Library, Library Development Office can give you this information)

f. **Terms of library trustees** (there should be a file in the director's office or business office that has the certificates of appointment with the appropriate date for each library board member; also, the appointing authorities should have this information)

g. **All library policies in effect**, including

- General policies
- Rules and regulations
- Personnel policies
- Resolutions as contained in minutes or other records
- Minutes of regular and special board meetings
- Index to above material, if available

h. **Library personnel records**, including

- Personnel files
- Annual leave and sick-leave records
- Payroll records, including time cards

i. **Name and address of all depositories and all account numbers and authorized signatures**

j. **All Insurance policies in effect during the audit period**

k. **General ledger, balance sheets, and other accounting records**

l. **Schedule of investment transactions by fund for the period covered**

m. **Invoices, purchase orders, and receiving reports for the period covered**

n. **Bank statements, including checking, for period covered**

o. Details of any new bond issues, significant contracts, and lease agreements

p. **Copy of any other audit prepared for the library during the period covered**

q. **Summary of all litigation involving the library during the period covered, including an administrative evaluation of the probable outcome**

r. **Copies of all lease agreements involving facilities and equipment**

Review of General Actions (Yes or No)

_____Yes Has any property or thing of value been loaned, pledged, granted, or ____No
otherwise conveyed to anyone during the past year, other than through
normal routines of circulation?

_____Yes Does the accounting system make it possible to show that the library ____No
has complied with all applicable legal provisions?

_____Yes Are all major accounting entities separated by Funds? Does a deficit
_____No exist in any Fund at year-end?

_____Yes Has any library officer or employee accepted anything of value,
_____No whether in form of service, loan, thing, or promise, from anyone
doing business with the library?

_____Yes Are there persons on the library payroll not performing work for the
_____No library?

_____Yes Has any library official or employee used influence or their vote to
_____No obtain expenditures of public funds for himself or a concern in which
he has an interest?

_____Yes Have all previous critical audit discrepancies been corrected? If not,_____No
list those not corrected and explain delay in correction.

_____Yes Is the library involved in any lawsuit, either as plaintiff or defendant?
_____No

_____Yes Are minutes or memoranda taken at all meetings of the library board?
_____No

_____Yes Is all official action taken by the library board done so at a properly
_____No announced public meeting?

_____Yes Are special meetings of the library board announced at regular _____No
meetings?

_____Yes Are library records maintained in accordance with applicable
_____No retention standards?

_____Yes Does the library have bonding or surety coverage for individuals
_____No with access to library funds?

_____Yes Does the library follow the applicable regulations with respect to bid ____No
laws for purchase and disposal of surplus items?

_____Yes Does the library keep financial records in accordance with applicable
_____No state guidelines?

Review of Financial Actions (Yes or No)

_____Yes Is there security pledged for the balances in the bank accounts?
_____No

_____Yes Does the library pay a monthly charge or fee for the bank accounts
_____No maintained by the library?

_____Yes Are funds in excess of those needed for normal operation invested
_____No in interest-bearing accounts or securities?

_____Yes Are restricted funds (those provided for special purposes other than
_____No general operations) loaned to other funds?

_____Yes Does the library maintain proper accounts for petty cash, including a
_____No receipt for all disbursements?

_____Yes Does the library use petty cash funds to cash personal checks, hold NSF __No
checks, make loans or cash advances?

_____Yes Does the library keep clear and separate accounting records for the
_____No receipt and expenditure of general taxes, special purpose taxes, and
other monies received?

_____Yes Does the library utilize tax monies received in special funds only for the __No
purpose specified in those funds?

_____Yes Does the library make deposits intact and promptly?
_____No

_____Yes Does the library take adequate internal precautions, both physical and
_____No clerical, to protect its cash collections such as fines and fees?

_____Yes Did the library board adopt and approve a legal appropriation document _No
or budget listing both expected revenues and proposed expenditures?

_____Yes Did expenditures exceed estimated revenues?
_____No

_____Yes Did the library make expenditures in accordance with its approved
_____No budget?

_____Yes Did the library make its expenditures either by check or supported bank

_____No memoranda, except for petty cash?

_____Yes
_____No Did the library make payroll changes, including pay increases, in accordance with approved procedures adopted by the library board or other governing authority?

_____Yes
_____No Did the library make payment of any salary bonuses or retroactive pay increases?

_____Yes
_____No Did the library make advance wages or salaries to any staff member?

_____Yes
_____No Did the library pay staff for annual vacation in lieu of their taking it? If so, is this in accordance with approved procedures adopted by the library board or other governing authority?

_____Yes
_____No Did the library make travel reimbursements in accordance with approved procedures, including approval by the responsible official either verbally or in writing?

_____Yes
_____No Did the library require receipts for travel expenses such as hotels, airline tickets, meals, etc.?

_____Yes
_____No Does the library have documented justification for any lump sum advances or allowances paid to officials or employees?

_____Yes
_____No Does the library have an established policy for the use of gasoline or other credit cards?

_____Yes
_____No Does the library conduct a physical inventory on movable equipment and furnishings?

_____Yes
_____No Does the library conduct a physical inventory on consumable materials and supplies?

_____Yes
_____No Have expenditures for such items as floral or memorial gifts and contributions to private or public organizations been made in accordance with appropriate policies or regulations?

Review of Purchasing Actions (Yes or No)

_____Yes
_____No Does the library have established and documented purchasing procedures?

_____Yes
_____No Do all departments, divisions, or employees comply with existing purchasing procedures?

_____Yes
_____No Does the library clear all purchases through a central purchasing office?

_____Yes
_____No Does the library ensure against purchasing in excessive amounts?

_____Yes
_____No Does the library require purchase orders for purchase?

_____Yes Are the purchase orders pre-numbered and adequately safeguarded?
_____No

_____Yes Does a purchase order require adequate approval before funds are
_____No obligated?

_____Yes Can any department purchase its own materials directly from vendors?
_____No

_____Yes Does the library follow approved policies and regulations on materials
_____No and services for which a bid is required?

_____Yes Does the library ever split purchases in order to avoid applicable bid
_____No guidelines?

Do receiving reports on items purchased and/or delivered include: (Yes or No)

_____Yes Details of items received at time of delivery?
_____No

Do receiving reports on items purchased and/or delivered include: (Yes or No)

_____Yes Verification and certification of items received by a responsible
_____No library employee?

_____Yes Does the library use the receiving report as part of the
_____No documentation for the disbursement of payments?

_____Yes Does the library take precaution against theft and waste of
_____No supplies?

State laws which may bear on the audit

- Annual financial and operations reports
- Code of ethics
- Conflict of Interest
- Dual office holding
- Fixed asset accounting
- Leases
- Local government budget and appropriations
- Open meetings
- Sale or disposal of property
- Public bid
- Public records

(Adapted from "YOUR ANNUAL AUDIT" and "SYSTEM SURVEY AND COMPLIANCE QUESTIONNAIRE". Office of the Legislative Auditor, State of Louisiana. Used with permission.)Source: Wozny, Jay. Checklists for Public Library Managers. Scarecrow Press, New Jersey.

RESOLUTION
00-01

WHEREAS, the _____ Library finds that it is beneficial to utilize the financial software from a single vendor and,

WHEREAS, Name of Software Vendor has provided financial software systems and updates to Indiana libraries which contain procedures and produce forms that are required and approved by Indiana State Board of Accounts and State Board of Tax Commissioners.

NOW THEREFORE BE IT RESOLVED that the Library adopts Name of Software Vendor financial software systems and requests that the Indiana State Board of Accounts approve all forms which have been previously submitted by _____ Library and any updates and revisions provided in the future for use by the _____ Library.

APPROVED by the Library Board of Trustees of _____ Library, _____ County, Indiana. THIS 2nd DAY OF MARCH 2000.

_____, PRESIDENT
_____, VICE PRESIDENT
_____, MEMBER
_____, MEMBER
_____, MEMBER
_____, MEMBER

ATTEST: _____
Secretary

Sample

LETTERHEAD OF GOVERNMENTAL UNIT

State Board of Accounts
302 West Washington Street
4th Floor, Room E418
Indianapolis, Indiana 46204-2765

Re: Form Approvals

The **(NAME OF GOVERNING BODY)** passed the attached resolution concerning usage of forms for the **(NAME OF GOVERNMENTAL UNIT)**.

The **(NAME OF GOVERNING BODY)** is ultimately responsible for all forms and systems to be used. Accordingly, we are requesting to be authorized to use the forms and systems provided (1) for **(NAME OF LIBRARY WHICH FIRST RECEIVED AN APPROVAL)** as these forms were approved by our Office in writing as of **(DATE OF ORIGINAL APPROVAL)**. We will abide by the form approval requirements as stated in the "Accounting and Compliance Guidelines for Libraries" and during audits by the State Board of Accounts.

The **(NAME OF GOVERNING BODY)** will notify you in writing if desiring to discontinue use of the system approved. Any forms that are not in an all inclusive approved package would still need to be approved by your Office. Furthermore, if we desire to use any forms which have changed since the date of original approval above, and those forms have not received a written approval from your Office, we will immediately submit those forms for approval.

We also understand the process of a letter and resolution are not an attempt to provide preferential treatment to any vendor but instead are an effort to expedite the form approval process required by statute and regulation. Finally, we are aware that any system or hardware changes initiated by a vendor and the resultant costs, are vendor, market or consumer demand driven.

_____ _____
(PRESIDENT OR CHAIRMAN OF THE GOVERNING BODY) **(DATE)**

_____ _____
(CHIEF EXECUTIVE OFFICER) **(DATE)**

(1) The first Library approved would have a period after the word "provided" and the rest of the sentence would be deleted. All other Libraries requesting use of that system should show the information stated after the word "provided."

Sample

2011 Indiana Public Library Statistics

Table 14 – Automated Bookkeeping and Circulation System

Library	Name of Automated Bookkeeping System	Integrated Library System	Library Catalog Online
ADAMS PL SYSTEM	CompuTrain	Evergreen Indiana	Yes
AKRON CARNEGIE PL	AVC Technology	Evergreen Indiana	Yes
ALEXANDRIA-MONROE PL	AVC Technology	Evergreen Indiana	Yes
ALEXANDRIAN PL	CompuTrain	SirsiDynix Symphony	Yes
ALLEN CO PL	Fundware	SirsiDynix Symphony	Yes
ANDERSON PL	Kintera Fundware	SirsiDynix Horizon	Yes
ANDREWS-DALLAS TWP PL		Evergreen Indiana	Yes
ARGOS PL	CompuTrain	Follett Destiny	Yes
ATTICA PL	AVC Technology	Evergreen Indiana	Yes
AURORA PL DISTRICT	Banyon Data Systems	TLC The Library Corporation Library Solution	Yes
AVON-WASHINGTON TWP PL	Blackbaud	SirsiDynix	Yes
BARTHOLOMEW CO PL	CompuTrain	SirsiDynix Symphony	Yes
BARTON REES POGUE MEMORIAL PL	Quick Books	Evergreen Indiana	Yes
BATESVILLE MEMORIAL PL	CompuTrain	Evergreen Indiana	Yes
BEDFORD PL	Banyon Data Systems	SirsiDynix Horizon	Yes
BEECH GROVE PL	AVC Technology	Library FX	Yes
BELL MEMORIAL PL	CompuTrain	Follett Destiny	Yes
BENTON CO PL		Evergreen Indiana	Yes
BERNE PL	CompuTrain LAP	Infovision Evolve	Yes
BICKNELL-VIGO TWP PL	AVC Technology	Sagebrush Winnebago Spectrum	Yes
BLOOMFIELD-EASTERN GREENE CO PL	Banyon Data Systems	Evergreen Indiana	Yes
BOONVILLE-WARRICK CO PL		SirsiDynix Symphony	Yes
BOSWELL-GRANT TWP PL		Evergreen Indiana	Yes
BOURBON PL	CompuTrain	EOS International	Yes
BRAZIL PL	CompuTrain	Evergreen Indiana	Yes
BREMEN PL	CompuTrain	Innovated Interfaces, Inc.	Yes
BRISTOL-WASHINGTON TWP PL		TLC The Library Corporation Library.Solution	Yes
BROOK-IROQUOIS-WASHINGTON TWP PL	AVC Technology	Mandarin Library Automation	Yes
BROOKSTON-PRAIRIE TWP PL		Evergreen Indiana	Yes
BROWN CO PL	Banyon Data Systems	Follett Destiny	Yes
BROWNSBURG PL	Blackbaud Fundware	Polaris Library Systems	Yes
BROWNSTOWN PL	AVC Technology	Evergreen Indiana	Yes

BUTLER PL	CompuTrain LAP	Evergreen Indiana	Yes
CAMBRIDGE CITY PL	AVC Technology	Evergreen Indiana	Yes
CAMDEN-JACKSON TWP PL		Evergreen Indiana	No
CANNELTON PL		Evergreen Indiana	Yes
CARMEL CLAY PL	Solomon	SirsiDynix Symphony	Yes
CARNEGIE PL OF STEUBEN CO	CompuTrain	Evergreen Indiana	Yes
CENTERVILLE-CENTER TWP PL	AVC Technology	Evergreen Indiana	Yes
CHARLESTOWN CLARK CO PL	Blackbaud Fundware	TLC The Library Corporation	Yes
CHURUBUSCO PL	CompuTrain	Sagebrush Winnebago Spectrum	No
CLAYTON-LIBERTY TWP PL	Follett	Follett	Yes
CLINTON PL	AVC Technology	Evergreen Indiana	Yes
COATESVILLE-CLAY TWP PL		Evergreen Indiana	Yes
COLFAX-PERRY TWP PL		Evergreen Indiana	Yes
CONVERSE-JACKSON TWP PL		Follett Destiny	Yes
COVINGTON-VEEDERSBURG PL	AVC Technology	Book Systems Atriuum	Yes
CRAWFORD CO PL		Alexandria Library Automation Software	Yes
CRAWFORDSVILLE DISTRICT PL	AVC Technology	Polaris Library Systems	Yes
CROWN POINT COMMUNITY PL	Banyon Data Systems	Innovated Interfaces, Inc.	Yes
CULVER-UNION TWP PL	CompuTrain	Evergreen Indiana	Yes
DANVILLE-CENTER TWP PL	AVC Technology	Polaris Library Systems	Yes
DARLINGTON PL			No
DELPHI PL	CompuTrain LAP	SirsiDynix Symphony	Yes
DUBLIN PL		Evergreen Indiana	Yes
DUNKIRK PL	AVC Technology	Evergreen Indiana	Yes
EARL PARK PL		Mandarin Library Automation M3	Yes
EAST CHICAGO PL	Blackbaud Fundware 7.60	Innovated Interfaces, Inc.	Yes
ECKHART PL	American Fundware	The Library Corporation Library.Solution	Yes
EDINBURGH WRIGHT-HAGEMAN PL	AVC Technology	AVC Technology	Yes
ELKHART PL	Banyon Data Systems	Polaris Library Systems	Yes
EVANSVILLE-VANDERBURGH PL	MAS 90	Innovative Interfaces, Inc. Innopac	Yes
FAIRMOUNT PL		Koha	Yes
FARMLAND PL	AVC Technology	Biblionix Apollo	Yes
FAYETTE CO PL	AVC Technology	SirsiDynix Symphony	Yes
FLORA-MONROE TWP PL	CompuTrain	Evergreen Indiana	Yes
FORT BRANCH-JOHNSON TWP PL	AVC Technology	Polaris Library Systems	Yes
FORTVILLE-VERNON TWP PL	AVC Technology	AVC Technology FX	Yes
FRANCESVILLE-SALEM TWP PL		Infovision Evolve	Yes
FRANKFORT-CLINTON CO CONTRACTUAL PL	AVC Technology	Polaris Library Systems	Yes
FRANKLIN CO PL DISTRICT	AVC Technology	Evergreen Indiana	Yes
FREMONT PL	CompuTrain	TLC The Library Corporation Library.Solution	Yes

FULTON CO PL	CompuTrain	Evergreen Indiana	Yes
GARRETT PL	AVC Technology	TLC The Library Corporation	Yes
GARY PL	Accufund	SirsiDynix	Yes
GAS CITY-MILL TWP PL	CompuTrain	Polaris Library Systems	Yes
GOODLAND & GRANT TWP PL		Koha	Yes
GOSHEN PL	CompuTrain LAP	SirsiDynix	Yes
GREENSBURG-DECATUR CO CONTRACTUAL PL	AVC Technology	Evergreen Indiana	Yes
GREENTOWN & EASTERN HOWARD SCHOOL PL	CompuTrain	Evergreen Indiana	Yes
GREENWOOD PL	AVC Technology	Evergreen Indiana	Yes
HAGERSTOWN-JEFFERSON TWP PL	AVC Technology	Evergreen Indiana	Yes
HAMILTON EAST PL	Keystone	SirsiDynix Unicorn	Yes
HAMILTON NORTH PL	CompuTrain	Evergreen Indiana	Yes
HAMMOND PL	AVC Technology	Innovative Interfaces, Inc. Millennium	Yes
HANCOCK CO PL	BUCS Fund Accounting	SirsiDynix	Yes
HARRISON CO PL	CompuTrain	SirsiDynix Symphony	Yes
HARTFORD CITY PL		Evergreen Indiana	Yes
HENRY HENLEY PL			No
HUNTINGBURG PL	CompuTrain	Evergreen Indiana	Yes
HUNTINGTON CITY-TWP PL	AVC Technology	SirsiDynix	Yes
HUSSEY-MAYFIELD MEMORIAL PL	Blackbaud Fundware	Evergreen Indiana	Yes
INDIANAPOLIS-MARION CO PL	Blackbaud - The Financial Edge	SirsiDynix Horizon	Yes
JACKSON CO PL	AVC Technology	Evergreen Indiana	Yes
JASONVILLE PL		Follett	No
JASPER CO PL	AVC Technology	TLC The Library Corporation	Yes
JASPER-DUBOIS CO CONTRACTUAL PL	AVC Technology	TLC The Library Corporation Library.Solution	Yes
JAY CO PL	AVC Technology	Evergreen Indiana	Yes
JEFFERSON CO PL	AVC Technology	Evergreen Indiana	Yes
JEFFERSONVILLE TWP PL	AVC Technology	Infor Library and Information Solutions Vubis	Yes
JENNINGS CO PL	CompuTrain	Evergreen Indiana	Yes
JOHNSON CO PL	Banyon Data Systems	SirsiDynix	Yes
JONESBORO PL			No
JOYCE PL			No
KENDALLVILLE PL	Banyon Data Systems	Evergreen Indiana	Yes
KENTLAND-JEFFERSON TWP PL	CompuTrain	Mandarin Library Automation M3	Yes
KEWANNA-UNION TWP PL		Evergreen Indiana	Yes
KINGMAN-MILLCREEK PL		Follett Catalog/Circulation Plus	No

KIRKLIN PL		Evergreen Indiana	Yes
KNIGHTSTOWN PL		Libraryworld	Yes
KNOX CO PL		Innovative Interfaces, Inc.	Yes
KOKOMO-HOWARD CO PL	CYMA	Innovative Interfaces, Inc. Millennium	Yes
LA CROSSE PL	CompuTrain	Follett Destiny	Yes
LA GRANGE CO PL	Peachtree	Evergreen Indiana	Yes
LA PORTE CO PL	Blackbaud FundWare	Innovated Interfaces, Inc.	Yes
LADOGA-CLARK TWP PL		Evergreen Indiana	Yes
LAKE CO PL	CompuTrain	SirsiDynix Horizon 7.5	Yes
LAWRENCEBURG PL	Banyon Data Systems	Polaris Library Systems	Yes
LEBANON PL	CompuTrain	Evergreen Indiana	Yes
LIGONIER PL		Evergreen Indiana	Yes
LINCOLN HERITAGE PL	Quickbooks Pro 25	Evergreen Indiana	Yes
LINDEN CARNEGIE PL		Evergreen Indiana	Yes
LINTON PL	Banyon Data Systems	Evergreen Indiana	Yes
LOGANSPORT-CASS CO PL	CompuTrain	Polaris Library Systems	Yes
LOOGOOTEE PL		Evergreen Indiana	Yes
LOWELL PL	AVC Technology	SirsiDynix Horizon	Yes
MARION PL	CompuTrain	SirsiDynix Horizon	Yes
MATTHEWS PL			No
MELTON PL	CompuTrain	Evergreen Indiana	Yes
MICHIGAN CITY PL	Banyon Data Systems	SirsiDynix Symphony	Yes
MIDDLEBURY COMMUNITY PL	CompuTrain	TLC The Library Corporation	Yes
MIDDLETOWN FALL CREEK TWP PL	AVC Technology	Evergreen Indiana	Yes
MILFORD PL	AVC Technology	Evergreen Indiana	Yes
MISHAWAKA-PENN-HARRIS PL	CompuTrain	Innovative Interfaces, Inc. Millennium	Yes
MITCHELL COMMUNITY PL		Evergreen Indiana	Yes
MONON TOWN & TWP PL	CompuTrain	Evergreen Indiana	Yes
MONROE CO PL	Banyon Data Systems	Polaris Library Systems	Yes
MONTEREY-TIPPECANOE TWP PL		Infovision Evolve	Yes
MONTEZUMA PL	AVC Technology	Book Systems Concourse	No
MONTICELLO-UNION TWP PL	CompuTrain	Evergreen Indiana	Yes
MONTPELIER-HARRISON TWP PL	Excel	Follett	No
MOORESVILLE PL	CompuTrain	Evergreen Indiana	Yes
MORGAN CO PL	AVC Technology	Evergreen Indiana	Yes
MORRISSON REEVES LIBRARY	AVC Technology	SirsiDynix Symphony	Yes
MUNCIE-CENTER TWP PL	Banyon Data Systems	TLC The Library Corporation	Yes
NAPPANEE PL	CompuTrain LAP	EOS International Q-Series	Yes
NEW ALBANY-FLOYD CO PL	Kintera Fundware	SirsiDynix Horizon	Yes
NEW CARLISLE & OLIVE TWP PL	CompuTrain LAP	Follett Destiny	Yes
NEW CASTLE-HENRY CO PL	AVC Technology	SirsiDynix Symphony	Yes

NEW HARMONY WORKINGMEN'S INSTITUTE	CompuTrain	Sagebrush Athena	Yes
NEWTON CO PL	AVC Technology	Evergreen Indiana	Yes
NOBLE CO PL	CompuTrain	Evergreen Indiana	Yes
NORTH JUDSON-WAYNE TWP PL	CompuTrain	Sagebrush Winnebago Spectrum	Yes
NORTH MADISON CO PL SYSTEM	AVC Technology	The Library Corporation Library.Solution	Yes
NORTH MANCHESTER PL	AVC Technology	Follett Destiny	Yes
NORTH WEBSTER COMMUNITY PL		Evergreen Indiana	Yes
OAKLAND CITY-COLUMBIA TWP PL	AVC Technology	Infovision Evolve	Yes
ODON WINKELPLECK PL		Evergreen Indiana	Yes
OHIO CO PL	Banyon Data Systems	Follett Destiny	Yes
OHIO TWP PL SYSTEM	Banyon Data Systems	Polaris Library Systems	Yes
ORLEANS TOWN & TWP PL	CompuTrain	Book Systems Atriuum	Yes
OSGOOD PL	AVC Technology	Evergreen Indiana	Yes
OTTERBEIN PL		Evergreen Indiana	Yes
OWEN CO PL	CompuTrain	SirsiDynix	Yes
OWENSVILLE CARNEGIE PL	CompuTrain	Infovision Evolve	Yes
OXFORD PL		Evergreen Indiana	Yes
PAOLI PL	CompuTrain LAP	Evergreen Indiana	Yes
PEABODY PL	Banyon Data Systems	SirsiDynix	Yes
PENDLETON COMMUNITY PL	CompuTrain	Polaris Library Systems	Yes
PENN TWP PL			No
PERU PL		SirsiDynix	Yes
PIERCETON & WASHINGTON TWP PL	Excel		No
PIKE CO PL	AVC Technology	Evergreen Indiana	Yes
PLAINFIELD-GUILFORD TWP PL	Banyon Data Systems	Evergreen Indiana	Yes
PLYMOUTH PL	CompuTrain	Innovated Interfaces, Inc.	Yes
PORTER CO PL SYSTEM	CompuTrain	SirsiDynix Horizon	Yes
POSEYVILLE CARNEGIE PL	QuickBooks	Evergreen Indiana	Yes
PRINCETON PL	AVC Technology	Evergreen Indiana	Yes
PULASKI CO PL	AVC Technology	Infovision Evolve	Yes
PUTNAM CO PL		Polaris Library Systems	Yes
REMINGTON-CARPENTER TWP PL	AVC Technology	Follett Destiny	Yes
RIDGEVILLE PL			No
ROACHDALE-FRANKLIN TWP PL		Evergreen Indiana	Yes
ROANN PAW-PAW TWP PL			No
ROANOKE PL		Evergreen Indiana	Yes
ROCKVILLE PL		Follett	Yes
ROYAL CENTER-BOONE TWP PL			No

RUSHVILLE PL		Polaris Library Systems	Yes
SALEM-WASHINGTON TWP PL		Follett InfoCentre	Yes
SCOTT CO PL	AVC Technology	Polaris Library Systems	No
SHELBYVILLE-SHELBY CO PL	AVC Technology	AVC Technology	Yes
SHERIDAN PL	AVC Technology	AVC Technology	Yes
SHOALS PL		Evergreen Indiana	Yes
SOUTH WHITLEY-CLEVELAND TWP PL	CompuTrain	Evergreen Indiana	Yes
SPEEDWAY PL	Blackbaud Fundware	SirsiDynix	Yes
SPENCER CO PL	Computrain (payroll only)	Evergreen Indiana	Yes
SPICELAND TOWN-TWP PL			No
ST JOSEPH CO PL	CompuTrain	Innovative Interfaces, Inc. Millennium	Yes
STARKE CO PL SYSTEM	CompuTrain LAP	Polaris Library Systems	Yes
SULLIVAN CO PL	AVC Technology	Innovated Interfaces, Inc.	No
SWAYZEE PL			No
SWITZERLAND CO PL	AVC Technology	Evergreen Indiana	Yes
SYRACUSE-TURKEY CREEK TWP PL	AVC Technology	Evergreen Indiana	Yes
TELL CITY-PERRY CO PL	CompuTrain	Evergreen Indiana	Yes
THORNTOWN PL	CompuTrain	Evergreen Indiana	Yes
TIPPECANOE CO PL	Banyon Data Systems	SirsiDynix Symphony 3.3.1	Yes
TIPTON CO PL	CompuTrain LAP	SirsiDynix Horizon	Yes
TYSON LIBRARY ASSOCIATION, INC	Quickbooks	Evergreen Indiana	Yes
UNION CITY PL	AVC Technology	Evergreen Indiana	Yes
UNION CO PL		Evergreen Indiana	Yes
VAN BUREN PL	CompuTrain	Evergreen Indiana	Yes
VERMILLION CO PL		Evergreen Indiana	Yes
VIGO CO PL	American Fundware	Innovated Interfaces, Inc.	Yes
WABASH CARNEGIE PL	AVC Technology	Polaris Library Systems	Yes
WAKARUSA-OLIVE & HARRISON TWP PL		SirsiDynix	Yes
WALKERTON-LINCOLN TWP PL		Surpass Central	No
WALTON & TIPTON TWP PL	AVC Technology	AVC Technology FX	Yes
WANATAH PL		Follett	No
WARREN PL		Evergreen Indiana	Yes
WARSAW COMMUNITY PL	Banyon Data Systems	TLC The Library Corporation	Yes
WASHINGTON CARNEGIE PL	CompuTrain LAP	Follett Destiny	Yes
WASHINGTON TWP PL		Evergreen Indiana	Yes
WATERLOO-GRANT TWP PL	CompuTrain	Evergreen Indiana	Yes
WAVELAND-BROWN TWP PL		Evergreen Indiana	Yes
WELLS CO PL	AVC Technology	SirsiDynix	Yes
WEST LAFAYETTE PL		Evergreen Indiana	Yes

WEST LEBANON-PIKE TWP PL		Evergreen Indiana	Yes
WESTCHESTER PL	AVC Technology	Polaris Library Systems	Yes
WESTFIELD-WASHINGTON PL	AVC Technology	Evergreen Indiana	Yes
WESTVILLE-NEW DURHAM TWP PL			No
WHITING PL	AVC Technology	SirsiDynix Unicorn	Yes
WILLARD LIBRARY OF EVANSVILLE	Peachtree	EOS International Web Express	Yes
WILLIAMSPORT-WASHINGTON TWP PL	AVC Technology	Follett	Yes
WINCHESTER COMMUNITY PL	AVC Technology	Evergreen Indiana	Yes
WOLCOTT COMMUNITY PL		Evergreen Indiana	Yes
WORTHINGTON JEFFERSON TWP PL		Evergreen Indiana	Yes
YORK TWP PL			No
YORKTOWN-MOUNT PLEASANT TWP PL	Keystone Key Budget	Follett Destiny	Yes

Chapter 13

Library Capital Projects Fund (LCPF)

On March 19, 2012, Governor Mitch Daniels signed into law House Enrolled Act 1072 ("HEA 1072"). Section 124 of HEA 1072 amends IC 36-12-12-5 so that a library board is no longer required to submit its resolution establishing a capital projects fund ("CPF") and its CPF plan to the Department of Local Government Finance ("Department") and the Department can no longer require that a Notice of Submission be provided to taxpayers.

Instead, if the library board passes a resolution establishing a CPF and the appropriate fiscal body or bodies approve the CPF plan, the library board must publish a Notice of Adoption in accordance with IC 5-3-1-2(i).

Ten or more taxpayers who will be affected by the adopted plan may file a petition with the county auditor of a county in which the library district is located not later than ten days after the publication of the Notice of Adoption. The petition must set forth the taxpayers' objections to the proposed plan and the county auditor must immediately certify the petition to the Department.

This amendment takes effect July 1, 2012.

A. How can the LCPF be used?

1) A facility used or to be used by the Library District
   (a) planned construction, repair, replacement or remodeling
   (b) site acquisition
   (c) site development
   (d) repair, replacement or site acquisition that is necessitated by an emergency
2) the purchase, lease or repair of equipment to be used by the Library District
3) The purchase, lease, upgrading, maintenance or repair of computer hardware or software including hiring a computer expert to manage the computer operations, purchase and/or subscription to online databases

B. How does one do the bookkeeping of a Library Capital Projects Fund?

The LCPF is set up as a separate ledger account using the same format as a gift fund, 3 columns: received, disbursed, and balance.

If more detail is wanted, a separate hand or computer ledger with columns for each LCPF line item can be set up in the same format as the Library Financial and Appropriation Record.

A sample of the Library Financial and Appropriation Record can be found in the Appendix (A-1) of the Accounting and Uniform Compliance Guidelines Manual for Libraries (reissued 2010).

New legislation in 2012 session eliminates the need to submit the plan to the DLGF with the advertisement requirements. These duties are conducted by the County Auditor.

STATE OF INDIANA

DEPARTMENT OF LOCAL GOVERNMENT FINANCE

INDIANA GOVERNMENT CENTER NORTH
100 NORTH SENATE AVENUE N1058(B)
INDIANAPOLIS, IN 46204
PHONE (317) 232-3777
FAX (317) 232-8779

MEMORANDUM

TO: **Library Directors**

FROM: **Dan Jones, Assistant Director, Budget Division**

SUBJECT: **Library Capital Projects Fund (IC 36-12-12)**

DATE: **July 14, 2011**

INTRODUCTION

The purpose of this Bulletin is to outline the policy and procedures of the Department of Local Government Finance ("Department") regarding the Library Capital Projects Fund ("LCPF"). This Bulletin includes a Glossary of Terms and provides guidance for completing the LCPF Summary Page and supersedes all previous LCPF Bulletins.

The LCPF is a fund for which a Library District may levy property taxes to be used to pay for the following (IC 36-12-12-2):

1) A facility used or to be used by the Library District, including:
   a) Planned construction, repair, replacement or remodeling;
   b) Site acquisition;
   c) Site development; and
   d) Repair, replacement or site acquisition that is necessitated by an emergency;

2) The purchase, lease or repair of equipment to be used by the Library Districts; and

3) The purchase, lease, upgrading, maintenance or repair of computer hardware or software.

Before a Library Board may collect property taxes for an LCPF in a particular year, the Library Board must, **after January 1 and before May 15** of the immediately proceeding year (IC 36-12-12-3):

1) Hold a public hearing on a proposed Library Capital Projects Plan ("Plan");

2) Pass a resolution to adopt a Plan; and

3) Submit the Plan for approval or rejection by the fiscal body.

TIMELINE FOR ESTABLISHING AN LCPF

Steps 1 through 4 must be completed after January1 and ***before*** May 15. (IC 36-12-12-3.)

1) The Library Board prepares a proposed **LCPF Plan** and **LCPF Plan Summary** in the year **before** the taxes are to be collected. This Plan must specify anticipated expenditures along with revenue estimates, tax rates to be charged and estimated assessed valuation. The Plan must apply to at least the three years immediately following the year the Plan is adopted. The format of the LCPF Plan is included in this memo. The library board may, for each year in which a Plan is adopted, impose a property tax rate that does not exceed **$.0167** per $100 of assessed valuation as limited by IC 36-12-12-10. The LCPF levy is within the maximum property tax levy limit beginning with taxes payable in 2009.

2) Senate Enrolled Act 1, which was signed December, 2003, added IC 6-1.1-18-12 to define "maximum rate" for taxes first due and payable after 2003. It requires the maximum rate of the LCPF to be adjusted each time an annual adjustment to real property takes place or each time a general reassessment takes place. It establishes a formula for determining a new maximum rate. The Department will compute the rate adjustment.

3) Pursuant to IC 36-12-12-3, the Library Board must give at least a ten-day notice of Public Hearing on the proposed LCPF Plan. A sample of the hearing notice form to be used for the advertising is included in this memo. **The notice of the public hearing shall be published one time in two newspapers at least ten days before the date of the hearing.** If two newspapers do not exist in the Library District, the Library Board should refer to IC 5-3-1-4 for the proper publication procedure. The Notice to Taxpayers must specify planned expenditures and allocations for future projects for a minimum of three years, estimates of revenue, proposed tax rates and estimated assessed valuation for the same years.

4) According to IC 36-12-12-4, after considering the comments and contentions presented at the Public Hearing, the Library Board may pass a resolution to adopt the proposed Plan. The Secretary of the Library Board shall submit a copy of the Plan to the appropriate fiscal body **within ten days after the Library Board passes the resolution,** along with a certificate that the attached is a complete transcript of the proceedings of the Plan Adoption. The following documents should be maintained in the Library Offices for public inspection:

   a) A certified copy of the Plan adopted by the Library Board;
   b) Proper proofs of publication and
   c) A copy of the Library Board's resolution adopting the Plan.

5) Under IC 36-12-12-4, the fiscal body shall hold a public hearing on the Plan not later than 30 days after receiving a certified copy of the Plan and advertise the public hearing to consider the Plan one time at least ten days prior to the hearing in accordance with IC 5-3-1-2. The advertisement should include the date, time, and location of the meeting and does not need to include the complete Plan summary.

Sample fiscal body notices are included in this memo. The appropriate fiscal body, as specified in IC 36-12-12-4, is:

a) The Town Council if the Library District is located entirely within the corporation boundaries of a town.

b) The City Common Council if the Library District is located entirely within the Corporation boundaries of a city.

c) The Township Advisory Board if the Library District is not located entirely within the corporation boundaries of a city or town but is located entirely within the corporation boundaries of a Township.

d) The Common Council of each county in which the Library District is located if the Library District is not located entirely within the corporation boundaries of a city, town or single township.

e) The City-County Council if the Library District is not located entirely within the corporation boundaries of a city, town or township and is located in a county with a consolidated city.

6) The appropriate fiscal body shall advertise and hold a public hearing on the Plan within 30 days after receiving a certified copy of the Plan from the Library Board. The fiscal body will either reject or approve the Plan **before August 1** of the year the Plan is received (IC 36-12-12-4). (See sample FISCAL BODY RESOLUTION form included in this memo). If the Plan is approved by the fiscal body, the Library Board shall submit the following to the Department **on or before September 20 of the year immediately preceding the year in which the Plan is to take effect**:

a) a certified copy of the Plan including a Plan summary sheet and a description of the allocation of future projects if applicable;
b) the Library Board's resolution approving the Plan;
c) Certificate of Submission to the Fiscal Body;
d) the Library Fiscal Body's resolution approving/rejecting the Plan;
e) proofs of publication of the Library Board's notice of public hearing;
f) proofs of publication of the Fiscal Body's notice of public hearing; and
g) the Procedure Checklist (included at the end of this memo).

Under IC 36-12-12-5, if the Department determines that:

1. the Library Board has properly advertised the Plan;

2. the Plan was timely adopted by the Library Board and timely approved by the appropriate fiscal body;

3. the Plan conforms to the format prescribed by the Department; and

4. the Plan was timely filed with the Department;

the Department will require the Library to publish a Notice of Adoption of Plan to local taxpayers. If the Plan fails to conform to the above requirements the Plan will be returned. Further submissions must conform to the above-stated time requirements.

7) After receiving the Plan and other required documentation, the Department will notify the Library Board to advertise a Notice of Submission one time. The Department will prepare the Notice of Submission. (A sample Notice of Submission is included with this memo.) This advertising should be made in accordance with IC 5-3-1-2(b). Ten or more taxpayers who will be affected by the adopted Plan may file a petition with the County Auditor of a county in which the library district is located not later than ten days after publication of the Notice of Submission, setting forth their objections to the proposed Plan. The County Auditor shall immediately certify the petition to the Department(IC 36-12-12-5).

8) The Department will, within a reasonable time, fix a date for a local hearing on the petition filed. The hearing will be held in a county in which the Library District is located and the Department will notify:

   a) the Library Board, and
   b) the first ten (10) taxpayers whose names appear upon the petition.

   This notice will be given at leave five days before the date of the hearing. (IC 36-12-12-6.)

9) After a hearing on the petition, the Department will certify its approval, disapproval or modification of the Plan to the Library Board and the County Auditor. The action of the Department with respect to the Plan is final. The Library Board or taxpayers who signed a petition of objection may appeal the Department's decision to the Tax Court within 45 days. (IC 36-12-12-7.)

10) If no petition objecting to the Plan is filed with the County Auditor, **within ten days following the objection period, the unit must submit proofs of publication of the Notice of Submission and County Auditors Certificate of No Remonstrance to the Department**. Upon receipt, the Department will issue its order approving or denying the Plan. Please note that it is the Library's responsibility to obtain the Auditor's Certificate of No Remonstrance from the County Auditor.

BUDGET APPROVAL

In addition to annually adopting a Plan, the Library District must incorporate the Plan into the ensuing year's Library Budget and advertisement in accordance with IC 6-1.1-17, to receive funding. All budget forms are to be used in preparing the annual budget for the LCPF. Budget Form 4-B is commonly referred to as the 16-line statement. Line 1 of the Form 4-B is the annual budget appropriation for the ensuing year. Items 1 through 6 of the Plan Summary Page are to be included on Line 1of Form 4-B. The Allocation For Future Projects—Item 7 of the Plan Summary Page—is included on Line 11 of Form 4-B. Line 11 is referred to as the operating balance.

The Library Board will advertise and adopt the appropriations and levy for the LCPF annually

using the regular budget calendar. Even though the rate is not advertised with the annual budget, it must be adopted in the Plan and included on Budget Form 4B.

The Library Board will supply a copy of the Plan and Department approval Order to the Department Hearing Officer for review of the annual budget. The budget order issued by the Department will approve LCPF appropriations, tax rate and levy where they are consistent with an approved Plan.

EMERGENCY AMENDMENT OF PLAN

Indiana Code 36-12-12-9 allows a Library Board to amend its Plan because of an Emergency. Under IC 36-12-12-1, "emergency" means:

1) when used with respect to repair or replacement, a fire, flood, windstorm, mechanical failure of any part of a structure, or other unforeseeable circumstance; and
2) when used with respect to site acquisition, the unforeseeable availability of real property for purchase.

The Plan may be amended due to an emergency to:

a) provide money for the purposes of repair, replacement or site acquisition that is necessitated by an emergency; and
b) to supplement money accumulated in the Emergency Allocation of the Plan.

The following steps must be completed to amend a capital projects Plan:

1) When an emergency arises and the need for funds exceeds the amount accumulated in the Emergency Allocation, the Library Board must immediately apply to the Department for a determination that an emergency exists. The Department should be notified by telephone and in writing (preferably by fax or email) of the library's request for amendment of its Plan. The request for a determination should include identification of where in the library system the emergency has occurred, a description of the emergency, the proposed amendment, and the changes and additions to the expenditures and revenue by Plan year necessary to amend the LCPF Plan. The Library Director may contact the Assistant Director of the Budget Division of the Department at (317) 232-0651 regarding the amendment. Amendment requests may be faxed to the Department Budget Division at (317) 232-8779.

2) After the Department issues its determination that an emergency exists, the Library Board will amend its Plan at a regular public meeting and forward its resolution to the Department. The amendment is not subject to the deadlines and procedures for adoption of the original Plan. The form of the resolution would be to reduce a designated project(s) and increase the Emergency Allocation. If the amendment requires use of any part of the Allocation for Future Projects, the library will also need to process an additional appropriation.

3) The resolution is subject to modification by the Department. An amendment adopted may require the payment of eligible emergency costs from:
    a) money accumulated in the LCPF for other purposes; or
    b) money to be borrowed from other funds of the Library Board or from a financial institution.

4) The amendment may also provide for an increase in the property tax rate for the ensuing budget year for the LCPF to restore money to the fund or to pay principal and interest on a loan. Before the property tax rate may be increased, the Library Board must submit a Plan containing the increase to the fiscal body and obtain the approval of that fiscal body as provided in IC 36-12-12-4. **The increase in the property tax rate for the LCPF is effective for property taxes payable for the year next certified by the Department. However, the rate is not to exceed the maximum rate established under IC 36-12-12-10 and the levy is considered within the maximum levy controls.**

COMPUTER REPAIR PERSONNEL

A Library may adopt a Plan to pay for the services of full or part-time computer repair personnel. These items should be incorporated into Item 6 on the LCPF SUMMARY (purchase, lease, maintenance, and repair of computer hardware).

ALLOCATION FOR FUTURE PROJECTS

The Allocation for Future Projects allows the library to levy property taxes in a current year for expenditure in a future year, if the specific use is identified in the Plan. A taxpayer or the Department hearing officer should be able to clearly determine the proposed use and cost of the future project. When preparing the ensuing year's LCPF budget, the Allocation for Future Projects should be included in Line 11 of Budget Form 4-B. It should not be appropriated, since its expenditure is planned for a future year, as documented in the Plan.

APPROPRIATION IN A YEAR EARLIER THAN PLANNED

An opportunity also exists to convert the projects planned for second, third or future years of the Plan into a current appropriation during the current budget year of the Plan.

The following conditions apply:

1) the Plan must be specific as to the need to be addressed and the manner in which it will be addressed;
2) the library must proceed with an additional appropriation. The Notice to Taxpayers of the additional appropriation must state the fund name, a description of the project and the project cost; and
3) this course of action results in the appropriation of all or part of the Plan's current year Allocation for Future Projects.

LIBRARY CPF PLAN FORMAT

The Plan **must be prepared annually** using the following format:

1) General description of the Library District:
   a) Library Taxing District;
   b) name and location of library, including contact person's name, address, phone number and e-mail address;
   c) composition of the governing body;

d) number of employees;
e) current annual budget in Operating, Library Improvement Reserve (LIRF) and Bond and Interest Redemption (BIRF) funds and Capital Projects Fund; and
f) current annual property tax rates and levies for all funds.

2) Listing of present facilities operated and maintained by the Library District:
   a) With respect to each facility:
      1) name and location;
      2) year constructed, leased or rented;
      3) estimated current value; and
      4) detailed evaluation of condition; and
   b) Identification and description of all land owned for future needs.

3) Library Service Area
   a) area in square miles;
   b) population served; and
   c) annual statistics of service (i.e., circulation of materials, collection size, hours of service, etc.)

4) Anticipated Capital Projects Fund Resources that will be available for the term of the Plan. For each year of the Plan (show also on the Plan Summary Page) include the f following:
   a) sources and amounts of anticipated income;
   b) amount of revenue to be retained for expenditures proposed for a later year;
   c) projected assessed valuation of the Library District for each year of the Plan; and
   d) projected tax rates and levies for the LCPF based on the above assessed valuations.

5) Proposed use of the LCPF:
   A) Includes, by Plan year and location, the proposed expenditures from the fund for all specific uses within the following areas:
      1) Planned facility needs:
         a) new construction;
         b) repair;
         c) replacement;
         d) remodeling; and
         e) lease or rental of existing real estate;
      2) Acquisition of real property;
      3) Site development;
      4) Emergency allocation (repair, replacement or site acquisition that is necessitated by an emergency);
      5) Purchase, lease, repair and maintenance of Equipment
         a) administration;
         b) public use;
         c) mechanical; and
         d) furniture.

      6) Computer hardware and software

a) purchase or lease; and
b) maintenance and repair.

B) Includes, by Plan year, location and project or specific purpose, allocation for proposed expenditures beyond the upcoming budget year (Allocation for Future Projects).

Failure to comply with the above format may be cause for rejection of the Plan.

DISCONTINUING THE CAPITAL PROJECT FUND

The General Assembly combined the Library Operating Fund and the Capital Project Fund (CPF) for purposes of performing the maximum levy calculation. As a result, little incentive remains for a library to undergo the annual process of updating and adopting a new Plan. A library may decide to discontinue the planning process and combine the remaining fund balance in the CPF with the Operating Fund balance or the Rainy Day Fund balance, or both.

The procedure for closing the Capital Project Fund is to not prepare a new Plan for the ensuing budget year. The existing fund and the certified budget remain in existence until year-end. Both revenues and expense may be posted to the fund until year-end. In fact, the fund must remain active to receive the final tax distribution which is typically in December. After the final tax settlement, the fiscal body of the library may adopt an ordinance to close the fund and transfer the remaining fund balances to either the Operating Fund or the Rainy Day Fund. The ordinance may direct any remaining balances to both funds.

Next year's operating fund budget may be prepared by combining the CPF fund balances and appropriations into the operating fund in anticipation of closing the CPF. The Notice to Taxpayers advertisement for the following year's budget will show the budget and levy amounts for the operating fund as including the CPF amounts.

NOTE: Libraries that prefer to continue spending from the CPF must continue to update and adopt the Plan annually.

GLOSSARY OF TERMS

The following definitions apply to LCPF.

1) **REPAIR** means the restoration of a piece of equipment, a building or land from worn, damaged or deteriorated condition to or near its original condition.

2) **EQUIPMENT** means a mobile or fixed unit of furniture or furnishings, an instrument or set of articles meeting the following conditions:
   a) It retains the original shape.
   b) It is non-expendable, which means that if the article is damaged or some of its parts are lost or worn out, it is usually more feasible and economical to repair it than replace it with an entirely new unit.
   c) It represents an investment of money that makes it feasible and advisable to capitalize the item.
   d) It does not lose its identity through incorporation into a different or more complex unit.

3) **EMERGENCY** is defined with respect to the LCPF as follows:
   a) Repair or replacement of buildings or equipment caused by a fire, flood, windstorm, mechanical failure, or other unforeseen circumstances, and
   b) The unforeseeable availability of real property for purchase when referring to site acquisition.

COMPLETING THE LIBRARY CAPITAL PROJECTS FUND SUMMARY PAGE:

The purpose of the Summary Page is to summarize the expenditures, allocations, transfers, and revenues for the Plan. The general format is the same as the public notices for the Plan.

CURRENT EXPENDITURES is a summary of the planned expenditures noted in each major classification in your LCPF Plan for each year of the Plan for all locations.

SUBTOTAL CURRENT EXPENDITURES is the amount of expenditures, which require appropriation, that a unit plans to make in a given year.

ALLOCATION FOR FUTURE PROJECTS (AFP) is the amount of funds that will accumulate or continue accumulating for projects to be expended in the second, third, or future year of the Plan. Any AFP(s) should be clearly noted on the appropriate location page(s) in the Plan. If a unit plans to expend the AFP in the second or third years, this will increase the current expenditures and decrease the AFP. If a unit does not intend to spend the AFP in the second or third years, the AFP for those years should show the total expected will be accumulated at the end of the year. The AFP budgeted in the third year should include the amount accumulated in years one and two, plus what will be accumulated during year three. The summary page of the AFP should be cumulative summation of the AFP from each location.

CASH BALANCE AVAILABLE TO FUND THE PLAN: For libraries beginning the first year of their first Plan, the beginning cash balance will be zero (0). For libraries that have a Plan in effect, the January 1 cash balance of the first year will equal the estimated year-end cash balance **plus** the amount of unexpended appropriations. The Plan should explain any unexpended

appropriation from the prior year and note the total dollar amount of unexpended appropriations. For the second and third years of the Plan, assume that funded appropriations carried forward from the previous year have been exhausted. Under normal circumstances, the projected January 1 cash balance for the second and third years of the Plan will be the prior years' allocation of future projects (AFP).

ESTIMATED EXCISE, CVET AND FIT are estimates of revenue prepared in the same manner as the annual budget for other funds.

OTHER REVENUE refers to income to the fund other than property taxes such as interest income.

PROJECTED TAX RATE will be the estimated tax rate necessary to fund the Plan.

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OTHER REVENUE refers to income to the fund other than property taxes such as interest income.

PROJECTED TAX RATE will be the estimated tax rate necessary to fund the Plan.

RESOLUTION TO ADOPT LIBRARY CAPITAL PROJECTS FUND PLAN

This resolution is adopted by the Library Board of _____
(Library Name)
of _____, County, Indiana.

Whereas, a Library Capital Projects Fund has been established; and

Whereas, the Library Board is required under IC 36-12-12-3 to adopt a Plan with respect to the Library Capital Projects Fund; and

Whereas, the Library Board held a public hearing on the Plan on _____
(Date)
at _____
(Location)

THEREFORE BE IT RESOLVED, by the Library Board that the Plan entitled
_____ of _____
(Title) (Date)
is hereby incorporated by reference into this resolution, and is adopted as the Library Board's Plan with respect to the Library Capital Projects Fund.

BE IT FURTHER RESOLVED that the Library Board will submit a certified copy of this resolution (including the adopted Plan) to the appropriate local fiscal body for review and the Department of Local Government Finance under IC 36-12-12-5.

ADOPTED THIS _____ DAY OF _____, 20____.

AYE	**NAY**
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

ATTEST:

_____
Secretary of Library Board

Certificate of Submission to Appropriate Fiscal Body

I, THE UNDERSIGNED REPRESENTATIVE OF _____ PUBLIC
(Name of Library)
LIBRARY, _____ COUNTY, INDIANA, DO HEREBY CERTIFY TO THE _____
(Appropriate Fiscal Body)
_____ OF _____,
(Unit)
_____, INDIANA,
(County)

THAT THE ATTACHED IS A COMPLETE TRANSCRIPT OF THE PROCEEDINGS HELD

WITH RESPECT TO THE LIBRARY CAPITAL PROJECTS FUND PLAN ADOPTED BY

THE ABOVE NAMED LIBRARY AT A MEETING HELD ON _____.
(Date)

NOTICE

PURSUANT TO IC 36-12-12-4, THE APPROPRIATE FISCAL BODY SHALL HOLD A PUBLIC HEARING ON THIS ISSUE WITHIN THIRTY (30) DAYS OF RECEIPT AND IF THE PLAN IS APPROVED, PASS SUCH RESOLUTION BEFORE AUGUST 1 OF THE CURRENT YEAR.

Submitted this _____ day of _____, 20____ to the above named fiscal body.

_____
(Signature of Secretary of Library Board)

Instructional Note: The "Submitted" date is the date the LCPF Plan was *forwarded* to the appropriate fiscal body.

RESOLUTION OF APPROPRIATE FISCAL BODY OF ACTION ON LIBRARY CAPITAL PROJECTS PLAN

WHEREAS, the _____ has adopted a Library Capital Projects Plan
(Name of Library)

as provided for in IC 36-12-12, be it resolved that the _____, being the
(Name of Fiscal Body)

appropriate Fiscal Body for the _____ as designated in IC 36-12-12-4,
(Name of Library)

does hereby _____the Plan as received by this body on the _____ day
(Approve/Reject)

of _____, 20___.

ADOPTED THIS _____ DAY OF _____, 20____.

AYE	**NAY**
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

ATTEST:

_____
Secretary of Fiscal Body

Instructional Note: Must be adopted before August 1 of the current year.

NOTICE TO TAXPAYERS OF _____ PUBLIC LIBRARY

Notice is hereby given to the taxpayers of _____, _____ County, that the Library Board
(Library Name) (County Name)

will meet at _____, on _____ for the purpose of considering a proposal to establish a
(Location) (Date and Time)

Library Capital Projects Fund and a proposed Plan under IC 36-12-12. The following is a general outline of the proposed Plan.

CURRENT EXPENDITURES:		20___	20___	20___
(1)	Planned construction, repair, replacement, or remodeling	_____	_____	_____
(2)	Acquisition of real property	_____	_____	_____
(3)	Site development	_____	_____	_____
(4)	Emergency Allocation	_____	_____	_____
(5)	Purchase, lease, repair, and maintenance of equipment	_____	_____	_____
(6)	Purchase, lease, repair, and maintenance of computer hardware and computer software	_____	_____	_____
SUBTOTAL CURRENT EXPENDITURES		_____	_____	_____
(7)	Allocation for future projects (cumulative totals)	_____	_____	_____
TOTAL EXPENDITURES AND ALLOCATIONS		_____	_____	_____
SOURCES AND ESTIMATES OF REVENUE:				
(1) January 1, Cash balance (for each year of Plan)		_____	_____	_____
(2) Less encumbered appropriations		_____	_____	_____
(3) Cash balance available for current Plan [(1) minus (2)]		_____	_____	_____
(4) Plus Property Tax Revenue		_____	_____	_____
(5) Plus Auto Excise, CVET and Financial Institutions Tax receipts	_____	_____	_____	
(6) Plus Other revenue		_____	_____	_____
TOTAL FUNDS AVAILABLE FOR PLAN		_____	_____	_____
Based upon an anticipated assessed valuation of		_____	_____	_____
The Projected Tax Rate for the Library Capital Projects fund will be		_____	_____	_____

Taxpayers are invited to attend the meeting for a more detailed explanation of the Plan and to exercise their right to be heard on the proposal.

(Show names and titles
of board members)

(_____
(_____
(_____
(_____
(_____
(_____
(_____

Date:

Township: Sample Notice to Taxpayers by Fiscal Body (Library CPF)

NOTICE TO TAXPAYERS

The Township Board of _____Township, _____County, Indiana will hold a public hearing on the _____ day of _____, 20___, at _____a.m./p.m. at the office of the _____ Township Trustee, _____, Indiana, for
(address)
the purpose of approving the Library Capital Projects Fund Plan for the year 20___, for the
_____.
(Name of Library)

_____
Township Trustee

County: Sample Notice to Taxpayers by Fiscal Body (Library CPF)

NOTICE TO TAXPAYERS

The _____County Council, _____County, Indiana will hold a public hearing on the _____ day of _____, 20___, at _____a.m./p.m. at the _____, _____, Indiana,
(location of meeting) (address)
for the purpose of approving the Library Capital Projects Fund Plan for the year 20___, for the _____.
(Name of Library)

_____
County Auditor

City or Town: Sample Notice to Taxpayers by Fiscal Body (Library CPF)

NOTICE TO TAXPAYERS

The _____City (or Town) Council, _____County, Indiana will hold a public hearing on the _____ day of _____, 20___, at _____a.m./p.m. at the _____, _____, Indiana,
(location of meeting) (address)
for the purpose of approving the Library Capital Projects Fund Plan for the year 20___, for the _____.
(Name of Library)

_____
Clerk-Treasurer

NOTICE OF AMENDMENT

Notice is hereby given to the taxpayers of _____ Public Library of _____, County, Indiana, that the Library Board has determined that the Library Capital Projects Plan it adopted for the years 2_____ to 2_____ should be amended, did adopt a resolution to amend the said Plan at a meeting held on _____, 2_____. A brief description of the amendment is as follows:

_____

_____

_____

_____

The following is a general outline of the Plan with the proposed amendment:

		2____	2____	2____
CURRENT EXPENDITURES				
(1)	Planned construction, repair, replacement, or remodeling	_____	_____	_____
(2)	Acquisition of real property	_____	_____	_____
(3)	Site development	_____	_____	_____
(4)	Emergency Allocation	_____	_____	_____
(5)	Purchase, lease, repair, and maintenance of equipment	_____	_____	_____
(6)	Purchase, lease, repair, and maintenance of computer hardware and computer software	_____	_____	_____
SUBTOTAL CURRENT EXPENDITURES		_____	_____	_____
(7)	Allocation for future projects	_____	_____	_____
TOTAL EXPENDITURES AND ALLOCATIONS		_____	_____	_____

Ten (10) or more taxpayers in the library district who will be affected by the Plan, as amended, may file a petition with the County Auditor of _____ County, not later than ten (10) days after the publication of this notice, setting forth their objections to the amendment. Upon filing of the petition, the County Auditor shall immediately certify the same to the Department of Local Government Finance, which will fix a date and conduct a public hearing on the Plan before issuing its approval or disapproval thereof.

(Show names and titles of Board Members)

(_____
(_____
(_____
(_____
(_____
(_____
(_____

Attest:

_____
Secretary of Library Board
Date:

PROOFS OF PUBLICATION AND COUNTY AUDITORS CERTIFICATE OF NO REMONSTRANCE MUST BE FORWARDED TO THE Department NOT LATER THAN TEN (10) DAYS FOLLOWING THE OBJECTION PERIOD.

*** THIS IS A SAMPLE ONLY. THE DEPARTMENT OF LOCAL GOVERNMENT FINANCE WILL PREPARE THE SECOND NOTICE AND MAIL TO THE LIBRARY FOR ADVERTISING.**

NOTICE OF SUBMISSION

There has been filed with the Department of Local Government Finance a certified copy of the resolution adopted by the proper legal officers of (library name) establishing a capital projects fund together with proofs of publication of notice thereof, pursuant to I.C. 36-12-12.

The proper legal officers of (library name) are hereby requested by the Department of Local Government Finance to publish the following notice in accordance with I.C. 36-12-12-5(a).

PUBLISH THE FOLLOWING ONLY
(Library Name)

CURRENT EXPENDITURES:		2___	2___	2___
(1)	Planned construction, repair, replacement, or remodeling	_____	_____	_____
(2)	Acquisition of real property	_____	_____	_____
(3)	Site development	_____	_____	_____
(4)	Emergency Allocation	_____	_____	_____
(5)	Purchase, lease, repair, and maintenance of equipment	_____	_____	_____
(6)	Purchase, lease, repair, and maintenance of computer hardware and computer software	_____	_____	_____
SUBTOTAL CURRENT EXPENDITURES		_____	_____	_____
(7)	Allocation for future projects (cumulative totals)	_____	_____	_____
TOTAL EXPENDITURES AND ALLOCATIONS		_____	_____	_____

SAMPLE

SOURCES AND ESTIMATES OF REVENUE:			
January 1, Cash balance (of each year of Plan)	_____	_____	_____
Less encumbered appropriations	_____	_____	_____
Equals Cash balance available for current Plan	_____	_____	_____
Plus Auto Excise, CVET and Financial Institutions Tax receipts	_____	_____	_____
Plus Other revenue	_____	_____	_____
TOTAL FUNDS AVAILABLE FOR PLAN			
Based upon an assessed valuation of	_____	_____	_____
The Projected Tax Rate for the Library Capital Projects fund will be	_____	_____	_____

Ten or more taxpayers in the library district who will be affected by the Plan may file a petition with the County Auditor of _____ County, not later that then (10) days after publication of this notice, setting forth their objections to the Plan. Upon filing of the petition, the County Auditor shall immediately certify the same to the Department of Local Government Finance, which will fix a date and conduct a public hearing on the Plan before issuing its approval or disapproval thereof.

DEPARTMENT OF LOCAL GOVERNMENT FINANCE

_____
General Counsel

Dated this _____ day of _____, 20____

Procedure Checklist

Have you included: Y/N

Cover page with Contact Name, address, e-mail, phone number and fax number? _____
Proof of Publication of Public Hearing from Library Board _____
Certificate of Submission from Library Board to Fiscal Body _____
Proof of Publication for Public Hearing from Fiscal Body _____
Certified LCPF Plan in which you have addressed the following points _____

General Description _____
- Area of Library District
- Name of Location of Library, including contact person's information
- Composition of Governing Body
- Number of Employees
- Current Annual Budget, Property Tax Rates, and Levies for all Funds

List of Present Facilities _____
- Name and Location of each facility
- Year Constructed
- Estimated Current Value
- Detailed Evaluation of each facility
- Identification and description of land owned for future development

Library Service Area _____
- Area in square miles
- Population Served
- Annual Statistics (Circulation/Hours of Operation/Collection size, etc)

Anticipated Capital Projects Fund Resources _____
- Sources and Amount of Anticipated Income
- (Including an explanation of Jan. 1st Cash Balance for first year of Plan)
- Projected Assessed Value, Tax Rates and Levies for each year of Plan

Proposed Use of LCPF Plan _____
- Planned Facility Needs
- Acquisition of Real Property
- Site Development
- Emergency Allocations
- Purchase, Lease, Repair and Maintenance of Equipment
- Computer Hardware and Software
- Description and amount for Future Allocations

Is your Plan balanced (do Total Expenditures and Allocations = Total Funds Available for Plan)?

_____

Do the columns in your Plan add up correctly (mathematically)? _____

STATE OF INDIANA

DEPARTMENT OF LOCAL GOVERNMENT FINANCE

INDIANA GOVERNMENT CENTER NORTH
100 NORTH SENATE AVENUE N1058(B)
INDIANAPOLIS, IN 46204
PHONE (317) 232-3777
FAX (317) 232-8779

Library CPF Frequently Asked Questions

Updated July 18, 2011

PURCHASES FROM THE CPF ("CPF")

What kind of vehicles may be purchased from the CPF?

Any vehicles for library use including bookmobiles, vans, and automobiles may be purchased from the CPF.

May library materials and/or books be purchased from the CPF?

No. The CPF cannot be used to purchase library materials and/or books, with the exception of computer software.

May the CPF Plan include feasibility studies and architect fees?

Yes. The planned expenditures should be included in item one (1) ("Planned construction, repair, replacement, or remodeling") of the CPF plan summary. If the architect fees are to be reimbursed, such as in the formation of a holding corporation, the anticipated reimbursement would be included in the CPF plan summary as other revenue.

May we pay for architect fees to design a building that a holding corporation will purchase at a later date?

Yes. The CPF plan should anticipate the expenditures under item one on the plan summary. If the library anticipates reimbursement from the holding corporation, the reimbursement should be estimated under "other revenue."

What are some examples of "replacements" (Item One under current expenditures of the Plan)?

Replacements may include carpet, shelving, and computer equipment. For specific questions about what is a replacement item, contact the Department ("Department") or the State Board of Accounts ("SBOA").

Should we include a narrative section in the Plan format for site development?

Yes.

Is landscaping considered part of site development?

It depends on what type of landscaping. Please refer specific questions to the Department or SBOA.

APPROPRIATIONS

If we spend less than planned in one portion of the CPF Plan, may we transfer the surplus appropriations to another area where we would like to spend more than planned?

No. A CPF plan cannot be changed once it has been approved by the Department except in the case of an amendment approved for an emergency or an appropriation of an allocation for a future project in a year earlier than planned.

If we do not spend all of the CPF appropriations for a given year or we have encumbrances, would those amounts be included in the ensuing year's January 1 cash balance?

The January 1 cash balance on the capital projects plan summary is the estimated or anticipated cash balance for the ensuing year. If you anticipate unexpended appropriations or encumbrances for the current year's plan, then those amounts would be included in the estimated January 1 cash balance for the ensuing year. The January 1 cash balance may also include allocation for future projects from the previous year(s).

If the CPF Plan is denied and there is a cash balance, can I do an additional appropriation to spend that money?

No. If the plan is denied, you may not appropriate funds in the CPF.

THE LIBRARY'S FISCAL BODY

Must the fiscal body who approves the CPF Plan advertise for the required public hearing?

Yes. The fiscal officer must give notice of the public hearing to consider the plan. The notice must be published one (1) time at least ten (10) days before the date of the hearing in accordance with IC 5-3-1-2(b). The Library may offer to publish this notice for the fiscal body to ensure that the advertisement complies with the necessary requirements.

How do we certify copies of the CPF Plan to the local fiscal body and the Department?

A certificate of submission, signed by the library board secretary attesting to the actions of the library board in adopting the CPF plan is used for certification. A suggested certification form is included with the CPF memo.

Can the library pay for the advertisement of the fiscal body's public hearing?

Yes, the library may submit the notice to taxpayers to the appropriate newspaper and pay for the advertisement.

Is there a prescribed format for the Notice to Taxpayers of the public hearing by the fiscal body?

A suggested format is included with the CPF memo.

Some fiscal bodies (of the libraries) advertise the entire capital projects fund plan with the Notice to Taxpayers. Is this permissible?

Yes, but not required. The fiscal body only needs to advertise the date, time, and location of the hearing. The ad should also note that the fiscal body plans to discuss the library capital projects plan. A suggested format of the notice to taxpayers by the fiscal body is included with the CPF memo.

Is it possible for a fiscal body to approve appropriations for a CPF Plan but not approve a tax rate and levy?

Yes.

Can a fiscal body approve a lower tax rate and/or levy than those adopted by the library board?

Yes, but it is the responsibility of the library board/director to modify the plan to accommodate the lower rate and/or levy.

PLAN AMENDMENTS (EMERGENCIES)

May we amend the CPF Plan for non-emergency reasons?

No. Libraries may only amend the CPF plan for emergency reasons as outlined in IC 36-12-12-9.

If an emergency situation occurs and we need to use CPF moneys, how do we contact the Department?

The Department may be reached by telephone (317-232-0651) and by fax (317-232-8779). A written explanation of the emergency and the proposal for an amendment to the CPF plan must also be submitted.

What if an emergency situation occurs and the library does not have appropriations in the emergency allocation line item to cover the emergency?

The library needs to do an amendment its capital projects plan.

How quickly can an emergency amendment be approved by the Department?

The Department reviews emergency amendments to the capital projects plan as soon as possible. Please contact the Department for assistance in preparing an amendment to your plan.

ESTABLISHING THE FUND AND THE BUDGET PROCESS

If I receive an order approving the library CPF Plan, must I also go through the normal budget process??

Yes. The submission of the plan to the Department is for approval of only the library capital projects plan under IC 36-12-12-3. The budget process is subject to IC 6-1.1-17. The library CPF must be advertised and adopted as would any other fund for the ensuing budget year. Failure to do so will result in the appropriations, levy, and rate being denied.

Is the CPF the same as the Library Improvement Reserve Fund ("LIRF")?

No. Funds for accumulation in the LIRF come from the operating fund budget as a transfer to LIRF and fall within the maximum levy limit set for the operating fund. The library may levy a separate tax rate of not more than one and sixty-seven hundredths cents ($.0167) annually for accumulation of funds in the CPF.

Does the CPF replace the LIRF?

No. Both funds are permitted under Indiana law (CPF: IC 36-12-12 and LIRF: IC 36-12-3-11).

Must I go through the Plan and Budget Procedure to expend funds even if our library does not want a tax rate?

Yes. Indiana Code 36-12-12-8 states that the Department may approve appropriations from the CPF only if the appropriations conform to a plan that has been advertised and adopted.

I advertised a $.0133 rate for my CPF in my annual budget. When I received my budget order, the rate was reduced to $.005. Why didn't I get the full rate?

The library CPF is based upon the need shown in the plan. Need refers to the total current expenditures and allocation for future projects. During the budget process, the rate approved will be lowered if current expenditures and allocation for future projects can be funded at a lower rate. Also, the rate could be lower because of the adjustment made per IC 6-1.1-18-12.

REVENUES , CASH, AND OPERATING BALANCE

Where does the January 1 cash balance come from on the CPF Plan Summary?

A cash balance in the library capital projects plan can only come from allocation for future projects from the previous year(s) or unexpended appropriations from previous year(s).

A narrative within the Plan must indicate the sources of the anticipated January 1 cash balance for the ensuing year. Later year cash balances are reflective of the previous year future allocation amount.

Isn't my operating balance the same as my future allocations?

Yes, the operating balance is the amount of future allocations detailed in your plan. Keep in mind that the Department will not approve a future allocation (line 11) that is higher than what is adopted in the Plan.

ACCOUNTING FOR CPFS

What if I have money left over in my CPF and it is not appropriated for anything?

The money will remain in the fund and will be accounted for in the operating balance.

If we use the CPF to help pay for a project that includes bonds as part of the financing, do we disburse the bond proceeds through the CPF?

No. Bond proceeds for a project are disbursed through a construction fund.

What if my ensuing year's CPF Plan is denied and I have funds left over?

You will have a CPF with a cash balance. This cash balance cannot be transferred to the library operating fund unless the CPF is declared dormant.

Does the interest generated from the cash in the CPF need to be receipted to the CPF?

Yes, refer specific questions about this to the SBOA.

Do we need to set up a separate fund to account for the CPF Plan?

Yes.

Are there any special accounting guidelines associated with the CPF?

Generally this fund is handled like any other fund. Please refer specific questions to the SBOA.

Do we include our local matching funds for a CPF project in the estimates of "Other Revenue" in the CPF Plan Summary for each fiscal year?

No. Local matching funds should be appropriated in the library operating fund, LIRF, or other special fund and should not be included in the CPF plan summary or the CPF budget. A description and explanation of use of the local matching funds should be included as a part of the narrative describing the CPF plan.

OTHER

Can the public hearing be held on the same day as regular library board meeting? Can the public hearing be held one hour before the board meeting?

Yes, if advertised correctly beforehand, the public hearing for the CPF may be held on the same day as the library board meeting and can be held an hour before the board meeting or at any time specified by the advertisement of the meeting. The public hearing must be held on the date and time advertised in the notice to taxpayers.

If I am accumulating money in my future allocations for a new roof (1/3 of the cost each year) and the fiscal body denies my future allocation for the final (third) year, can I still purchase the roof if I have sufficient money in my fund?

No, but it may be possible to purchase the roof through an emergency amendment. Contact the Department.

Will the ad from the paper be sufficient proof of publication?

No, a Proof of Publication from the newspaper is the legal documentation that is required for advertisements associated with the capital projects plan.

Is the annual cost for telephone lines an allowable expense from the CPF?

No, telephone lines are not considered equipment, so the rental charges for this item are not an allowable expense.

Can the cost of internet expenses be used as an allowable expense from the CPF? (This would include educational services provided through the internet.)

The initial cost for the installation of the lines could be an allowable expense. However, the monthly fees for internet service would not qualify.

Chapter 14

Additional Appropriation and Transfer Procedures

Additional Appropriations

New legislation in 2012, HEA 1072 (section 29) amends IC 6-1.1-18-5 effective July 1, 2012 to require additional appropriations for units that have annual appropriations approved by that body before they can submit them to the DLGF. This applies to libraries when the additional appropriation causes the budget to exceed the average growth quotient even though the original budget only received the non-binding recommendation.

New subsection IC 6-1.1-18-5(k) applies to public library that

> (1) is required to submit the public library's budgets, tax rates, and tax levy for nonbinding review under IC 6-1.1-17-3-5; and
>
> (2) is not required to submit the public library's budgets, tax rates, and tax levy for binding review and approval under IC 6-1.1-17-20

If a public library subject to IC 6-1.1-18-5(k) proposes to make an additional appropriation for a year, and the additional appropriation would result in the library's budget for that year increasing (as compared to the previous year) by a percentage that is greater that the result of the average value growth quotient determined under IC 6-1.1-18.5-2 for the calendar year minus one (1), the additional appropriation must first be approved by the city, town, or county fiscal body described in IC 6-1.1-17-20.3(c) or IC 6-1.1-17-20(d), as appropriate. The library's additional appropriation must be approved by the city, town or county fiscal body, whichever is appropriate.

State grant monies, such as Build Indiana grants, that are not required to be paid back and that are itemized and earmarked for particular expenditures do not need to be appropriated by the taxing unit in order to make such expenditures. The State Technology Grant Fund is a restricted fund and expended only on broadband connectivity. Grant monies are also restricted funds and must be expended in accordance with the grant budget. These funds are not reported to DLGF.

Additional Appropriations/Transfer Procedures 2012:
www.in.gov/dlgf/files/120524_Additional_Appropriations.pdf

Transfer of Funds to and From the Rainy Day Fund

Money is never transferred out of the Rainy Day Fund. To spend money from the Rainy Day Fund requires a submitted and approved budget or an additional appropriation.

To establish the Rainy Day Fund requires a resolution. Here is a copy of the resolution found on the LDO website at www.in.gov/library/3289.htm Please see the following page for a template which can be adapted to suit your needs.

Transfers can be made to the Rainy Day Fund anytime during the year. Total transfer during the year can be no more than 10% of total budget for the current year.

Further procedures for Rainy Day Fund are outlined in Chapter 3 starting on page 3 of the State Board of Accounts Manual of Accounting for Public Libraries found online at www.in.gov/sboa/2802.htm.

Resolution to Establish a Rainy Day Fund

WHEREAS, the Board of Trustees of the _____Public Library (hereafter "Board") finds that the purposes of the _____ Fund has been fulfilled [or list specific multiple funds if applicable]; and,

WHEREAS, there remains in the fund unused and unencumbered funds, and

WHEREAS, I.C. 36-1-8-5 and I.C. 36-1-8-5.1 authorizes the board to transfer such funds, at any time during the fiscal year, to a Rainy Day Fund so long as the amount of funds transferred is not more than 10% of the library's total annual budget for the fiscal year.

NOW THEREFORE BE IT RESOLVED, that the Board does hereby establish a Rainy Day Fund for the following purpose: _____; and

BE IT FURTHER RESOLVED, that sources of funding for the Rainy Day Fund may include unused and unencumbered funds under I.C. 36-1-8-5; funds received under I.C. 6-3.5-1.1-21.1 (CAGIT); I.C. 6-3.5-6-17.3 (COIT); I.C. 6-3.5-7-17.3. (CEDIT), or any other funding source specified in any future resolution adopted under I.C. 36-1-8-5.1 which is not otherwise prohibited by law; and [modify this clause, or delete, as appropriate for your library]

BE IT FURTHER RESOLVED, that the Board acknowledges that this fund is subject to the same appropriation process as other funds that receive tax money; and

BE IT FURTHER RESOLVED, that the Board hereby transfers the balance of the _____ Fund [or list specific multiple funds if applicable] to the Rainy Day Fund, such transfer being in the amount of $_____; and

BE IT FURTHER RESOLVED, that the Board will report this transfer to the Department of Local Government Finance.

DULY ADOPTED by the Board of Trustees of the _____ Public Library at its regular meeting held on the _____ day of _____, _____, at which meeting a quorum was present.

NAY	AYE
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

ATTEST _____

SECRETARY _____

Transfer of Funds to Library Improvement Reserve Fund (LIRF)

For procedures on transferring funds to Library Improvement Reserve Fund (LIRF) see Chapter 3 starting on page 3 of the State Board of Accounts Manual of Accounting for Public Libraries found online at www.in.gov/sboa/2802.htm

The LIRF fund is established by Resolution. The money is not to be set up in a separate bank account. The transfer is authorized by a warrant from the operating fund. The actual transfer may occur at any time but needs to be completed before the appropriation expires at the end of the year.

Procedure for Additional Appropriation

The following steps must be followed to obtain an additional appropriation that was not included in the certified annual budget and certified appropriations of the unit as reflected on Line 1 of the final version of the unit's Fund Report. These procedures are followed for reporting only funds such as Rainy Day Fund and Library Improvement Reserve Fund (LIRF). For categorized budgets with the Library's operating fund see the procedure to follow for transfers of appropriations when an equal amount of appropriations are reduced in one major category and reappropriated in another major category within the same fund.

Library board gives notice of proposed additional appropriation. The notice shall state the time and place at which a public hearing will be held on the proposal. The notice shall include fund name and number, a categorical breakdown of the proposed additional appropriation for each fund, and the total of the proposed additional appropriation for each fund. The notice shall be published one time in two newspapers, if available, not less than ten (10) days before the public hearing on the proposal, in accordance with IC 5-3-1-2(b).

The library board shall hold the public hearing on the proposal as advertised. At the public hearing, action shall be taken to approve, modify, or disapprove the proposed additional appropriations as advertised. If the board tables the request until the following meeting, the additional appropriation does not have to be re-advertised provided the tabling of the request is stated publicly and included in the minutes of the correct advertised meeting to follow. The board shall not adopt appropriations exceeding the amount advertised.

If the library board proposes to make an additional appropriation for a year, and the additional appropriation would result in the budget for the library for that year increasing (as compared to the previous year) by a percentage that is greater than the result of the assessed value growth quotient determined under IC 6-1.1-18.5-2 for the calendar year minus one (1), the additional appropriation must first be approved by the city, town, or county fiscal body described in IC 6-1.1-17-20.3(c) or IC 6-1.1-17-20(d), as appropriate

After the public hearing, the proper officers complete and file with the Department of Local Government Finance a Certified Copy of Additional Appropriation ("Certified Copy") and any other relevant information, including the unit's financial information. The requested amount of additional appropriation shown on the Certified Copy must not exceed the fiscal body's final approved amount or the advertised amount.

Resolution for Additional Appropriation

WHEREAS, Board of Trustees of the _____ Public Library (hereafter "Board") has determined that it is now necessary to appropriate more money than was originally appropriated in the annual budget;

NOW THEREFORE BE IT RESOLVED, that the Board of Trustees of the _____Public Library that for the expenses of the taxing unit the following additional sums of money are hereby appropriated out of the funds named and for the purposes specified, subject to laws governing the same:

DULY ADOPTED by the Board of Trustees of the _____ Public Library at its regular meeting held on the _____ day of _____, _____, at which meeting a quorum was present.

Fund Name: _____	Amount Requested	Amount Approved
Major Category		
10000 Personal Services	$_____	$_____
20000 Supplies	$_____	$_____
30000 Other Services/Charges	$_____	$_____
40000 Capital Outlays	$_____	$_____
TOTAL for _____Fund	$_____	$_____

(Repeat for any other funds)**********

JULY ADOPTED by the Board of Trustees of the _____ Public Library at its regular meeting held on the _____ day of _____, _____, at which meeting a quorum was present.

NAY	AYE
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

ATTEST _____ SECRETARY _____

NOTICE TO TAXPAYERS OF ADDITIONAL APPROPRIATIONS

Notice is hereby given the taxpayers of _____ Public Library, _____ County, Indiana, that the proper legal officers will consider the following additional appropriations in excess of the budget for the current year at their regular meeting place at (location), at time am or pm, on the (number) day of (month), (year)

Fund Name:	Amount
_____	
Major Category	
10000 Personal Services	$_____
20000 Supplies	$_____
30000 Other Services/Charges	$_____
40000 Capital Outlays	$_____
TOTAL for_____Fund	$_____

(Repeat for any other funds)

Taxpayers appearing at the meeting shall have a right to be heard.

CERTIFIED COPY OF ADDITIONAL APPROPRIATION

County # _____
Unit # _____
Date Received:

Order Number:

UNIT NAME: _____

COUNTY NAME: _____

Date of Publication _____ Newspaper _____

Date of Publication _____ Newspaper _____

Date of Public Hearing _____

Date of Resolution/Ordinance _____

Complete for each fund from which the additional appropriations are made. Use a separate column for each fund.
Lines referred to below are on the Fund Report from the Department.

A. **Department** Fund Number				
B. Fund Name				
C. Appropriation Amount Requested				
D. Amount by Reduction				
E. Net Amount of Increase (C minus D)				
1. Property Tax Levy (Line 16)				
2. Levy Excess (Line 15)				
3. PTRC from CAGIT (Line 13A)				
4. LOIT Freeze Amount (Line 13B)				
5. Misc. Revenue (Line 8B) (If higher than 8B amount, a revised Budget Form 2 must be attached.)				
6. January 1 Cash Balance (include investments)				
7. Subtotal of Funds (Add 1thru 6)				
8. Less Circuit Breaker				
9. Total Funds (7 minus 8)				
10. Department Approved Budget (Line 1)				
11. Encumbered Appropriations				
12. Temporary Loans Outstanding as of January 1				
13. Beginning Obligations (Add 10 thru 12.)				
14. Surplus Funds (9 minus 13)				
15. Previous additional appropriation(s) approved since January 1, less any reductions in appropriations.				
16. Amount transferred to the Rainy Day Fund				
17. Surplus Funds Remaining (14 minus 15 minus 16)				

I, _____, fiscal officer of _____, do hereby certify that the above information is true and correct.
Dated this ___ day of _____, 20___.

(Signature) _____(Title)_____

(Unit Address) _____(Telephone Number)_____

(City/Town/Zip Code)_____(E-mail Address Optional)_____

Chapter 15

Public Library Records Retention

Public Libraries Retention Schedule and County/Local General Retention Financial Schedule

The Public Libraries Retention Schedule and the County/Local General Retention Financial Schedule were adopted in 2010. All public libraries in Indiana must follow the same general retention financial schedule.

Any records not on the approved list cannot be destroyed without the permission of the County Commission on Public Records and the Indiana Commission on Public Records.

Included in this chapter are a printout of the section of Chapter 6 of the State Board of Accounts Library Manual (pages 5 through 9) explaining the preservation and destruction of public records, the Public Libraries Retention Schedule and the County/Local General Retention Financial Schedule . There are links on this page to the SBOA Library Manual, the June presentation by Jim Corridan, Chief Archivist and Director, Indiana Commission on Public Records, on retention schedules, and the two retention schedules.

State Board of Accounts Library Manual, Reissued 2010: www.in.gov/sboa/2802.htm

Public Proceedings and Public Records, Preservation and Destruction of Public Records (Chapter 6): www.in.gov/sboa/files/lib2010_006.pdf

Adobe presentation by Jim Corridan, Chief Archivist and Director, Indiana Commission on Public Records, on retention schedules:
webinar.isl.in.gov/p37554645/?launcher=false&fcsContent=true&pbMode=normal

Public Libraries (LIB) Retention Schedule and the County/Local General Retention Schedule (GEN) www.in.gov/icpr/2739.htm

Records Retention FAQs

Q1) How long should we keep past insurance policies/coverage that have been replaced with new policies/coverage?
A1) Insurance paperwork would be considered a contract; keep for 10 years after the end of the insured year.

Q2) How long should we keep past in-house staff directories?
A2) If they simply provide personnel information in a different format, destroy.

Q3) How long should we keep statements of Concern regarding library materials completed by patrons?
A3) Regard as correspondence and destroy after 3 years.

Q4) How long should we keep incident reports (injuries, accidents, behavior)?
A4) 10 years, as for public library annual reports

Q5) How long should we keep emails?
A5) Treat emails as you would print correspondence regarding a particular issue. They are public records.

Evansville Courier & Press.com – 6/17/2012 www.courierpress.com/news/2012/jun/17/no-headline---ev_publicrecords/

INDIANAPOLIS — "An Indiana commission will soon set new rules for how long state and local governments must keep employee emails and other electronic records — and which of those missives will be considered public records.

The Indiana Commission on Public Records will also review and adopt rules for paper-based public records, which local governments will now be required to implement within 30 days of the commission adopting them….

That's why the commission plans to work in July — in a meeting not yet set — to create a statewide policy regarding email and other electronic communications. This policy will deal with what qualifies as a public record that must be kept — and for how long.

The commission also plans to readopt the retention policies they already have in place. The new state law requires the commission to reconsider those policies before they are implemented for local governments."

Fees

The governing board shall establish a fee schedule for the certification or copying of documents. The fee for certification of documents may not exceed five dollars ($5) per document. The fee for copying documents may not exceed the greater of:

(1) ten cents ($0.10) per page for copies that are not color copies or twenty-five cents ($0.25) per page for color copies; or
(2) the actual cost to the agency of copying the document.

"Actual cost" means the cost of paper and the per-page cost for use of copying or facsimile equipment and does not include labor costs or overhead costs. A fee established must be uniform throughout the public agency and uniform to all purchasers. [IC 5-14-3-8(d)]

PRESERVATION AND DESTRUCTION OF PUBLIC RECORDS

Policy

The governing board is charged with the duty to preserve, keep, maintain, or file all the official records of the political subdivision pursuant to IC 5-15-1-1. The final decision as to the destruction or disposition of such records rests with the local public records commission. A local public records commission is established in each county pursuant to IC 5-15-6-1.

IC 5-15-6-3(f) concerning destruction of public records, states in part: "Original records may be disposed of only with the approval of the commission according to guidelines established by the commission."

Definition of Public Record

A public record is defined as all documentation of the informational, communicative or decision-making processes of the political subdivision in connection with the transaction of public business or governmental functions, which documentation is created, received, retained, maintained, or filed by the political subdivision as evidence of its activities or because of the information value of the data in the documentation, and which is generated on paper or paper substitutes; photographic or chemically based media; magnetic or machine readable media; or any other materials, regardless of form or characteristics. [IC 5-15-5.1-1]

For purposes of IC 5-15-6, the terms "public record" or "record" refer to local government documentation. [IC 5-15-6-1.5]

County Public Records Commission

IC 5-15-6-1 creates in each county a commission known as the "County Commission of Public Records of _____ County." IC 5-15-6-2 sets out the duties and responsibilities of the commission. It is the duty of the commission to determine the following:

1. Which public records, if any, are no longer of official or historical value.

2. Which public records are of current official value and should be retained in the office where they are required to be filed.

3. Which public records are of official value but are consulted and used so infrequently that they are no longer of appreciable value to the officer with whom they are required to be filed.

4. Which public records are of no apparent official value, but which do have historical value.

5. Adopt and implement retention schedules for use by local governmental officials as part of a records management program for local government public records at the first meeting of the county commission after the commission receives a retention schedule for the local government approved by the oversight committee on public records as established by IC 5-15-5.1-18.

The following officers make up the commission:

1. Judge of the Circuit Court (Ex Officio);
2. President of the Board of County Commissioners;
3. County Auditor;
4. Clerk of the Circuit Court (Secretary);
5. County Recorder;
6. Superintendent of Schools of the school district in which county seat city is located.
7. City Controller or Clerk-Treasurer of the county seat city or town.

Suggested Procedures

As a starting point for disposing of old records, an inventory of the office and the storerooms should be taken. The inventory should list the type of record and the year such record was made.

After the inventory is completed and a decision is made as to the records to be destroyed, a request and approval for destruction of records should be submitted to the County Commission of Public Records of the county in which the public agency is located.

A pamphlet entitled "Guide for Preservation and Destruction of Local Public Records" published by the State Commission on Public Records will be furnished to any official upon request. You should carefully review this publication and comply with the instructions therein when considering the destruction of any records.

The State Commission has furnished each Clerk of the Circuit Court, who serves as secretary of the County Commission of Public Records, a supply of this publication and a supply of Form PR1 entitled "Request for Permission to Destroy and Transfer Certain Public Records" to be used by local officials in submitting requests to the County Commissions.

Removal of Records - Time Restriction

IC 5-15-6-3 concerning the removal and destruction of records states:

a. As used in this section, "original records" includes the optical image of a check or deposit document when:

   1. The check or deposit document is recorded, copied, or reproduced by an optical imaging process described in subsection (e); and

   2. The drawer of the check receives an optical image of the check after the check is processed for payment or the depositor receives an optical image of the deposit document after the document has been processed for the deposit.

b. All public records which, in the judgment of the commission, have no official or historical value, and which occupy space to no purpose in the offices and storerooms of the local government of a county, shall be destroyed or otherwise disposed of. Except as provided in this section, such records shall not be destroyed until a period of at least three (3) years shall have elapsed from the time when the records were originally filed, and no public records shall be destroyed within a period of three (3) years if the law provides that they shall be kept for a longer period of time, or if the law prohibits their destruction.

c. Subject to this section, records may be destroyed before three (3) years elapse after the date when the records were originally filed if the destruction is according to an approved retention schedule.

d. No financial records or records relating thereto shall be destroyed until the earlier of the following actions:

   1. The audit of the records by the State Board of Accounts has been completed, report filed, and any exceptions set out in the report satisfied.

   2. The financial record or records have been copied or reproduced as described in subsection (e).

e. As used in this section, "public records" or "records" includes records that have been recorded, copied, or reproduced by a photographic, photostatic, miniature photographic, or optical imaging process that correctly, accurately, and permanently copies, reproduces, or forms a medium for copying or reproducing the original record on a film or other durable material. Original records may be disposed of in accordance with subsection (f), if the record has been copied or reproduced as described in this subsection. The copy must be treated as an original. Copies, recreations, or reproductions made from an optical image of a public record described in this subsection shall be received as evidence in any court in which the original record could have been introduced, if the recreations, copies, or reproductions are properly certified as to authenticity and accuracy by an official custodian of the records.

f. Original records may be disposed of only with the approval of the commission according to guidelines established by the commission. However, the guidelines established by the commission concerning the disposal of financial records must be approved by the State Board of Accounts before the guidelines become effective.

The decision as to the disposition or destruction or any record rests entirely upon the commission; however, there are certain records which appear to be sufficient value to require that they be retained permanently, and there are other records which should not be disposed of for a period of longer than three (3) years, due to limitations imposed under other statutes. Among these records are:

Retained Permanently

All minutes due to their historical value and their value in determining titles of property, appointments, etc.

Ledgers of Receipts and Disbursements as permanent financial records.

Bond Records, as evidence of indebtedness and payment.

Retained for Longer Periods Than Three (3) Years

All contracts, claims and paid warrants for minimum of six (6) years due to statute of limitations in civil actions. [IC 34-1-2-1 and IC 34-1-2-2]

Public Records Retention - Audit

IC 5-15-6-3(f) concerning destruction of public records, states in part: "Original records may be disposed of only with the approval of the commission according to guidelines established by the commission."

Supporting documentation such as receipts, canceled checks, tickets, invoices, bills, contracts, and other public records must be available for audit to provide supporting information for the validity and accountability of monies disbursed. Payments without supporting documentation may be the personal obligation of the responsible official or employee.

Order to Destroy Public Records

A copy of any order to destroy public records shall be delivered to the State Archivist, Indiana State Library, any active genealogical society of the county and any active historical society of the county not later than sixty days before the destruction date accompanied by a written statement that they may procure such records at their own expense subject to the provisions enumerated in the law. [IC 5-15-6-7]

Penalty

A public official or other person who recklessly, knowingly, or intentionally destroys or damages any public record commits a Class D felony unless:

1. The commission shall have given its approval in writing that public records may be destroyed;

2. The commission shall have entered its approval for destruction of the public records on its own minutes; or

3. Authority for destruction of the records is granted by an approved retention schedule. [IC 5-15-6-8]

Public Records Go With the Office

Sometimes it is reported that when an official is replaced by reason of death, resignation, appointment, or election, the records are being withheld from the successor until they are audited.

When an official assumes custody of an office many of the forms and records are continuous. Each official's acts are a matter of record. An official is not responsible for the acts of his successor and a successor is not responsible for the acts of his predecessor.

Regardless of the capacity served by an official, upon completion of his service, all records and forms are to be surrendered to his successor.

Supporting documentation such as receipts, canceled checks, tickets invoices, bills, contracts, and other public records must be available for audit to provide supporting information for the validity and accountability of monies disbursed. Payments without supporting documentation may be the personal obligation of the responsible official or employee.

Transaction Recording

All financial transactions pertaining to the governmental unit should be recorded in the records of the governmental unit.

Timely Recordkeeping

All documents and entries to records should be done in a timely manner to ensure that accurate financial information is available to allow the governmental unit to make informed management decisions and to help ensure compliance with IC 5-15-1-1 et seq., commonly referred to as the Public Records Law.

RETENTION SCHEDULES

The State's Oversight Committee on Public Records has approved retention schedules for Library financial records. The schedules list prescribed forms and the length of time each form is required to be kept. The schedules can be obtained at www.in.gov/icpr.

IC 5-15-6-2.5 requires each local County Commission on Public Records to adopt such retention schedules at the first meeting of the County Commission following receipt of the schedules from the State Oversight Committee.

Once the retention schedules are adopted, records may be destroyed in accordance with the schedules and without permission of the local County Commission. However, libraries must submit documentation of such destruction to the County Commission and the State Archives and should notify any active genealogical societies and any active historical located in the county before destruction.

Public Libraries Retention Schedule (LIB)
Indiana Commission on Public Records – County Records Management

DATE APPROVED BY THE OVERSIGHT COMMITTEE ON PUBLIC RECORDS: September 22, 2010	NAME OF COUNTY ADOPTING RETENTION SCHEDULE:	DATE ADOPTED BY THE COUNTY COMMISSION OF PUBLIC RECORDS:
DIRECTOR/STATE ARCHIVIST, INDIANA COMMISSION ON PUBLIC RECORDS SIGNATURE	PRINTED NAME: Jim Corridan	
CHAIRPERSON OF THE COUNTY COMMISSION OF PUBLIC RECORDS: SIGNATURE	PRINTED NAME:	
SECRETARY OF THE COUNTY COMMISSION OF PUBLIC RECORDS: SIGNATURE	PRINTED NAME:	

THIS SCHEDULE MAY BE USED ONLY AFTER ADOPTION BY THE COUNTY COMMISSION OF PUBLIC RECORDS.

Instructions:

1. Records listed on this schedule may be destroyed upon completion of a Notice of Destruction, State Form 44905 and distribution of copies of the form to the Clerk of the Circuit Court of the County and to the INDIANA COMMISSION ON PUBLIC RECORDS, 402 West Washington Street W472, Indianapolis, IN 46204.

2. **Officials should first reference this office-specific retention schedule.** If the form/record series you're looking for is not listed, refer to the general retention schedule (GEN)

3. All records **not listed** on these approved schedules can be destroyed or transferred only by completing a Request for Permission to Destroy or Transfer Certain Public Records (PR-1), State Form 30505, and by obtaining approval of the COUNTY COMMISSION OF PUBLIC RECORDS and the INDIANA COMMISSION ON PUBLIC RECORDS.

GUIDELINES:
Permanent records may be maintained either in the original format or on microfilm that meets standards outlined in 60 IAC 2 or Administrative Rule 6 (Court Records).

Microfilmed records may be deposited or transferred according to the retention period outlined for that record.

Security/original rolls of microfilm to be stored offsite in secure location. Duplicate rolls for office use.

Electronic records and computer printouts that include data from more than one (1) form must be retained for the longest retention period for all included forms.

Any STATE BOARD OF ACCOUNTS forms approved for use in lieu of prescribed forms are subject to the same retention requirements.

Public Libraries Retention Schedule (LIB)

RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
LIB 10-1	ANNUAL PUBLIC LIBRARY REPORT	DESTROY after ten (10) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIB 10-2	LEDGERS 14.1 Library Form: Form 1, 1A, 1B, and 1C (R 1982): Library Financial and Appropriation Ledger 14.2 General Form: Form 369 (1996) General Fixed Asset Account Group Ledger (2003) Capital Assets Ledger	PERMANENT. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
LIB 10-3	PATRON LIBRARY CARD, RECIPROCAL BORROWING CARD APPLICATION	DESTROY three (3) years after patron account becomes inactive.
LIB 10-4	PUBLIC LIBRARY ACCESS CARD (PLAC) & NON-RESIDENT CARD APPLICATION	DESTROY after three (3) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIB 10-5	NO-FEE INTERLIBRARY LOAN FILES Applies to interlibrary loans for which a patron or library is not charged and does not collect a fee [CONFIDENTIAL: IC 5-14-3-4(a)(16)(A)]	DESTROY 30 days after return of materials.
LIB 10-6	FEE-BASED INTERLIBRARY LOAN FILES Applies to interlibrary loans for which a patron or library is charged or collects a fee [CONFIDENTIAL: IC 5-14-3-4(a)(16)(A)]	DESTROY after three (3) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIB 10-7	PROGRAM REGISTRATION INFORMATION	DESTROY each April for previous calendar year.
LIB 10-8	COMPUTER USE SIGN UP SHEETS & LOGS Patron agreement to utilize public access computers provided by a library [CONFIDENTIAL: IC 5-14-3-4(a)(16)(A)]	DESTROY 90 days after date of use.
LIB 10-9	PHOTOGRAPHS & VIDEOS Photographic and video holdings of library	The collections of a library shall REMAIN part of the library, subject to the procedures used by the library to weed its collection.

THIS SCHEDULE MAY BE USED ONLY AFTER ADOPTION BY THE COUNTY COMMISSION OF PUBLIC RECORDS.
Adopted September 22, 2010 by the Oversight Committee on Public Records/Indiana Commission on Public Records

County/Local General Retention Schedule (GEN)
Indiana Commission on Public Records – County Records Management

Date approved by the oversight committee on public records: December 15, 2010	Name of county adopting retention schedule:	Date adopted by the County Commission of Public Records:
Director/State Archivist, Indiana Commission on Public Records *Signature*	Printed Name: Jim Corridan	
Chairperson of the County Commission of Public Records: *Signature*	Printed Name:	
Secretary of the County Commission of Public Records: *Signature*	Printed Name:	

THIS SCHEDULE MAY BE USED ONLY AFTER ADOPTION BY THE COUNTY COMMISSION OF PUBLIC RECORDS.

Instructions:

1. Records listed on this schedule may be destroyed upon completion of a *Notice of Destruction, State Form 44905* and distribution of copies of the form to the Clerk of the Circuit Court of the County and to the INDIANA COMMISSION ON PUBLIC RECORDS, 402 West Washington Street W472, Indianapolis, IN 46204.

2. **Officials should first reference their office-specific retention schedule.** If the form/record series you're looking for is not listed, refer to this general retention schedule (GEN)

3. All records **not listed** on these approved schedules can be destroyed or transferred only by completing a *Request for Permission to Destroy or Transfer Certain Public Records (PR-1), State Form 30505,* and by obtaining approval of the COUNTY COMMISSION OF PUBLIC RECORDS and the INDIANA COMMISSION ON PUBLIC RECORDS.

GUIDELINES:
Permanent records may be maintained either in the original format or on microfilm that meets standards outlined in 60 IAC 2 or Administrative Rule 6 (Court Records).

Microfilmed records may be deposited or transferred according to the retention period outlined for that record.

Security/original rolls of microfilm to be stored offsite in secure location. Duplicate rolls for office use.

Electronic records and computer printouts that include data from more than one (1) form must be retained for the longest retention period for all included forms.

Any STATE BOARD OF ACCOUNTS forms approved for use in lieu of prescribed forms are subject to the same retention requirements.

County/Local General Retention Schedule (GEN)

Record Series	Title/Description	Retention Period
Administrative		
GEN 10-1	MINUTES Official minutes of any county/local agency, board, commission, or of any division. THIS IS A CRITICAL RECORD. [IC 5-15-6-2.5]; [IC 5-15-5.1-12]	PERMANENT. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
GEN 10-2	COUNTY/LOCAL AGENCY, BOARD OR COMMISSION MEETING TAPES. For offices, board or commissions that record their meetings using magnetic audio tapes. These tapes are used to complete the minutes of the meetings.	ERASE or DESTROY after official minutes taken from them are approved.
GEN 10-3	POLICY FILES – OFFICE HOLDERS, DEPUTIES, AND DIVISION DIRECTORS. These office files document substantive actions of the county or local government unit and constitute the official record of the unit's performance of its functions and the formation of policy and program initiatives. This series may include various types of records such as correspondence, memos, and reports concerning policy and procedures, organization, program development and reviews. THIS IS A CRITICAL RECORD. Disclosure of these records may be affected by the discretion of a public agency, IC 5-14-3-4(b)(6). [IC 5-15-6-2.5]; [IC 5-15-5.1-12]	PERMANENT. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
GEN 10-4	GENERAL FILES Office records that are not related to policy implementation. This series includes correspondence, memos, and routine staff files.	DESTROY after three (3) calendar years.
GEN 10-5	LEGAL FILES (Also called Litigation Files) All records pertaining to litigation with the county/local government and all supporting documentation. Disclosure of these records may be affected by IC 5-14-3-4(a) (1), (3), and (8), and also by the discretion of a public agency, IC 5-14-3-4(b) (6). Retention consistent with IC 34-11-2-6 and IC 35-41-4-2(a)	RETAIN in office five (5) calendar years after adjudication of litigation. Evaluate and transfer to County Archives, or INDIANA COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, only files that have been determined to have historical or legal significance and identified as PERMANENT.
GEN 10-6	ORDINANCES Includes records created by a county/local agency related to the legislature's review of proposed laws or adoption of administrative rule(s). Disclosure of these records may be affected by the discretion of a public agency, IC 5-14-3-4(b)(6).	PERMANENT. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
GEN 10-7	BUILDING PERMITS [IC 36-7-4-1109]	DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-8	DISASTER RECOVERY AND CONTINUITY PLANS The copy of all Disaster Recovery/Continuity Plans, including those	TRANSFER one copy of each plan to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for permanent archival

	for electronic systems, as well as supporting documentation used in the development of the plans. Disclosure of these records may be affected by the discretion of a public agency, IC 5-14-3-4(b)(19).	retention, upon its approval by the county/local agency. DESTROY remaining copies when outdated or replaced. DESTROY supporting documentation three (3) years after current plan is outdated or replaced.
GEN 10-9	NOTICES & CERTIFICATES Excludes Form 100R – Certified Report of Names, Addresses, Duties and Compensation of Employees [PERMANENT]	DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
ACCOUNTING & FINANCE		
GEN 10-10	RECEIPTS/QUIETUS/RECEIPT REGISTER/QUIETUS REGISTER Retention based on IC 34-11-2-6	DESTROY after six (6) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-11	VOUCHERS/CLAIMS & PURCHASE ORDERS Includes all claims and requisitions submitted by all county offices and departments, including all supporting documentation. Retention based on IC 34-11-1-2	DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-12	POOR RELIEF VOUCHERS/CLAIMS Retention based on IC 34-11-1-2	DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-13	REGISTER OF POOR RELIEF CLAIMS	DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-14	CANCELED CHECKS/WARRANTS Retention based on IC 34-11-1-2	DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-15	CHECK REGISTER/WARRANT REGISTER Retention based on IC 34-11-1-2	DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-16	PAYROLL RECORDS Applies to Forms 99A, 99B and 99C	PERMANENT. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
GEN 10-17	TIME CARDS Includes Weekly Earning Record, work period. Retention based on IC 34-11-2-1	DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-18	BANK RECONCILIATION RECORDS AND REPORTS	DESTROY after six (6) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-19	BANK STATEMENTS, DEPOSIT TICKETS, RECORD OF DEPOSITORY BALANCES	DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges
GEN 10-20	FEE BOOK	DESTROY after six (6) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-21	ACCOUNTS PAYABLE JOURNAL	DESTROY after six (6) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.

GEN 10-22	ACCOUNTS PAYABLE VOUCHER REGISTER	DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-23	TRANSMITTALS Retention based on IC 34-11-2-6	DESTROY after six (6) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-24	INVESTMENTS/INSURANCE REGISTER Form 350 – Register of Investments Form 351 – Register of Insurance	PERMANENT. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
GEN 10-25	BONDS, BIDS, CONTRACTS AND LEASES All contracts with vendors or other units of government to provide goods or services. Files also include working papers and similar attachments used by the agency in this process. This record series also applies to an administrative entity receiving revenue through a contract or lease. [IC 34-13-1-1]	DESTROY ten (10) years after expiration of the contract and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-26	AS-SUBMITTED BUDGETS Includes new programs requested, justifications, breakdown of money requested, estimates, reports, and taxpayer notice	DESTROY after five (5) calendar years.
PERSONNEL		
GEN 10-27	PERSONNEL FILES Personnel records containing documentation of the employee's working career with the county/local government unit. Disclosure of these records may be affected by the discretion of a public agency, IC 5-14-3-4(b)(2)(3)(4) and (6), and IC 5-14-3-4(b)(8).	DESTROY 75 years after employee is no longer employed by the county/local government unit.
GEN 10-28	EMPLOYEE MEDICAL RECORDS Typical record series could include Employer's Report of Injury, Report of Attending Physician, or other medical information used to document work-related illnesses or injuries. Pursuant to United States Equal Opportunity Commission rules, this information "...shall be collected and maintained...in separate medical files..." Disclosure of these records may be affected by IC 5-14-3-4(a)(9) and the discretion of a public agency per IC 5-14-3-4(b)(8) and 29 CFR 1630.14(b)(1).	DESTROY seven (7) years after the employee leaves county/local government.
GEN 10-29	INMATE MEDICAL RECORDS Disclosure of these records may be affected by IC 5-14-3-4(a)(9) and the discretion of a public agency per IC 5-14-3-4(b)(8) and 29 CFR 1630.14(b)(1).	DESTROY seven (7) years after the inmate is released from the jail facility.
GEN 10-30	FAMILY AND MEDICAL LEAVE ACT OF 1993 RECORDS Records may contain applications for Family and Medical Leave (State Form 48370 or its equivalent), and any information related to use the Family and Medical Leave Act (FMLA). Disclosure of these records may be affected by 29 CFR 825.500(g). Retention based on 29 CFR 825.400(b).	DESTROY records after three (3) calendar years if no other Record Series with a longer retention period applies to them. If records are part of another Record Series with a longer retention, follow the retention instruction for that Record Series.

GEN 10-31	EMPLOYMENT APPLICATIONS-NOT HIRED Series includes applications from persons seeking employment who are not hired. Series also contains vacancy notices, job information bulletins, unsolicited resumes, rejection correspondence, examination material, and other related materials. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4 (b)(8)(b). Retention based on IC 4-15-2-15 (b)(4).	DESTROY three (3) calendar years after the decision not to hire.
GEN 10-32	EMPLOYEE HAZARDOUS EXPOSURE RECORDS Typical records could include employee exposure records and/or analyses using exposure or medical records. Disclosure of these records may be affected by IC 5-14-3-4(a) (9).	DESTROY Thirty-five (35) calendar years after employee termination.
GEN 10-33	LOG OF WORK-RELATED INJURIES AND ILLNESSES, OSHA FORM 300 (REVISED 01/2004) In accordance with 29 CFR 1904.0, et seq., every private and public employer with more than ten (10) employees must confidentially record every work-related death and work-related injury and illness meeting specific recording criteria in this federal rule. Electronic (computer) maintenance and retention is permitted. Any medical information attached or included with the OSHA form and record is also confidential and must be retained with the OSHA form and record for the same time period. Disclosure of these records may be affected by 29 CFR 1904.29 and IC 5-14-3-4 (a) (3). Retention based on 29 CFR 1904.33. SUMMARY OF WORK-RELATED INJURIES AND ILLNESSES, OSHA FORM 300A (REVISED 01/2004) All establishments covered by 29 CFR 1904 must complete this summary page. Retention based on 29 CFR 1904.33. INJURY AND ILLNESS INCIDENT REPORT, OSHA FORM 301 This Injury and Illness Incident Report is completed when a recordable work-related injury or illness has occurred. Electronic, computer, maintenance and retention is permitted. Any medical information attached or included with the OSHA form and records is also confidential and is to be retained with the OSHA form and record for the same time period. Disclosure of these records may be affected by 29 CFR 1904.29 and IC 5-14-3-4(a)(3). Retention based on 29 CFR 1904.33.	DESTROY five (5) years after the end of the calendar year that the records cover.
PUBLICATIONS & REPORTS		
GEN 10-34	RECORDS RETENTION AND DISPOSITION SCHEDULE, INDIANA COMMISSION ON PUBLIC RECORDS APPROVED RETENTION SCHEDULES Contains a description of all records maintained by a county/local office, and specifies when and how they may dispose of their records.	DESTROY after replaced by revised schedule and after adoption by the COUNTY COMMISSION ON PUBLIC RECORDS.
GEN 10-35	STATUTE AND ADMINISTRATIVE RULE RECORDS Documents created by a county/local government entity related to	DESTROY two (2) calendar years after amendments, adoptions, or proposal of final administrative rule was published in the Indiana Register.

	the State Legislature's review of proposed laws, amendments to existing statutes, or adoption of administrative rules.	
GEN 10-36	MATERIAL SAFETY DATA SHEETS (MSDS) These reports and data sheets are supplied by the manufacturer of hazardous chemicals and submitted to businesses and other organizations receiving and using the substances. One (1) report or MSDS is submitted for each chemical in accordance with federal OSHA requirements. General information, ingredients, physical data, fire and explosion hazard data and other precautions are listed to inform and protect individuals who use or are exposed to these substances and chemicals. Disclosure of these records may be affected by 29 CFR 1910.1020(f)(1) and (f)(2), and IC 5-14-3-4(a)(4). Retention based on 29 CFR 1910.1020(d)(1)(ii)(B).	DESTROY thirty (30) years after the year of conclusion of the worker's employment.
GEN 10-37	STATE BOARD OF ACCOUNTS AUDIT REPORTS	PERMANENT. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
GEN 10-38	REPORTS Excludes Form 100R – Certified Report of Names, Addresses, Duties and Compensation of Employees [PERMANENT]	DESTROY after six (6) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-39	PERF QUARTERLY REPORT	PERMANENT. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
AUDIO, VIDEO & GENERAL MEDIA		
GEN 10-40	MICROFILM DOCUMENTATION FILE A written documentation list created and maintained for the microfilm based on the approved retention schedule (60 IAC 2-2-3). See 60 IAC 2 for required contents of the file.	PERMANENT. Transfer copy to the Indiana Commission on Public Records, State Archives Division.
GEN 10-41	PHOTOGRAPHS, VIDEO RECORDINGS, FILMS Typically consists of photographs of special events and activities of the office, general circulation or special purpose periodicals, intra-office news, or other still photographs.	TRANSFER to the INDIANA COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for evaluation, sampling, or weeding pursuant to archival principles one (1) calendar year after the date of the event or activity.
GEN 10-43	ROUTINE SURVEILLANCE RECORDINGS Disclosure of these records may be affected by IC 5-14-3-4(a)(1-3) and the discretion of a public agency per IC 5-14-3-4(b)(1) & (6). This record series and retention period does not apply to the criminal history records of the Indiana State Police, pursuant to IC 5-15-5.1-5 (a) (4). Retention based on IC 34-11-1-2	DESTROY after 30 days if no improper or illegal activity is captured on recording. If improper or illegal activity is captured on recording, RETAIN for the longer of the following: 1) Duration of criminal proceedings and appeals; or 2) Ten (10) years.
GEN 10-46	PROTECTED CRITICAL INFRASTRUCTURE INFORMATION Information received by the County and/or local Emergency Management Agency and/or partner agencies including public safety, health, fire and emergency medical services, from the	DESTROY when outdated or replaced by subsequent records received from the Indiana Department of Homeland Security and/or the US Department of Homeland Security.

	Indiana Department of Homeland Security and/or the US Department of Homeland Security pursuant to 6 USC 131-135 and 6 CFR 29 regarding the security of critical infrastructure and protected systems, analysis, warning, interdependency study, recovery, reconstitution, and related purposes. Records include correspondence, reports, assessments, strategies, grant applications, drawings, specifications, plans, and risk planning documents in paper or electronic form. Disclosure of these records is affected by 6 USC 133(a)(1)(A)-(E) and 6 CFR 29.8. Retention period is based on high security-level of information and its duplicate existence at the Federal level.	
GEN 10-47	CRITICAL INFRASTRUCTURE INFORMATION Homeland security and counterterrorism records which may be intra-agency or interagency advisory or deliberative material (including material developed by a private contractor under a contract with a public agency). These may be expressions of opinion or of a speculative nature, and include: 1) administrative or technical information that would jeopardize a record keeping or security system, 2) computer programs, codes, filing systems, and other software, 3) portions of electronic maps entrusted to a public agency by a utility, and 4) school safety and security measures, plans, and systems, including emergency preparedness plans developed under 511 IAC 6.1-2-2.5. Records may include correspondence, reports, assessments, strategies, grant applications, drawings, specifications, plans, and risk planning documents in paper or electronic form, as further described in IC 5-14-3-4(b)(6), (10), (11), (18) and 19. Disclosure of these records may be affected by the previously listed statutes. Retention is based on a reasonable likelihood of threatening public safety by exposing a vulnerability to terrorist attack should records be improperly disclosed.	DESTROY when outdated or replaced.
Obsolete Records		
GEN 10-44	PERMANENT OBSOLETE RECORDS Chattel Mortgage Record [to 30 June 1935] Index to Chattel Mortgage Record [to 30 June 1935] Sire Lien Record [1889-1984] Stock Mark Record Apprentice Indenture Record County Newspapers [1 RS 1852, ch. 75; repealed Acts 1980, ch. 211, sec. 5] PR-6 (Township Trustee ONLY) – Register of Poor Relief Claims Twp. PR-7 – Poor Relief Statistical Report Twp. Form 369 – General Fixed Asset Account Group SD Form 309A/B – Cash Journal, Municipal Sewage Utility (short & long forms) SD Form 329A/B – Sewage Utility Voucher Register (short & long forms)	PERMANENT. DO NOT LAMINATE. MICROFILM according to 60 IAC 2 STANDARDS. Original may be retained in office, transferred to the County Archives or destroyed upon receipt of written approval from the INDIANA COMMISSION ON PUBLIC RECORDS.
GEN 10-45	NON-PERMANENT OBSOLETE RECORDS Chattel Mortgage Minute Book [1 July 1935 – 30June 1964] Index to Chattel Mortgage Receipts [1 July 1935 – 30 June 1964] Chattel Mortgage Receipts [1 July 1935 – 30 June 1964] Entry Book of Old-Age Pensions [1936-1945] Inheritance Tax Record [1913-1931] Fee Docket Premarital Examination Certificate [Confidential and NOT open to	DESTROY.

	public inspection] Hunting and Fishing Report Twp. PR-1 – Application for Township Assistance Twp. PR-1A – Notice of Poor Relief Action Twp. PR-1B – Application for Additional or Continuing Township Assistance Twp. PR-2 – Purchase Order for Medical Relief Twp. PR-3 – General Purchase Order for Poor Relief Twp. PR-4 – Report of Medical Aid Rendered Twp. PR-7M – Mileage Claim for Poor Relief Investigation Twp. Form 7 – Estimate of Poor Relief Requirements Twp. PR-8 – Quarterly Poor Relief Report of Actual and Estimated Receipts	

Chapter 16

Grant Sources

There are numerous sources of grants for libraries. The following list is a sampling of available sources and includes both public and private sources for funding.

> Please notify us of any new grant opportunities by contacting Jennifer Clifton at jclifton@library.in.gov or (317) 234-6550.

LSTA Grants

in.gov/library/lsta.htm

The first source you consider as a library in Indiana should be LSTA sub-grants. LSTA funding is made possible by the Institute of Museum and Library Services (IMLS) who distributes federal funds to states annually under the provision of the Library Services and Technology Act (LSTA). The Indiana State Library reserves a portion of these funds for competitive sub-grant opportunities. Grant programs vary, but generally include technology and digitization initiatives. Please check our website for current grant opportunities.

LOCAL

Public Service/Social Organizations

Clubs such as Kiwanis, Lions Club, Rotary, etc. have sponsored library projects in the past.

Local Government

Community Foundations
www.incommunityfoundations.org/

Many counties in Indiana have a community foundation that collects and invests money for local agencies and returns the interest earned to the local agencies. The Indiana Grantmakers Alliance offers a handy tool for locating community foundations in the state on its web site,

STATE

Indiana Humanities Council
www.indianahumanities.org/res_grants.aspx

Humanities Initiative Grants may be used for any public or school humanities program planned and implemented with the expertise of a humanities scholar. Eligible projects include town hall meetings, panels, workshops, lectures, reading and discussion programs, film discussion programs, festivals, and production of humanities resources.

Community Development Block Grants
www.IN.gov/ocra/2375.htm

These grants for construction come from the Indiana Office of Community and Rural Affairs. Indiana requests federal funds to help rural communities with a variety of projects such as sewer and water systems, community centers, health and safety programs, and many others. These funds help communities improve their quality of life and ensure the health and safety of their citizens. A public library cannot apply for a Community Focus grant, but a town can apply on a public library's behalf.

Indiana State Historic Records Advisory Board (SHRAB) Grants
www.in.gov/icpr/3088.htm

The Indiana State Historic Records Advisory Board (SHRAB) occasionally offers grant opportunities for organizations that preserve and maintain historic collections of Indiana records.

FEDERAL

Institute for Museum and Library Services (IMLS)
www.imls.gov/applicants/applicants.shtm

The Institute of Museum and Library Services' mission is to create strong libraries and museums that connect people to information and ideas. The Institute works at the national level and in coordination with state and local organizations to sustain heritage, culture, and knowledge; enhance learning and innovation; and support professional development.

IMLS provides step-by-step assistance for grant applicants. Applicants can search for a grant program that best matches their project. Contact information for program officers who can provide assistance is also available.

National Endowment for the Humanities (NEH)

www.neh.gov/grants/

The National Endowment for the Humanities (NEH) is an independent grant-making agency of the United States government dedicated to supporting research, education, preservation, and public programs in the humanities.

National Trust for Historic Preservation Endowment

www.preservationnation.org/resources/find-funding/

The Trust's National Preservation Endowment offers several types of financial assistance to nonprofit organizations, public agencies, for-profit companies, and individuals involved in preservation-related projects. In 2005, through the National Preservation Endowment, the National Trust provided almost $17 million in financial assistance and direct investment to support preservation in cities, towns, and rural areas all over the United States.

FOUNDATIONS/CORPORATE

*Tip- Try consulting local banks, real estate brokers, convention and visitor bureaus, etc., for possible funding.

AT&T ASPIRE: Connecting Our Youth

www.att.com/gen/press-room?pid=2631

AT&T Aspire is a $350 million initiative to address high school success and college and workforce readiness. This program is AT&T's most significant education initiative to date and one of the largest corporate commitments ever to address high school success and workforce readiness.

Bank of America

www.bankofamerica.com/foundation/index.cfm?template=fd_localgrants

Bank of America's local grant making activities can — and do — vary, depending on what your local community needs. Our local market presidents and their teams develop relationships with other community leaders to determine the best use of philanthropic dollars in each community.

Barbara Bush Foundation for Family Literacy

www.barbarabushfoundation.com

The Barbara Bush Foundation for Family Literacy offers grants to organizations supporting literacy initiatives. The Foundation seeks to develop or expand projects designed to support the development of literacy skills for adult primary care givers and their children. Grantees are eligible for up to $65,000.

Barnes & Noble

www.bn.com

Barnes & Noble considers local and national support requests from non-profit organizations that focus on literacy, the arts or education (pre-K through 12). They also consider organizations that focus their core businesses on higher learning, literacy and the arts.

Build-A-Bear Literacy and Education Grants

bit.ly/buildabear2012

Deadline: Applications accepted March through October 2012

Build-A-Bear Workshop, Inc. is accepting grant applications as part of its annual giving program. The Build-A-Bear Workshop Bear Hugs Foundation supports charities in the US and Canada through grant programs including Literacy and Education Grants which provide support for children in literacy and education programs such as summer reading programs, early childhood education programs, and literacy programs for children with special needs. Grants are a one-time contribution, and range from $1,000 to $5,000.

Dekko Foundation

www.dekkofoundation.org

Dekko Foundation accepts grant applications from community organizations that build a foundation of economic freedom in young people. A major focus is early childhood development. Applicants must be located in the following counties of northeast Indiana: DeKalb, LaGrange, Kosciusko, Noble, Steuben and Whitley.

Dollar General Literacy Foundation

bit.ly/dgliteracy

The *Dollar General Adult Literacy Grants* award funding to non-profit organizations that provide direct service to adults in need of literacy assistance. Organizations must provide assistance in one of the following instructional areas: Adult basic education, General education diploma preparation, and English for speakers of other languages. **The *Dollar General School Library Relief Program*** benefits public school libraries recovering from major disasters. The *Dollar General Youth Literacy Grants* provide funding to schools, public libraries and non-profit organizations to help with the implementation or expansion of literacy programs for students who are below grade level or experiencing difficulty reading.

W.K. Kellogg Foundation

www.wkkf.org/

W.K. Kellogg offers funding opportunities for projects focused on Educated Kids, Healthy Kids, Secure Families, Racial Equity, and Civic Engagement. The web site provides detailed information about what the foundation funds and does not fund, how to apply, along with information on previously funded grant projects.

Literacy Empowerment Foundation (LEF)

LEFbooks.org

Distributes books in English and Spanish free of charge for literacy programs, nonprofits and schools. Note: These paperback books are recommended for incentive programs and are not suited for circulation.

Lois Lenski Covey Foundation

www.loislenskicovey.org

The Lois Lenski Covey Foundation, Inc. annually awards grants for purchasing books published for young people preschool through grade 8. Public libraries, school libraries, and non-traditional libraries operated by 501(c)(3) agencies are eligible. The Foundation provides grants to libraries or organizations that serve economically or socially at-risk children, have limited book budgets, and demonstrate real need. Grants for 2012 will range from $500 to $3000 and are specifically for book purchases.

Lowe's Charitable and Educational Foundation

low.es/lcefgrants

Lowe's Charitable and Educational Foundation awards more than $4.5 Million annually to individuals and organizations across the United States. Founded in 1957, the Foundation's primary philanthropic focus areas include K-12 public schools and non-

profit community-based organizations. Lowe's only considers requests from 501(c)(3) organizations for projects strongly related to Lowe's retail focus, such as renovation and landscaping activities, as described in their guidelines.

Praxair Foundation
bit.ly/praxairgrants

The Praxair Foundation supports non-profit organizations primarily in the communities where Praxair operates. Public Libraries may apply for funds through Praxair's "Library Links" program which assists libraries in upgrading their technology, acquiring new materials or initiating innovative programs.

RGK Foundation
www.rgkfoundation.org/public/grants

RGK Foundation awards grants in the broad areas of **Education**, **Community**, and **Medicine/Health**. The Foundation's primary interests within **Education** include programs that focus on formal K-12 education (particularly mathematics, science and reading), teacher development, literacy, and higher education. Please send an electronic letter of inquiry before applying.

Target
bit.ly/targetgrants

Target Store Grants support your local community. Targeted areas are arts and culture related programs and early childhood reading. Reading grants are awarded to schools, libraries and nonprofit organizations, supporting programs such as weekend book clubs and after-school reading programs that foster a love of reading and encourage children, from birth through age 9, to read together with their families.

Verizon Foundation
www.verizonfoundation.org/grants/

Organizations seeking grants must actively support programs that address the Verizon Foundation's focus areas of education (including innovative learning), literacy, health care and sustainability. The web site contains an eligibility quiz to determine if you may apply for a grant.

Wal-Mart
www.walmartfoundation.org

Through the State Giving Program, the Wal-Mart Foundation seeks to support organizations with programs that align with our mission to create opportunities so

people can live better. Two areas of focus include education and workforce development/economic opportunity. While the Foundation encourages funding requests that align with its four areas of focus, eligible programs that do not align with the four focus areas will also be given consideration. In addition, local **Walmart Stores** and **Sam's Clubs** can recommend grants of up to $5,000 to local nonprofit organizations.

Resources to Locate Grants

Grants.gov

www.Grants.gov

Grants.gov is a central storehouse for information on over 1,000 grant programs and access to approximately $400 billion in annual awards. Searching for grant applications does not require registration. Once registered at this site, you may apply online for any federal grant. Online assistance with the application process is available.

The Foundation Center

foundationcenter.org/

The Foundation Center is an independent nonprofit information clearinghouse. The Center's mission is to foster public understanding of the foundation field by collecting, organizing, analyzing, and disseminating information on foundations, corporate giving, and related subjects. The Foundation Center operates libraries at five locations. It also operates more than 200 Cooperating Collections across the country. Cooperating Collections give access to *Foundation Directory Online Professional,* an online funding research tool. A list of Indiana Libraries where the Foundation Center collections can be found is located at: foundationcenter.org/collections/ccin.html

The Indiana Grantmakers Alliance

bit.ly/ingrantalliance

The Indiana Grantmakers Alliance maintains *The Directory of Indiana Grantmakers* that profiles over 1,400 foundations that have been known to fund in Indiana.

Grant Writing Tips

1. Ask for advice. Start on the application well before the deadline. Solicit help from the granting organization program officer. Ask colleagues to review the application and offer suggestions.

2. Identify projects that would be of benefit to your organization before looking for grants. Ways to do this include conducting a meeting of stakeholders and brainstorming, creating a file of ideas submitted by staff and patrons, and soliciting ideas from the public. Determine what ideas would be most suitable for grant funding. Be ready when funding opportunities arise instead of reacting to announcements of available grants.

3. Locate grant-making organizations with goals that match your project. Using various tools listed above, identify grantors who fund projects similar to your proposed project.

4. Research the grant opportunity. Read the guidelines to determine if the project fits with the mission of the granting organization and if there are any restrictions that may prohibit you from accepting the funds. Learn about previous grants awarded by the organization. Determine the funding limits and whether the amount of money being offered will realistically cover the costs for your project.

5. Follow the instructions provided by the grantmaker. Check deadlines. Answer all the questions and include all the necessary parts of the proposal or application when submitting it. If any part of the application is confusing, contact the grant program officer for help.

6. Don't give up if an application isn't funded. If possible, ask for feedback as to why your grant application was denied. Ask about any opportunities for resubmitting the grant. Consider other funding sources.

7. New applicants make two common mistakes. One is including too little detail about the proposed project and giving insufficient justification for the significance of the need. Another is proposing more work than can be reasonably done during the grant period.

8. Think like a reviewer. One of the best ways to learn how to write a grant is to participate on a grant review committee. Organizations that offer publicly-funded grants are always looking for individuals willing to assist in grant review.

Sources of Grant Writing Classes & Workshops

This list is for informational use and does not imply endorsement of any kind.

Colleges/Universities

Indiana University offers a Grant Writing course during the Summer I session. Please contact the School of Library and Information Science for more information.
slis.iu.edu/

Ivy Tech Community College offers an online course in Writing Effective Grant Proposals. For more information, visit www.ivytech.edu/register-now/

Professional Organizations

The Center on Philanthropy at Indiana University
www.philanthropy.iupui.edu/TheFundRaisingSchool/
The Fund Raising School at the Center on Philanthropy at Indiana University offers courses for a fee, such as "Preparing Successful Grant Proposals."

The Foundation Center – Grant Space
www.grantspace.org/Classroom
The Foundation Center offers free training courses and webinars and full-day training courses for a fee. Courses are offered in their five library/learning centers and in selected other locations across the country.

Indiana Nonprofit Resource Network
www.inrn.org/calendar/calendar.aspx
The Indiana Nonprofit Resource Network offers fundraising workshops throughout the state for a fee, including "Grantwriting for Beginners" and "Outcomes Made Easy."

LYRASIS
www.lyrasis.org/Classes-and-Events.aspx
LYRASIS offers classes on Grant Writing, Grant Writing for Digitization and Preservation Projects, and Grant Writing Secrets for Librarians.

WebJunction Indiana
in.webjunction.org/
Register at WebJunction Indiana for a self-paced online course called "Grant Writing Basics."

Grant Writing Resources

The Indiana State Library has numerous grant writing resources in their collection. Here is a sampling of what is available.

The ALA book of library grant money. Chicago: ALA, 2012.

The Art and science of grant writing. Center for Faith-Based and Community Initiatives (United States. Dept of Housing and Urban Development) [2006].

Barbato, Joseph and Danielle S. Furlich. *Writing for a good cause: the complete guide to crafting proposals and other persuasive pieces for nonprofits.* NY: Simon & Schuster, 2000.

Bauer, David G. *The "How to" grants manual : successful grantseeking techniques for obtaining public and private grants.* Westport, CT: Greenwood Publishing Group, 2007. Available online in the INSPIRE eBook Collection.

Brewer, Ernest W. *Finding funding*: *grantwriting from start to finish, including project management and internet use.* Thousand Oaks, CA: Corwin Press, 2001.

Brown, Larissa Golden and Martin Brown. *Demystifying grant seeking: what you really need to do to get grants.* 4th edition. San Francisco: Jossey-Bass, 2001.

Carlson, Mim. *Winning grants step by step: the complete workbook for planning, developing, writing, successful proposals.* 2nd edition. San Francisco: Jossey-Bass, 2002.

Clarke, Cheryl. *Storytelling for grantseekers: the guide to creative nonprofit fundraising*. San Francisco: Jossey-Bass. 2001.

Coley, Soraya M. *Proposal writing.* Thousand Oaks, CA: Sage Publications, 2000

Directory of Indiana grantmakers. Indianapolis, Indiana: Grantmakers Alliance, 2006.

Directory of computer and high technology grants. 4th edition. Loxahatchee, FL: Research Grant Guides, Inc., 1999.

The Foundation Center's guide to grantseeking on the web. [CD Rom]. NY: The Center, 2002.

Geever, Jane C. *The Foundation Center's guide to proposal writing*. NY: Foundation Center, 2001.

Gerding, Stephanie and Pamela H. MacKellar. *Grants for libraries: a how-to-do-it manual.* NY:Neal-Schuman, 2006.

Hall-Ellis, Sylvia D. *Grants for school libraries***.** Westport, Conn.: Libraries Unlimited, 2003.

Hayes, Lisa, Don Hoffman, and Denise Lamoreaux, ed*. Winning strategies for developing grant proposals.* Washington, DC: Government Information Services, 1999.

Karsh, Ellen and Arlen Sue Fox. *The only grant-writing book you'll ever need*. New York : Carroll & Graf ; [Berkeley, Calif.] : Distributed by Publishers Group West, 2003.

Landau, Herbert B. *Winning library grants: a game plan.* Chicago: ALA, 2011.

Marshall, Maria I., Aaron Johnson, and Jean Fulton. *Writing a successful grant proposal*. Purdue University Cooperative Extension Service [2006]

Miller, Patrick W. *Grant-writing: strategies for developing winning proposals*. [Munster, IN]: P.W. Miller, c2002.

Quick, James Aaron. *Grant seekers budget toolkit.* NY: John Wiley, 2001.

Staines, Gail M. *Go get that grant! : a practical guide for libraries and nonprofit organizations*. Scarecrow Press, 2011.

Wason, Sara D. *Webster's new world grant writing handbook*. Wiley, c2004.

Weinstein, Stanley. *The complete guide to fundraising management*. NY: J. Wiley, 2002.

Writing the winning grant proposal for libraries. Thompson West, 2005.

Ziarnik, Natalie Reif. *School & public libraries: developing the natural alliance*. Chicago: ALA, 2003.

Online Resources

Shaping Outcomes – Online course in Outcomes Based Evaluation
www.shapingoutcomes.org/

This course was developed through a cooperative agreement between the Institute of Museum and Library Services (IMLS) and Indiana University-Purdue University Indianapolis (IUPUI). It is a particularly helpful resource in preparing for an LSTA or other IMLS grant application.

Library Grants Blog
librarygrants.blogspot.com

Grant experts/librarians Stephanie Gerding and MacKellar frequently update this blog with new grant opportunities.

Primary Source
www.imls.gov/news/source.shtm

Subscribe to this monthly newsletter from The Institute of Museum and Library Services here:

The Foundation Center
foundationcenter.org/getstarted/tutorials/shortcourse/

The Foundation Center provides online training exercises as well as information on upcoming grants administration training courses and seminars. The above links will take you to the free online class.

Grant Proposal.com
www.grantproposal.com

Grantproposal.com provides free resources on grant writing for nonprofit organizations.

GRANTwritersonline
www.grantwritersonline.com/

Web site provides a good overview of writing a grant proposal. Topics discussed include the components of a grant proposal, financial statements for grants, grantwriting mistakes, tips on writing a grant proposal, grant application checklist, and grant proposal and financial samples.

Minnesota Council on Foundations

www.mcf.org/nonprofits/successful-grant-proposal

These tips on Writing a Successful Proposal from the Minnesota Council on Foundations includes answers to common questions, such as “What happens to my proposal after it reaches the grantmaker?” and “What should I do if my proposal is rejected?”

University of Pittsburgh Office of Research
www.pitt.edu/~offres/propwriting.html
www.pitt.edu/~offres/proposal/propwriting/websites.html

The web site offers basic advice on writing a proposal along with links to other web sites offering assistance. If you explore the web site, you will find other tools to assist with locating grant opportunities and preparing grant applications.

Chapter 17

Funding a Library Building Project*

A library building project does not have to be a painful experience. There will be anxious moments in every project, such as the minutes before construction bids are opened. There will also be times when it appears that the legal process takes forever to complete. But with proper planning, good and open communication and the assistance of qualified, experienced professionals, the process and the end result can be very rewarding.

There are two types of bonds that libraries can use to fund a building project:

a. General obligation bonds, and
b. Lease financing (a.k.a. Building Corporation or Holding Corporation bonds)

House Enrolled Act 1001 requires that before any debt (whether general obligation bonds or leases) can be issued by a non-elected library board, the library must obtain the approval of a specific elected entity*. (IC 6-1.1-17-20.5)*

This approving body will either be the county council or the city/town council depending on the library district. If the library district is coterminous with a city or town or was originally created by a city or town, then the approving entity will be the city or town council. However, if the library district expands beyond the city or town or the library was originally created by a township or the county, then the approving entity will be the county council.

This approval must be obtained prior to issuing the bonds; however the timing of this approval is otherwise up to the library. It is political decision whether the Board requests this approval before or after the petition remonstrance process or referendum. Discuss this issue with your library counsel and bond counsel.

General obligation bonds

General Obligation Bonds are limited in principal amount to one third (1/3) of two percent (2%) of the assessed valuation of the library taxing district – State Constitutional debt limitation

Lease financing

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* **The material in this chapter is intended for general information purposes only and does not constitute legal advice. The library board should consult financial counsel, bond counsel, or local legal counsel to determine how laws apply to specific situations.**

With a lease financing, a separate not-for-profit corporation is formed using patrons in your community. This building or holding corporation issues the bonds which finance the construction of the library building and leases the facility back to the library for a predetermined number of years, usually 20 years. Once the bonds are paid off, the Building Corporation transfers title to the building back to the library.

Many libraries in Indiana, due to the cost of the building, use the lease method of financing. Lease financing allows for a library building project to exceed the maximum constitutional debt limitation placed on the general obligation bond. In library districts where the assessed valuation does not raise enough money for a project, the library would need to use the lease financing method of obtaining bonds.

A. Outline of Procedures for the Preliminary Determination Process for financing a Controlled Project

1. Controlled Project (IC 6-1.1-20-1.1):

A controlled project is defined as a construction project for which the total project cost is at least $1,000,000 and exceeds the lesser of: i) 1% of the total gross assessed valuation of the library district or ii) $2,000,000. The controlled project definition applies to a project if some portion of the project is financed, whether by general obligation bonds or a lease financing.

If the project is non-controlled because it does not meet the above test, no other process is required which permits taxpayers or voters to stop the project through petition/remonstrance or referendum. The library will still need to follow the lease or general obligation bond process, as applicable.

2. Petition/Remonstrance Process (IC 6-1.1-20-3.1):

If the library's Controlled Project is equal to or less than the lesser of (a) 1% of the total gross assessed valuation of the library district or $12,000,000 per building, the library will need to follow the process which will permit the taxpayers or voters to request of petition/remonstrance process.

The following steps should be followed if the petition/remonstrance process applies to the Controlled Project:

a. Publish and mail notice of hearing on a preliminary determination to issue bonds. IC 6-1.1-20-3.1 *(10 day notice)*

b. Meeting of Board of Trustees to hold hearing and adopt resolution making a preliminary determination to issue bonds or enter into a lease, as applicable. *(Note that this resolution establishes the maximum financing terms)*

c. Publish and mail notice of preliminary determination to issue bonds. IC 6-1.1-20-3.1 and IC 5-3-1 *(begins 30 day application period in which 100 voters and taxpayers may request that the petition/remonstrance process apply to the project)*

d. If a petition requesting petition/remonstrance process is filed, proceed with next step; if not, skip to steps for general obligation bonds or leases, as applicable.

e. Certification by the Voter Registration Office/County Auditor of the number of signers requesting application of petition/remonstrance process who are owners of real property or voters within the library district. IC 6-1.1-20-3.1 *(the lesser of 100 people or 5% of the property tax owners or voters filing a petition can force a petition/remonstrance race)*

f. Publish and mail notice of the applicability of the petition/ remonstrance process. IC 6-1.1-20-3.2 *(publication date determines timing of race)*

g. Race period occurs beginning from the 30th day ending on the 60th day *(a thirty day period)* after notice of application is published, during which taxpayers and voters circulate petitions in favor of bonds and remonstrances against bonds *(simultaneously) (whichever side gets the most valid signatures of taxpayers and voters, wins)*.

h. Certification by the Voter Registration Office/County Auditor of the number of signers of each who are owners of real property or voters within the library district. If the Library wins it moves on to general obligation bond or lease steps, as applicable. If the Library loses, it may not hold a new preliminary determination hearing for one year on a substantially similar project.

3. <u>Referendum Process (IC 6-1.1-20-3.5)</u>:

If the library's Controlled Project <u>exceeds</u> the lesser of (a) 1% of the total gross assessed valuation of the library district or $12,000,000 per building, the library will need to follow the process which will permit the taxpayers or voters to request the referendum process.

The following steps should be followed if the referendum process applies to the Controlled Project:

a. Publish and mail notice of hearing on a preliminary determination to issue bonds. IC 6-1.1-20-3.5 *(10 day notice)*

b. Meeting of Board of Trustees to hold hearing and adopt resolution making a preliminary determination to issue bonds or enter into a lease, as applicable. *(Note that this resolution establishes the maximum financing terms).*

c. Publish and mail notice of preliminary determination to issue bonds. IC 6-1.1-20-3.5 and IC 5-3-1 *(begins 30 days application period in which 100 voters and taxpayers may request that the referendum apply to the project).*

d. If a petition requesting referendum process is filed, proceed with next step; if not, skip to steps for general obligation bonds or leases, as applicable.

e. Certification by the Voter Registration Office/County Auditor of the number of signers requesting application of referendum who are owners of real property or voters within the library district. IC 6-1.1-20-3.5 *(the lesser of 100 people or 5% of the property tax owners or voters filing a petition can force a referendum)*

f. Library files with the County Auditor and the Voter Registration Office certification and request for the referendum

g. County Auditor certifies the question to the County Election Board which either puts the question on the ballot of a general, municipal or primary election or schedules a special election as requested by the Library and dictated by the timing of the next scheduled election.

h. If there is a scheduled election within six months of the certification of the question by the Auditor, the project is placed on the ballot of the scheduled election. Otherwise the question will be placed on the ballot of a special election. The special election must be held not sooner than 90 days nor later than 120 days after the question is certified by the County Auditor.

i. Certification of the election results. If the Library wins, it moves on to general obligation bond or lease steps, as applicable. If the Library loses, it may not hold a new preliminary determination hearing for one year on a substantially similar project.

B. Outline of Procedures for the Issuance of Library General Obligation Bonds

If the Library's project is a Controlled Project it should have completed the petition/remonstrance or referendum process as outlined above before proceeding with the general obligation bond steps.

Remember that a Library must obtain the approval of the County Council or City/Town Council prior to issuing bonds (IC *6-1.1-17-20.5)*. This step needs to be inserted in the outline and timetables at the point most strategically advantageous for the library.

1. Meeting of Board of Trustees to adopt the bond resolution. IC 6-1.1-20-9.

2. Publish notice of hearing on appropriation of bond proceeds. *(publish twice, on week apart; first publication at least 10 days prior to hearing)*

3. Meeting of Board of Trustees to hold hearing on appropriation of bond proceeds and adopt appropriation resolution. IC 6-1.1-18-5

4. A copy of the additional appropriation proceedings is certified by the secretary to the Department of Government Finance.

5. Publication of the bond sale notice in accordance with IC 5-1-11 and 5-3-1. In order to obtain the best bids, it is recommended that the bond sale notice also be published in The Court & Commercial Record, 431 N. Pennsylvania, Indianapolis, Indiana 46204. If the bonds are to be rated, the rating should be applied for by this time.

6. If the bond issue is over $1,000,000, an official statement should be prepared by this time to distribute to the potential purchasers. It is appropriate to arrange for the printing of the bonds at this time.

7. Meeting of Board of Trustees to receive and award the bids for the bonds. The dealers who bid on bonds recommend that the bond sale be scheduled near the middle of the day on a Tuesday, Wednesday or Thursday which is not a day before or after a holiday.

8. Bond counsel prepares final transcript certificates and bonds. Submit transcript to bond counsel for approval. Check with registrar and paying agent, bond counsel and purchaser to determine when bonds will be ready for delivery. Schedule delivery of bonds with purchaser, bond counsel and registrar and paying agent.

9. Delivery of and payment for bonds -- the closing.

C. General Obligation Bonds for Controlled Project Proposed Timetable -- Petition/Remonstrance Process

IF PETITION/REMONSTRANCE RACE APPLIES TO PROJECT

Day 1	Publish and mail notice of preliminary determination hearing
Day 11	Board of Trustees meeting to hold preliminary determination hearing and adopt preliminary determination resolution and preliminary bond resolution
Day 13	Post, publish and mail notice of preliminary determination to issue bonds *(first publication)*
Day 20	Publish notice of preliminary determination to issue bonds *(second publication)*

Day 43	End of application period -- Petition for application of petition and remonstrance process is filed with Voter Registration Office/County Auditor
Day 58	Voter Registration Office/Auditor files certificate with Board of Trustees certifying petition requesting application of petition and remonstrance process
Day 59	Publish and mail notice of applicability of petition and remonstrance process
Day 88	Voter Registration Office issues petition and remonstrance forms -- beginning of petition and remonstrance circulation
Day 119	End of petition and remonstrance period -- file petitions and remonstrances with Voter Registration Office/County Auditor
Day 134	Voter Registration Office/Auditor certifies taxpayer signatures on petitions and remonstrances to Board of Trustees
Day 135	Board of Trustees meeting to receive Auditor's certificate with petitions and remonstrances; if petition in favor wins, adopt final bond resolution
Day 135	Publish notice of additional appropriation hearing
Day 140	City/Town Council or County Council meeting to approve bond issue
Day 146	Board of Trustees meeting to hold hearing on additional appropriation
Day 147	Publish bond sale notice *(first publication)*
Day 154	Publish bond sale notice *(second publication)*
Day 161	Bond sale
Day 175	Closing -- deliver bonds and receive money

D. General Obligation Bonds for Controlled Project Proposed Timetable -- Referendum Process Applies

IF REFERENDUM APPLIES TO PROJECT

Day 1	Publish and mail notice of preliminary determination hearing
Day 11	Board of Trustees meeting to hold preliminary determination hearing and adopt preliminary determination resolution and preliminary bond resolution
Day 13	Post, publish and mail notice of preliminary determination to issue bonds *(first publication)*
Day 20	Publish notice of preliminary determination to issue bonds *(second publication)*
Day 43	End of application period -- Petition for application for referendum is filed with Voter Registration Office/County Auditor

Day 58	Voter Registration Office/Auditor files certificate with Board of Trustees certifying petition requesting application of referendum
Day 65	Library files Certification of Voter Registration Office and letter requesting question be placed on ballot with County Auditor
Day 79	County Auditor certifies question to County Election Board
Day 109	County Election Board places question on ballot of next scheduled election, or if no scheduled election within next six months, special election scheduled. Special election to occur no sooner than 90 days nor later than 120 days after Auditor certifies the question
Day 200	Election
Day 207	Board of Trustees meeting to receive election results; if win, adopt final bond resolution
Day 210	Publish notice of additional appropriation hearing
Day 215	City/Town Council or County Council meeting to approve bond issue
Day 220	Board of Trustees meeting to hold hearing on additional appropriation
Day 224	Publish bond sale notice *(first publication)*
Day 231	Publish bond sale notice *(second publication)*
Day 238	Bond sale
Day 252	Closing -- deliver bonds and receive money

E. General Obligation Bonds for Controlled Project Proposed Timetable

IF NO REQUEST FOR APPLICATION OF PETITION & REMONSTRANCE or REFERENDUM PROCESS

Day 1	Publish and mail notice of preliminary determination hearing
Day 11	Board of Trustees meeting to hold preliminary determination hearing and adopt preliminary determination resolution
Day 13	Post, publish and mail notice of preliminary determination to issue bonds *(first publication)*
Day 20	Publish notice of preliminary determination to issue bonds *(second publication)*
Day 43	End of period to request application of petition and remonstrance process
Day 44	Publish notice of additional appropriation hearing
Day 50	City/Town Council or County Council meeting to approve bond issue
Day 54	Board of Trustees meeting to hold hearing on additional appropriation and adopt final bond resolution

Day 55	Publish bond sale notice *(first publication)*
Day 62	Publish bond sale notice *(second publication)*
Day 69	Bond sale
Day 83	Closing—deliver bonds and receive money

F. General Obligation Bonds for Non-controlled Project Proposed Timetable

Day 1	Board of Trustees meeting to adopt bond resolution
Day 2	Publish and post notice of additional appropriation hearing *(first publication)*
Day 9	Publish notice of additional appropriation hearing *(second publication)*
Day 10	City/Town Council or County Council meeting to approve bond issue
Day 14	Board of Trustees meeting to hold hearing on additional appropriation
Day 15	Publish bond sale notice *(first publication)*
Day 22	Publish bond sale notice *(second publication)*
Day 29	Bond sale
Day 44	Closing -- deliver bonds and receive money

G. Library Lease Financings Under IC 36-1-10 for Controlled Project

Basics

- A library is limited to borrowing directly one-third of its net assessed valuation times two percent. Previously, the formula was 2% of its net assessed valuation. However, after the tripling effect of the change to a market value system the General Assembly requires a governmental entity to divide by three before applying the 2% to arrive at the debt limitation. If the cost of the building project and financing will put the library over its debt limitation, a lease financing is used to fund the project.
- The library deeds the real estate on which the building is to be built, or in the case of a renovation project, the building to be improved, to the building corporation;
- the building corporation issues its first mortgage bonds to finance the cost of construction;
- the building corporation leases the building to the library; and
- the library pays lease rental to the building corporation in an amount which matches the debt service payments on the building corporation's bonds

Procedures

An architect should be hired and begin to prepare plans and specifications

The taxpayers have two different mechanisms to oppose projects: the petition/remonstrance process and the referendum process. Which process applies is determined by the size of the project and library's assessed valuation. See discussion above. One or the other applies but not both.

Petition/remonstrance process

- The board of trustees holds hearing following notice and after meeting publishes notice of determination to enter into lease
- 100 owners of real property or voters may within 30 days petition for application of petition/remonstrance process to project
- If valid petition is filed, notice that the petition/ remonstrance process has been requested is published and mailed
- Petitions in favor of project and remonstrances against project are circulated concurrently between 30 and 60 days after publication of notice that petition/remonstrance process has been requested
- If more taxpayers or voters oppose project than support project, it may not be pursued for one year

Referendum process

- The board of trustees holds hearing following notice and after meeting publishes notice of determination to enter into lease
- 100 owners of real property or voters may within 30 days petition for application of the referendum
- Election is held; If more voters oppose project than support project, it may not be pursued for one year
- The library which desires to lease a building must receive a petition signed by 50 or more taxpayers of the library district requesting such lease arrangement
- The board of trustees should meet to accept the petition and determine, after an investigation, that the library project is needed
- A not-for-profit corporation should be formed as the building corporation
    - Board of trustees members and employees may not serve on the building corporation
    - Building corporations must abide by the open meeting law
    - Building corporation members are often people in the community who are supportive of the library and would like to volunteer their time to assist in the financing of the project
    - The working group, which may include the library director, local attorney, financial advisor, bond counsel and architect (and construction manager, if applicable), will meet to develop a proposed budget for the financing.

This budget will be used to determine the term, rental payment dates and payment amount for the lease

- It is important that all members of the working group are comfortable with the budget because this information will be used by the financial advisor to determine the maximum lease rental amount and term

- Board of trustees and building corporation approve form of lease and publish notice of hearing on lease
- Town/City Council or County Council must approve borrowing
- Board of trustees holds public hearing on lease to receive comments on whether the lease terms are fair and reasonable
- Preliminary plans and specifications and the proposed lease must be available for inspection prior to the hearing
- The board of trustees and building corporation execute the lease
- Publish notice of execution of lease
- Two professional appraisers prepare a joint appraisal of real estate to be sold to building corporation
- If real estate was acquired by the library within the last three years, the amount the building corporation pays the library for the real estate may not be less than the original purchase price
- Publish notice of receipt of construction bids
- Receive and award construction bids to lowest responsible and responsive bidder
- Publish bond sale notice (if a competitive sale is used)
- Besides local papers, also publish in the Indianapolis in The Court & Commercial Record
- Bond Sale (this may be negotiated with an underwriter if the library chooses)
- Delivery of bonds and money -- the closing
- Bond counsel delivers opinion that lease is a valid obligation and that interest on bonds is tax-exempt

H. Library Lease Financing Proposed Timetable

**** If no request for application of petition & remonstrance process or referendum ****

Day 1	Preliminary budget meeting
Day 2	Publish and mail notice of preliminary determination hearing
Day 12	Board of Trustees meeting to hold preliminary determination hearing and adopt preliminary determination resolution
Day 14	Publish and mail notice of preliminary determination to enter into lease
Day 44	End of period to request application of petition and remonstrance process

Day 45-74	Circulate Taxpayers Petition *(if no application of petition and remonstrance process or referendum is filed)* and submit to Auditor for certification
Day 75	Form Building Corporation
Day 76	Building Corporation meeting to approve form of lease
Day 76	Board of Trustees meeting to receive taxpayers petition and to approve form of lease and formation of Building Corporation
Day 77	City/Town Council or County Council meeting to approve borrowing
Day 78	Publish notice of hearing on Lease
Day 111	Board of Trustees meeting to hold hearing on Lease
Day 112	Publish Notice of Execution of Lease
Day 140	Complete appraisal proceedings for sale of real estate
Day 141	Board of Trustees meeting to approve construction documents
Day 142	Publish notice of construction bids *(first publication)*
Day 149	Publish notice of construction bids *(second publication)*
Day 165	Publish Bond Sale Notice *(first publication)*
Day 171	Receive construction bids
Day 172	Publish Bond Sale Notice *(second publication)*
Day 178	Board of Trustees meeting to award construction bids and assign bids to Building Corporation
Day 178	Building Corporation meeting to approve borrowing and Trust Indenture, to deem Official Statement nearly final and accept assignment of construction bids
Day 185	Bond Sale
Day 199	Closing
Day 200	Commence Construction

I. Library Lease Financing Proposed Timetable – Petition/remonstrance Process

****If petition and remonstrance process applies and application petition is filed****

Day 1	Preliminary budget meeting
Day 2	Publish and mail notice of preliminary determination hearing
Day 12	Library Board meeting to hold preliminary determination hearing and adopt preliminary determination resolution
Day 14	Publish and mail notice of preliminary determination to enter into Lease
Day 43	Petition for application of petition and remonstrance process is filed with County Auditor

Day 58	Voter Registration Office/Auditor files certificate with Board of Trustees certifying petition requesting application of petition and remonstrance process
Day 60	Publish notice of applicability of petition and remonstrance process
Day 89	Voter Registration Office/Auditor issues petition and remonstrance forms
Day 90	Beginning of petition and remonstrance circulation
Day 120	End of petition and remonstrance period -- file petitions and remonstrances with Voter Registration Office/County Auditor
Day 135	Voter Registration Office/Auditor certifies taxpaying/voter signatures on petitions and remonstrances to Board of Trustees
Day 136	Form Building Corporation
Day 137	Board of Trustees meeting to receive Auditor's certificate with the taxpayers petition and remonstrances; if petitioners have greater number, approve form of Lease and formation of Building Corporation
Day 137	Building Corporation meeting to approve form of lease
Day 138	City/Town Council or County Council meeting to approve borrowing
Day 139	Publish notice of hearing on Lease
Day 169	Board of Trustees meeting to hold hearing on Lease; Execute Lease
Day 173	Publish Notice of Execution of Lease
Day 200	Board of Trustees meeting to approve construction documents
Day 205	Publish notice of construction bids *(first publication)*
Day 212	Publish notice of construction bids *(second publication)*
Day 252	Receive construction bids
Day 253	Complete appraisal proceedings for sale of real estate
Day 259	Board of Trustees meeting to award construction bids and assign bids to Building Corporation
Day 261	Building Corporation meeting to approve borrowing and Trust Indenture, to deem Official Statement nearly final and accept assignment of construction bids
Day 262	Publish bond sale notice (first publication)
Day 269	Publish bond sale notice (second publication)
Day 277	Bond Sale
Day 291	Closing
Day 292	Commence Construction

J. Library Lease Financing Proposed Timetable – Referendum

****If referendum applies and application petition is filed****

Day 1	Preliminary budget meeting
Day 2	Publish and mail notice of preliminary determination hearing
Day 12	Library Board meeting to hold preliminary determination hearing and adopt preliminary determination resolution
Day 14	Publish and mail notice of preliminary determination to enter into Lease
Day 43	Petition for application of referendum is filed with County Auditor
Day 58	Voter Registration Office/Auditor files certificate with Board of Trustees certifying petition requesting referendum
Day 65	Library files Certification of Voter Registration Office and letter requesting question be placed on ballot with County Auditor
Day 79	County Auditor certifies question to County Election Board
Day 109	County Election Board places question on ballot of next scheduled election, or if no scheduled election within next six months, special election scheduled. Special election to occur no sooner that 90 days nor later than 120 days after Auditor certifies the question
Day 200	Election
Day 207	Form Building Corporation
Day 207	Board of Trustees meeting to receive election results; if win approve form of Lease and formation of Building Corporation
Day 207	Building Corporation meeting to approve form of lease
Day 208	City/Town Council or County Council meeting to approve borrowing
Day 210	Publish notice of hearing on Lease
Day 237	Board of Trustees meeting to hold hearing on Lease; Execute Lease
Day 240	Publish Notice of Execution of Lease
Day 267	Board of Trustees meeting to approve construction documents
Day 270	Publish notice of construction bids *(first publication)*
Day 277	Publish notice of construction bids *(second publication)*
Day 300	Receive construction bids
Day 300	Complete appraisal proceedings for sale of real estate
Day 307	Board of Trustees meeting to award construction bids and assign bids to Building Corporation
Day 307	Building Corporation meeting to approve borrowing and Trust Indenture, to deem Official Statement nearly final and accept assignment of construction bids

Day 307	Publish bond sale notice (first publication)
Day 314	Publish bond sale notice (second publication)
Day 321	Bond Sale
Day 335	Closing
Day 336	Commence Construction

K. The Role of the Building Corporation

Under the Indiana Constitution a municipal corporation, such as a library, has a debt limitation of two percent of the net assessed valuation of property within the district. A building corporation is formed during a lease financing to assist the library in constructing and financing a project which it could not do alone because of this limitation. In this way the building corporation acts as a conduit. It is important to stress to the members of the building corporation that their role is to assist the library with its building project.

From the building corporation's perspective, there are three major phases to a building project. During the first phase, the members of the building corporation will meet and organize, approve the form of the lease and approve the plans and specifications for the building developed by the architect selected by the library. The library will also approve the plans and specifications and the form of the lease and after a notice period, hold a hearing on the lease.

The second phase is the financing part of the project. The building corporation will meet and approve the issuance of bonds to finance the project, the trust indenture and the official statement. The official statement is a document describing the building corporation, the library and the project and is used by the underwriter to market the bonds. During this phase, the bonds are sold and a closing occurs. At the closing, a transcript of the proceedings of the library and the building corporation with closing certificates is assembled. The bonds are delivered to the underwriter in exchange for payment.

The third phase of the project is the construction of the project. During this phase, the architect and construction manager, if applicable, will typically present contractor invoices for payment to the Board of Library Trustees, who will approve such payment. The invoices are then submitted to the building corporation for approval. The invoices will be attached to an affidavit for payment signed by two officers of the building corporation for approval. The invoices will be attached to an affidavit for payment signed by two officers of the building corporation or its designated representative and submitted to and paid by the trustee out of bond proceeds.

The building corporation will also need to approve any change orders required during construction <u>after</u> such change orders have been recommended by the architect and

construction manager, if applicable, and approved by the Board of Library Trustees. The building corporation will need to hold annual meetings and make all necessary filings to continue its existence. Typically, the building corporation will continue to exist until the bonds are paid off, but it will not be active unless market conditions make a refunding economically feasible.

As with any other type of corporation, the members do not have individual liability for debts or obligations of the corporation. IC 23-17-13-1(d) further states that "(a) director is not liable for an action taken as a director, or failure to take such action, unless: . . . the breach or failure to perform constitutes willful misconduct or recklessness."

During phase two, as described above, there is a possibility of liability under certain Security and Exchange Commission rules designed to prevent fraud in the sale of securities. The financial advisor, local counsel and bond counsel will assist the building corporation in avoiding such liability. The Board of Library Trustees and building corporation members can also assist in avoiding liability by reviewing the Official Statement for accuracy and completeness.

The members of the building corporation are an important part of any lease financing, and a library should appreciate the members' dedication to helping build a better library for the community. It is, however, important to emphasize to members of the building corporation that this building project is the library's project before, during and after the involvement of the building corporation. If that point is understood and accepted by members of the building corporation, there should be no opportunity for tension between the library and the building corporation.

L Bond Sale: Negotiated Versus Competitive

Bonds issued by a building corporation, in connection with a library lease financing pursuant to Indiana Code 36-1-10, may be issued using a competitive sale or by negotiating with an investment banker. Various factors should be considered in determining which type of sale is appropriate for a particular library's transaction. The financial advisor, based on his or her experience, will be able to make a recommendation; however, the ultimate decision is with the library.

With a competitive sale, a bond sale notice is published establishing a date or range of dates on which the building corporation will receive bids on its bonds. Generally, the financial advisor will supply the potential underwriters with maturity dates and amounts, either with the notice or just prior to the sale. The financial advisor will generate this schedule of maturity dates and amounts based upon estimated interest rates. The underwriter's bid will contain the interest rates for those maturity dates and amounts and the underwriter's discount. At the time of the sale, the building corporation will receive bids and, after the financial advisor reviews the bids, award the bonds to the underwriter offering the lowest interest cost. Many financial advisors believe that the building corporation will receive the best interest rates on its bonds at a competitive sale <u>on the date of the sale</u> because the competition will require the

underwriters to offer the best interest rates possible on that day to win the bonds. Some libraries like competitive sales because it avoids the political problem of having to choose an underwriter.

With a negotiated sale, the library chooses an investment banker to underwrite the bonds. The library may use a financial advisor and an underwriter, if it desires, or it may use the investment banker as both financial advisor and underwriter. The underwriter will watch the bond market and choose a day to sell the bonds which it believes will generate the best interest rates. After the underwriter markets the bonds, the building corporation and the underwriter will execute a bond purchase contract, which locks in the interest rates.

Financial advisors may recommend to a library or a library may decide on its own, that a negotiated sale would have certain advantages in a particular transaction. The decision to use a negotiated sale is sometimes merely based on the personal preferences and prior experiences of the board of trustees involved. There are certain factors, however, that tend to suggest that a negotiated sale may be of some advantage.

If a bond issue is very large or if the interest rate markets are very volatile, it may be appropriate to negotiate the issue. With a large issue it becomes difficult for an individual underwriter to submit a bid and therefore the underwriter joins a syndicate of underwriters to submit one joint bid. If this happens, competition may be limited or eliminated because of the small number of bids received. Financial advisors seem to vary on what size of issue is too large to sell competitively.

There are times when a library is trying to control its debt service and tax rate and therefore a very deliberate amortization schedule is desired. For example, a library may have a new industry in its district that currently is receiving property tax abatement, but in ten years will embody a large portion of the library's tax base. The financing can be structured in a way using capital appreciation bonds that will allow the debt service to be minimized for the first ten years of the issue until the industry comes on line. Capital appreciation bonds can only be accomplished with a negotiated sale. It is also possible, where a library is paying off other obligations (such as general obligation bonds or leases) over time, to structure the financing to achieve a relatively flat tax rate. Certain tax rate structuring will be more efficient with a negotiated sale.

Another scenario in which negotiated sales become very attractive is when the library has a story to tell. For example, a few years ago a major industry in a particular school corporation announced its closure the day before the school corporation had advertised to receive competitive bids on its bonds. The school corporation talked with an investment banker and explained the community's plans for dealing with the closure. The investment banker, on a negotiated basis, was able to sell the bonds by explaining the events to its potential customer.

Sometimes it is important for a library to sell the bonds as quickly as possible. For example, construction bids may be on the verge of expiring and the library wants to give

notice to proceed as soon as possible. Often, negotiated sales can be accomplished more quickly because there is not the fifteen day advertisement requirement, as there is with a competitive sale.

The decision between a competitive bond sale and a negotiated bond sale is ultimately the library's decision. The financial advisor can provide the library with the various advantages and disadvantages for a particular transaction to assist in the decision.

M. New Circuit Breaker Law

In the simplest terms, the circuit breaker tax credit enacted in the Indiana General Assembly puts a percentage cap on property taxes for certain taxpayers beginning with taxes payable in 2008. The percentage amount of the cap is based on the type of property. The percentages will decrease each year (in other words the amount of the cap will decrease) which will increase the potential loss to the governmental entities who receive tax dollars from that taxpayer until 2010 at which time the following will apply:

- Residential Homesteads – 1% of gross assessed valuation of the property
- Rental property and Agriculture – 2% of gross assessed valuation of the property
- Business – 3% of gross assessed valuation of the property

Even though the circuit breaker tax caps effect will not be fully felt until 2010, it is already having an effect on governmental units and school districts. The impact of the circuit breaker credit could be minimal for some libraries, but for others in connection with borrowing it could result in downgrades of credit ratings and may prevent them from being able to sell bonds.

Each taxing unit's ability to generate income will be linked to others in the taxing district. Since circuit breaker losses are shared by all taxing entities in the district, if one entity issues bonds or increases its tax rates, it impacts the ability of other entities in the district to do the same.

N. In Conclusion

A library project (and related financing) does not have to be a painful experience. There will be anxious moments in every project, such as the minutes before construction bids are opened. There will also be times when it appears that the legal process takes forever to complete. But with proper planning, good and open communication and the assistance of qualified, experienced professionals, the process and the end result can be very rewarding.

Handouts in this chapter that can be found on websites:

Community Development Block Grant – www.in.gov/ocra/2375.htm

USDA Rural Development - www.rurdev.usda.gov/
USDA Rural Development-Housing Program - www.rurdev.usda.gov/rhs/

SUGGESTED STEPS FOR NEW OR REMODELED LIBRARY FACILITIES

This outline consists of the major steps to be considered in the planning and construction of new or remodeled library facilities. The various points are listed in the approximate sequence but need not be followed in this exact order. Since the decision concerning new or remodeled facilities is of prime importance, the points concerning this are listed in more detail than those of the remainder of the outline.

I. Initial suggestion to build.

II. Decision on suggestion to build.

_____A. Condition and adequacy of present facilities to meetpresent and future needs.

_____1. Is the space for shelving, seating, and the staff becoming crowded?

_____2. Is rearrangement needed?

_____3. Structure as a building.

_____a. Is it generally sound?

_____b. Is the foundation solid and dry?

_____c. Is the heating and ventilating system adequate?

_____d. What is the condition of the wiring and plumbing?

_____e. Are the floors solid and level and will they hold the necessary weight for books, etc.?

_____f. Is the roof in good condition and does it drain well?

_____g. Does the structure meet building codes?

_____B. Alternatives to a new building.

_____1. Check the possibility of renovating the old building (as in II, A above)

_____2. Determine the possibilities of placing an addition on the old building.

_____a. Irregular floors between structures.

_____b. Bearing walls at place where structures are joined.

_____3. Cost per square foot for renovation and an addition may equal the cost per square foot for a new building.

_____4. Non-assignable space in an old building may amount to as much as forty to fifty per cent.

_____5. Renovation and addition should provide sufficient space for future activities and functions (this is determined by IV, the study of the library's community, and VII, the written building program).

III. Designation of responsibilities for planning the building, and for conducting and supervising the various other activities in the construction.

A. Definition of various owner responsibilities to be assigned to individuals or groups in library, library's administration or governing body, and library's community.

_____B. Identification of responsibilities assigned by law, regulation, policy, tradition, or other predetermination.

_____C. Recognition of the existence of any special responsibilities arising from specific building project (e.g., interests of a donor or joint ownership of a facility).

_____D. Assessment of capability in existing organization for discharging planning, executory, and supervisory responsibilities.

_____E. Determination of need for consultants.

_____F. Consideration of the employment of a clerk of the works.

_____G. Identification and representation of appropriate individuals and groups in planning activity.

_____H. Determination of the organizational form of planning activity.

_____I. Written specification of responsibilities of various persons involved (e.g., architect, legal counsel, consultants, construction contractors, representative designated by owner to accept and approve plans and construction, and groups of individuals with other responsibilities on behalf of the owner.)

IV. Study of library's community.

_____A. Characteristics of general population.

_____B. Projected changes in general population during the anticipated life of projected building as determined by owner.

_____C. Development plans for civil community.

_____D. General information about library's community.

_____E. Identification of present and future library needs of individuals and groups in community.

_____F. Other libraries and other recreational, cultural, informational, educational, and research activities and facilities in community.

_____G. Existing plans for area or regional library development.

_____H. Special library problems.

_____I. Observations and conclusions of any studies which may have been made about library or lack of library use in community.

V. Survey of the library.

_____A. Assess the quantity and quality of the book and periodical collection.
_____B. Assess the quantity and quality of audio-visual materials.
_____C. Evaluate the services offered to decide what should be dropped, strengthened, or added.
_____D. Study the library staff for an adequate number of people and duties to be performed by each person.

VI. Selection of architect, consultants, and others to be employed by owner.

_____A. Identification of necessary characteristics of architect, consultants, and others (e.g., clerk of the works and legal counsel).
_____B. Determination of method of selecting architect, consultants, and others.
_____C. Verification of competency of architect, consultants, and others being considered for employment.
_____D. Determination of basis for establishing fees and charges.
_____E. Provision for Architectural, consultant, and other services in the event those selected are not able to fulfill commitments.
_____F. Specification of architect who will design building if an architectural partnership or firm is employed.
_____G. Execution of contracts between owner and architect, consultants, and others selected.

VII. Preparation for actual planning.

_____A. Literature search and reading on library and other building architecture, layout, and equipment.
_____B. Visits by planners to other libraries, appropriate other buildings, and library and non-library equipment displays.
_____C. Correspondence with other libraries.
_____D. Survey of governing body, administration, library staff, and library users for suggestions regarding facilities to be included in new library building.

VIII. Preparation of building program statement.

_____A. Statement of library's history, organization, and policies.
_____B. Statement of library's philosophy.
_____C. Summary of the study of library's community.
_____D. Outline of library and nonlibrary functions and activities to be included in building.
_____E. Indication of amount of funds available for planning, site acquisition, and construction.
_____F. Indication of aesthetic and general requirements of building (e.g.,

architectural style, if appropriate; entrance at grade; and application of standards of construction for use by physically handicapped).

_____G. Description of criteria for selecting site.

_____H. Reference to standards appropriate to owner's type of library and to library construction.

_____I. Indication of space requirements for each function and activity.

_____J. Indication of space and service relationships.

_____K. Complete list of features and equipment not included elsewhere (e.g., integrated works of art; display facilities; book returns; and provisions for heating, ventilating, and lighting) and their requirements.

_____L. Indication of provision for expansion.

_____M. Indication of the name of building.

IX. Development and execution of financing plan.

_____A. Identification and study of possible sources of finance.

_____B. Selection of source or combination of sources which will provide adequate funds at the least cost of financing and debt service.

_____C. Crediting value of present mechanical and other equipment which can be used in new building.

_____D. Estimating total funds available for planning, site acquisition and construction.

_____E. Planning and executing funding campaign.

_____F. Consulting with legal counsel regarding financing.

_____G. Accepting funds, accounting, auditing, and other activities of financing responsibility.

X. Survey, selection, and acquisition of site.

_____A. Survey or mapping of prospective sites showing key data.

_____B. Location with respect to residence, movement of members of library's community, and traffic patterns in community.

_____C. Accessibility by foot and conveyed traffic, both private and public.

_____D. Visual prominence sites would give to building.

_____E. Geology and geography (grade, size, shape, orientation, soil and ground conditions, drainage, and natural hazards, such as flooding and landslides).

_____F. Zoning, requirements of master plan, or building restrictions.

_____G. Availability and convenience of utilities required.

_____H. Relationship to location of activities allied with or related to library.

_____I. Neighborhood (e.g., sounds and smells, civic attitudes, personal safety, and fire and other hazards).

_____J. Public relations aspects.

_____K. Advice and assistance of legal counsel.

_____L. Fairness of price.
_____M. Existence of clear title and possession of deed.

XI. Development and execution of publicity campaign.

_____A. Determination of objectives.
_____B. Coordination with library's general public relations program.
_____C. Establishment of publicity schedule, publicity budget allocations, and assignment of publicity responsibilities.
_____D. Selection and preparation of individuals, offices, groups, and media which will be used.
_____E. Preparation of plan to handle negative situations (e.g., strikes, accidents, and differences of opinion over site).

XII. Preparation and approval of schematic designs.

_____A. Preparation of proposed floor layouts by architect.
_____B. Submission of a statement of probable costs of construction by architect or by cost estimator.
_____C. Inspection, comparison with program requirements, and evaluation by governing body, administration, and planning team.
_____D. Revision of schematic design by architect.
_____E. Approval of schematic design by owner's designated representative.

XIII. Determination of built-in and other equipment requiring special consideration in construction.

_____A. Identification of those built-in and other items which will require special consideration.
_____B. Assurance that architect understands any items with which he may not be familiar.
_____C. Preparation of specifications by architect.
_____D. Identification of prospective suppliers and estimation of costs by architect or by cost estimator.

XIV. Preparation and approval of preliminary drawings and outline specifications.

_____A. Preparation by the architect of detailed drawings, elevations, and other drawings.
_____B. Preparation by architect of outline specifications for materials; type of structure; and mechanical, electrical, and other systems.
_____C. Submission by the architect or cost estimator of a revised statement of

probable costs of construction.

_____D. Inspection, comparison with program requirements, and evaluation by governing body, administration, and planning team.

_____E. Revision by architect of preliminary drawings and outline specifications.

_____F. Approval by owner's designated representative of preliminary drawings and outline specifications.

XV. Preparation and approval of working drawings and detailed specifications.

_____A. Preparation by architect of working drawings, including detail drawings of architectural, structural, and mechanical work, and from which specifications for bids are prepared.

_____B. Inspection, comparison with program requirements, and evaluation by governing body, administration, and planning team.

_____C. Revision by architect of working drawings.

_____D. Preparation by architect of detailed specifications.

_____E. Submission by the architect or cost estimator of revised statement of probable costs of construction.

_____F. Acceptance in writing by owner's designated representative of final drawings, incorporating indicated changes or modifications, and of specifications.

_____G. Preparation of construction documents.

XVI. Selection and specification writing for movable furniture and equipment.

_____A. Compilation by planning team of list giving name and quantity of all movable furniture and equipment to be purchased.

_____B. Writing of specifications for movable furniture and equipment by architect, librarian, or consultant.

XVII. Preparation of contract documents, and advertisement and receipt of bids.

_____A. Identification of purchases of construction, mechanical equipment, and built-in and movable furniture and equipment to be made by bid and those to be made by negotiated purchase.

_____B. Preparation of bid documents.

_____C. Consultation with library's legal counsel on purchase requirements, bid documents, and bid forms and procedures.

_____D. Negotiation of purchase of those items not subject to purchase by bid.

_____E. Determining schedule and time and place of bid opening.

_____F. Advertising invitation to bid.

_____G. Receiving bids.

_____H. Disqualification of bids not received in accordance with invitation specifications.

XVIII. Planning ground-breaking ceremony.

XIX. Award of contracts or confirmation of purchase, signing of contracts, and establishment of construction and delivery schedules.

_____A. Opening bids.
_____B. Reviewing bids for compliance with bid procedure and for compliance with specifications.
_____C. Comparing prices, conditions of delivery, and other details.
_____D. Investigating performance record of contractors submitting bids.
_____E. Awarding and signing contracts and confirming negotiated purchases.
_____F. Reviewing contracts and negotiated purchases for legal compliances.

_____G. Determining tentative construction delivery, and other schedules not specified in contracts.

XX. Conducting in-construction activities.

_____A. Holding ground-breaking ceremonies.
_____B. Continually inspecting work to assure that the construction agrees with the working drawings and specifications.
_____C. Providing delivery access to site, unloading areas, and storage facilities for supplies, materials, and equipment which must be held before use.
_____D. Handling change orders.
_____E. Providing for working temperature in cold weather.
_____F. Providing security from pilferage, vandalism, personal injury, and property damage for property during construction.
_____G. Inspection and certifying work completed and for payment to contractors.
_____H. Receiving and inspecting equipment and furniture delivered to owner.
_____I. Paying architect, consultants, vendors, contractors, and others according to schedules as construction is completed and as equipment and supplies are delivered and accepted.
_____J. Preparing list of significant errors, omissions, defects, and deficiencies to be corrected by contractor before owner's final payment.

XXI. Planning for post-construction activities and procedures.

_____A. Determining increased staff requirements, and recruiting and training additional staff.
_____B. Determining and arranging for the provision of new library materials

required to be available on the opening of new building as a result of new or reorganized services.

_____C. Developing new and revised rules and regulations necessitated by the move into new building and planning for publication of revised rules and regulations.

_____D. Planning for the provision of increased funds which may be required for added staff, service contracts for new equipment, etc. required by new building.

_____E. Planning movement of materials, equipment, and furniture from old to new building.

XXII. Final inspection and acceptance of the new building.

_____A. Final inspection of building by architect, contractor, and representative of the owner.

_____B. Preparation of list of unsatisfactory and incomplete work.

_____C. Correction or errors and completion of the work by the contractor.

_____D. Acceptance of building and final payments made to the architect, contractors, and others to whom payments are due.

XXIII. Movement to new building.

XXIV. Post-acceptance activities.

_____A. Shakedown period for building, equipment, and staff, after acceptance and before opening to the public.

_____B. Publication and distribution of guides, new policies, rules, and regulations for new building.

_____C. Detection and solution of construction problems not noted before acceptance of building.

Chapter 18

PUBLIC PURCHASES, PURCHASE OF LAND OR STRUCTURESAND INVENTORY OF FIXED ASSETS

This content is excerpted from the Indiana State Board of Accounts Library Manual Chapter 10 found at www.in.gov/sboa/files/lib2010_010.pdf (reissued 2010). In all cases please consult current statutes for up to date information at www.in.gov/legislative/ic/code/title5/ar22/

PUBLIC PURCHASES, PURCHASE OF LAND OR STRUCTURES AND INVENTORY OF FIXED ASSETS
www.in.gov/sboa/2802.htm see Chapter 10.

The "Public Purchasing Law" applies to every expenditure of public funds by a governmental body, unless specifically exempted in IC 5-22. [IC 5-22-1-1]

The purchase of books, magazines, pamphlets, films, filmstrips, microfilm, slides, transparencies, phonodiscs, models, art reproductions, and all other forms of library and audiovisual materials are exempt from the restrictions imposed by IC 5-22. (IC 36-12-3-16)

GENERAL PROVISIONS
Definitions

IC 5-22-2 contains definitions applicable to the public purchasing statutes. Selected definitions are presented in this section and throughout this chapter.

"**Policy**" refers to a governmental body's or purchasing agency's written statement of purchasing

procedure or substantive purchasing purposes that does not have the force and effect of law. [IC 5-22-2-21]

"**Public Funds**" means money derived from the revenue sources of the governmental body and deposited into the general or a special fund of the governmental body. [IC 5-22-2-23(a)]

"**Purchase**" includes buy, procure, rent, lease, or otherwise acquire. The term includes the following activities: description of requirements; solicitation or selection of sources; preparation and award of contract; all phases of contract administration; and all functions that pertain to purchasing. [IC 5-22-2-24]

"**Purchasing Agency**" means a governmental body that is authorized to enter into contracts by this article, rules adopted under this article, or by another law. [IC 5-22-2-25]

"**Purchasing Agent**" means an individual authorized by a purchasing agency to act as an agent for the purchasing agency in the administration of the duties of the purchasing agency. [IC 5-22-2-26]

“Reverse Auction” means a method of purchasing in which offerors submit offers in an open and interactive environment through the Internet.

"**Rule**" refers to an order, an ordinance, a resolution, or another procedure by which the governmental body is authorized by law to adopt a policy that has the force and effect of law. [IC 5-22-2-29]

"**Supplies**" means any property. The term includes equipment, goods, and materials. The term does not include an interest in real property. [IC 5-22-2-38]

Rules and Written Policies

A governmental body may adopt rules to regulate purchases of the governmental body which may supplement IC 5-22 and not be inconsistent with IC 5-22.

The purchasing agency of a governmental body may establish written policies for purchases made by the purchasing agency. The written policies may apply to all purchases generally or to a specific purchase as stated in the solicitation for the purchase. A written policy may supplement this article or a rule adopted by the purchasing agency's governmental body and not be inconsistent with this article or a rule adopted by the purchasing agency's governmental body. [IC 5-22-3-3]

COMPETITIVE BIDDING

A purchasing agent shall follow competitive bidding procedures in awarding a contract for supplies, unless another purchasing method is required or authorized by IC 5-22. [IC 5-22-7-1]

Invitation for Bids

A purchasing agent shall issue an invitation for bids, as defined in IC 5-22-2-14. Pursuant to IC 5-22-7-2, an invitation for bids must include the following:

1. A purchase description. IC 5-22-2-27 defines a "purchase description" as the words used in a solicitation to describe the supplies or services to be purchased. The term includes specifications attached to, or made a part of, the solicitation.
2. All contractual terms and conditions that apply to the purchase
3. A statement of the evaluation criteria that will be used, including any of the following: inspection; testing; quality; workmanship; delivery; suitability for a particular purpose; and the requirement imposed under IC 5-22-3-5 regarding offers submitted by trusts.

   Evaluation criteria that will affect the bid price and be considered in the evaluation for an award must be objectively measurable. [IC 5-22-7-3]

   Only criteria specified in the invitation for bids may be used in bid evaluation. [IC 5-22-7-4]
4. The time and place for opening the bids.
5. A statement concerning whether the bid must be accompanied by a certified check or other evidence of financial responsibility that may be imposed in accordance with the rules or policies of the governmental body.
6. A statement concerning the conditions under which a bid may be canceled or rejected in whole or in part as specified under IC 5-22-18-2.

Notice of Invitation for Bids IC 5-22-7-5

a) The purchasing agency shall give notice of the invitation for bids in a manner required by IC 5-3-1.
b) The purchasing agency for a political subdivision may also provide electronic access to the notice or any other electronic means available to the political subdivision through the electronic gateway administered by the Office of Technology; or
c) any other electronic means available to the political subdivision. as determined by the commission. [IC 5-22-7-5(c)]

Public Opening of Bids

The purchasing agency shall open bids publicly in the presence of one or more witnesses at the time and place designated in the invitation for bids. [IC 5-22-7-6]

Acceptance and Evaluation of Bids IC 5-22-7-7

Bids must be unconditionally accepted without alteration or correction, except as provided in IC 5-22-7-11 through IC 5-22-7-13 and evaluated based on the requirements provided in the invitation for bids. [IC 5-22-7-7]

Change in Bid Prices. A purchasing agency may not permit changes in bid prices or other provisions of bids prejudicial to the interest of the governmental body or fair competition after bid opening. [IC 5-22-7-11]

Additional Terms or Items. If a bidder inserts contract terms or bids on items not specified in the invitation for bids, the purchasing agent shall treat the additional material as a proposal for addition to the contract and may do any of the following:

1) Declare the bidder nonresponsive.
2) Permit the bidder to withdraw the proposed additions to the contract in order to meet the requirements and criteria provided in the invitation for bids.
3) Accept any of the proposed additions to the contract, subject to IC 5-22-7-13. [IC 5-22-7-12]

Contract Additions. The purchasing agent may not accept proposed additions to the contract that are prejudicial to the interest of the governmental body or fair competition. [IC 5-22-7-13]

Invitation for Bid Requirements. A decision of the purchasing agent to permit a change to the requirements of the invitation for bids must be supported by a written determination by the purchasing agency.[IC 5-22-7-13]

Awarding of Contract A contract must be awarded with reasonable promptness by written notice to the lowest responsible and responsive bidder. [IC 5-22-7-8]

Erroneous Bid or Mistake The governmental body may adopt rules or establish policies to allow any of the following:

1. Correction or withdrawal of inadvertently erroneous bids before or after award.
2. Cancellation of awards or contracts based on a mistake described in subdivision (1).

Except as provided in a rule or policy, a purchasing agency must make a written decision to permit the correction or withdrawal of a bid; or cancel awards or contracts based on bid mistakes.
[IC 5-22-7-10]

Maintenance of Information by Purchasing Agency

The purchasing agency shall maintain the following information:

1. The name of each bidder.
2. The amount of each bid.
3. Other information required by this article and rules adopted under this article.

This information is subject to public inspection after each contract award. [IC 5-22-7-9]

SPECIFICATIONS

General Provisions

Economy. A specification must promote overall economy for the purposes intended and encourage competition in satisfying the governmental body's needs. [IC 5-22-5-3]

Rules and Policies. A governmental body may adopt rules or establish policies for the preparation, maintenance, and content of specifications. Rules or policies may include a description of requirements for inspecting, testing, or preparing an item for delivery. [IC 5-22-5-1]

Purchasing Agent Responsibility. A purchasing agent shall prepare, issue, revise, maintain, and monitor the use of specifications. [IC 5-22-5-2]

File of Specifications. The purchasing agency shall maintain an indexed file of specifications prepared by or under the authority of its purchasing agents. [IC 5-22-5-4]

Request for Specifications

A request for specifications may be issued if the purchasing agent makes a written determination that the development of specifications by the governmental body is not feasible and the executive of the governmental body approves the use of a request for specifications under IC 5-22-5-5. [IC 5-22-5-5]

A request for specifications must include the following:

1. Factors or criteria that will be used in evaluating the specifications.
2. A statement concerning the relative importance of evaluation factors.
3. A statement concerning whether discussions may be conducted with persons proposing specifications to clarify the specification requirements. [IC 5-22-5-5]

Notice

The purchasing agent shall give notice of the request for specifications under IC 5-3-1. [IC 5-22-5-5]

Discussion and Revision of Specifications

As provided in the request for specifications, the purchasing agent may discuss proposed specifications with persons proposing specifications to clarify specification requirements. Persons proposing specifications must be accorded fair and equal treatment with respect to any opportunity for discussion and revisions of proposed specifications. [IC 5-22-5-5]

REQUEST FOR PROPOSALS

When a purchasing agent makes a written determination that the use of competitive sealed bidding is either not practicable or not advantageous to the governmental body, the purchasing agent may award a contract using the request for proposals process under IC 5-22-9 instead of competitive sealed bidding under IC 5-22-7. [IC 5-22-9-1]

Rules and Policies

The governmental body may provide by rule or policy that it is either not practicable or not advantageous to the governmental body to purchase specified types of supplies by competitive sealed bidding and receiving proposals is the preferred method for purchase of that type of supply. [IC 5-22-9-8]

Content of Request for Proposals

The purchasing agent shall solicit proposals through a request for proposals, which must include the following:

1. The factors or criteria that will be used in evaluating the proposals.
2. A statement concerning the relative importance of price and the other evaluation factors.
3. A statement concerning whether the proposal must be accompanied by a certified check or other evidence of financial responsibility, which may be imposed in accordance with the rules of the governmental body.
4. A statement concerning whether discussions may be conducted with responsible offerors, who submit proposals determined to be reasonably susceptible of being selected for award. [IC 5-22-9-2]

The only factors or criteria that may be used in the evaluation of proposals are those specified in the request for proposals. [IC 5-22-9-10]

Notice

The purchasing agency shall give public notice of the request for proposals in the manner required by IC 5-3-1. [IC 5-22-9-3(a)]

The purchasing agency for a political subdivision may also provide electronic access to the notice through the electronic gateway administered by the Office of Technology. [IC 5-22-9-3(c)]

Opening of Proposals

Proposals must be opened so as to avoid disclosure of contents to competing offerors during the

process of negotiation. [IC 5-22-9-4]

Discussion and Revision of Proposals

As provided in the request for proposals or under the rules or policies of the governmental body, discussions may be conducted with, and best and final offers obtained from, responsible offerors who submit proposals determined to be reasonably susceptible of being selected for award. [IC 5-22-9-6]

Offerors must be accorded fair and equal treatment with respect to any opportunity for discussion and revisions of proposals. In conducting discussions with an offeror, information derived from proposals submitted by competing offerors may be used in discussion only if the identity of the offeror providing the information is not disclosed to others. The purchasing agency must provide equivalent information to all offerors with which the purchasing agency chooses to have discussions. [IC 5-22-9-9]

Award

Award shall be made to the responsible offeror whose proposal is determined in writing to be the most advantageous to the governmental body, taking into consideration price and the other evaluation factors set forth in the request for proposals. [IC 5-22-9-7]

If provided in the request for proposals, award may be made to more than one offer or whose proposals are determined in writing to be advantageous to the governmental body, taking into consideration price and other evaluation factors set forth in the request for proposals. [IC 5-22-9-7]

Register of Proposals

A register of proposals must be prepared and open for public inspection after contract award. The register of proposals must contain the following:

1. A copy of the request for proposals.
2. A list of all persons to whom copies of the request for proposals were given.
3. A list of all proposals received, which must include all the following:
    a. The names and addresses of all offerors.
    b. The dollar amount of each offer.
    c. The name of the successful offeror and the dollar amount of that offeror's offer.
4. The basis on which the award was made.
5. The entire contents of the contract file except for proprietary information included with an offer, such as trade secrets, manufacturing processes, and financial information that was not required to be made available for public inspection by the terms of the request for proposals. [IC 5-22-9-5]

SMALL PURCHASES

General Provisions

The small purchase chapter, IC 5-22-8, applies only to a purchase expected by the purchasing agent to be less than $150,000. [IC 5-22-8-1]

Purchase requirements may not be artificially divided so as to constitute a small purchase under IC 5-22-8. [IC 5-22-8-1]

Quotes

Solicitation of Quotes. If the purchasing agent expects the purchase to be at least $50,000 and not more than $150,000, the purchasing agent may purchase supplies by inviting quotes from at least three persons known to deal in the lines or classes of supplies to be purchased. [IC 5-22-8-3]

The purchasing agent shall mail an invitation to quote at least seven days before the time fixed for receiving quotes. [IC 5-22-8-3]

Award of Contract. If the purchasing agent receives a satisfactory quote, the purchasing agent shall award a contract to the lowest responsible and responsive offeror for each line or class of supplies required. [IC 5-22-8-3]

Rejection of Quotes. The purchasing agent may reject all quotes. [IC 5-22-8-3]

No Satisfactory Quote Received. If the purchasing agent does not receive a quote from a responsible and responsive offeror, the purchasing agent may purchase the supplies under IC 5-22-10-10. [IC 5-22-8-3]

Small Purchase Policies

If the purchasing agent expects the purchase to be less than $50,000, the purchasing agent may make a purchase under small purchase policies established by the purchasing agency or under rules adopted by the governmental body. [IC 5-22-8-2]

SPECIAL PURCHASING METHODS

Notwithstanding any other provision of IC 5-22, a purchasing agent may make a purchase under IC 5-22-10 without soliciting bids or proposals. [IC 5-22-10-1]

Administrative Requirements

Listing of Contracts. A governmental body shall maintain a record listing all contracts made under IC 5-22-10 for a minimum of five years. The record must contain the following information:

1. Each contractors name.
2. The amount and type of each contract.
3. A description of the supplies purchased under each contract. [IC 5-22-10-3]

Contract Files. A purchasing agent shall maintain the contract records for a special purchase in a separate file. A purchasing agent shall include in the contract file a written determination of the basis for the special purchase and the selection of a particular contractor. The contract records for a special purchase are subject to annual audit by the State Board of Accounts. [IC 5-22-10-3]

Competition. A special purchase must be made with competition as is practicable under the circumstances. [IC 5-22-10-2]

Emergency Conditions

A purchasing agent may make a special purchase when there exists, under emergency conditions, a threat to public health, welfare, or safety. [IC 5-22-10-4]

Savings to Governmental Body

A purchasing agent may make a special purchase when there exists a unique opportunity to obtain supplies or services at a substantial savings to the governmental body. [IC 5-22-10-5]

Auctions

A purchasing agent may make a special purchase at an auction. [IC 5-22-10-6]

Data Processing Contract or License Agreements

A purchasing agent may make a special purchase of data processing contracts or license agreements for software programs or supplies or services when only one source meets the using agency's reasonable requirements. [IC 5-22-10-7]

Compatibility of Equipment, Accessories, or Replacement Parts

A purchasing agent may make a special purchase when the compatibility of equipment, accessories, or replacement parts is a substantial consideration in the purchase and only one source meets the using agency's reasonable requirements. [IC 5-22-10-8]

Purchasing Method Impairs Functioning of Agency

A purchasing agent may make a special purchase when purchase of the required supplies or services under another purchasing method under this article would seriously impair the functioning of the using agency. [IC 5-22-10-9]

No Offer Received Under Other Purchasing Method

A purchasing agent may make a special purchase when the purchasing agency has solicited for a purchase under another purchasing method described in IC 5-22 and has not received a responsive offer. [IC5-22-10-10]

Evaluation of Supplies or System Containing Supplies

A purchasing agent may make a special purchase for the evaluation of supplies or a system containing supplies for any of the following reasons:

A. To obtain functional information or comparative data.
B. For a purpose that in the judgment of the purchasing agent may advance the long term competitive position of the governmental body. [IC 5-22-10-11]

Governmental Discount Available

A purchasing agent may make a special purchase when the market structure is based on price but the governmental body is able to receive a dollar or percentage discount of the established price. [IC 5-22-10-12]

Single Source for Supply

Subject to IC 5-22-10-14 and IC 5-22-10-15, a purchasing agent may award a contract for a supply when there is only one source for the supply and the purchasing agent determines in writing that there is only one source for the supply. [IC 5-22-10-13]

Efficiency and Economic Advantages

A purchasing agent may make a purchase from a person when the purchasing agent determines in writing that supplies can be purchased from the person or the person's authorized representative at prices equal to or less than the prices stipulated in current federal supply service schedules established by the federal General Services Administration; and it is advantageous to the governmental body's interest in efficiency and economy. [IC 5-22-10-14]

Contract With a Federal Agency

A purchasing agent may purchase supplies if the purchase is made from a person who has a contract with a federal agency and the person's contract with the federal agency requires the person to make the supplies available to the state or political subdivisions. [IC 5-22-10-15]

Contract With a State Agency

A purchasing agent for a political subdivision may purchase supplies if the purchase is made from a person who has a contract with a state agency and the person's contract with the state requires the person to make the supplies or services available to political subdivisions. [IC 5-22-10-15]

Transfer From Federal Government

A purchasing agent may acquire supplies if the purchasing agent determines that the governmental body can obtain the transfer of the supplies from the federal government under IC 4-13-1.7 at a cost less than would be obtained from purchase of the supplies by soliciting for bids or proposals. [IC 5-22-10-16]

Appropriation. A governmental body may not make a purchase under this section if title to the property will be transferred to the governmental body before a sufficient appropriation to pay the costs of the purchase is appropriated. However, if the supplies will be transferred to the governmental body upon conditional sale or under a lease, a lease with option to purchase or a contract for the use of the supplies, the governmental body may make the purchase under this section if there are sufficient funds to pay the consideration required for one year of the agreement. [IC 5-22-10-16]

Notice. A purchasing agent who purchases or leases surplus federal materials shall, at the time of the purchase or lease, or immediately thereafter, give public notice in accordance with IC 5-3-1. [IC 5-22-10-16]

Acceptance of Gift

A purchasing agent may acquire supplies by accepting a gift for the purchasing agent's governmental body. [IC 5-22-10-17]

Purchase From a Public Utility

A purchasing agent may make a special purchase from a public utility if the purchase or lease price is a negotiated price that considers the results of an independent appraisal that the purchasing agency obtains and an independent appraisal that the public utility obtains. [IC 5-22-10-19]

PURCHASES FROM THE DEPARTMENT OF CORRECTION

Subject to IC 5-22-11-2, a governmental body shall purchase from the department of correction supplies and services produced or manufactured by the department under IC 11-10-6 as listed in the department's printed catalog unless the supplies and services cannot be furnished in a timely manner. [IC 5-22-11-1]

Supplies and services purchased under this chapter must meet the specifications and needs of the purchasing governmental body and be purchased at a fair market value. [IC 5-22-11-2]

PURCHASE OF REHABILITATION CENTER PRODUCTS

Definitions

"Bureau" refers to the Rehabilitation Services Bureau of the Division of Disability, Aging, and Rehabilitative Services established under IC 12-12-1-1. [IC 5-22-12-2]

"Rehabilitation Center" refers to the Rehabilitation Center established under IC 12-12-3-1. [IC 5-22-12-3]

General Provisions

A governmental body shall purchase articles produced by the Rehabilitation Center under the same conditions as articles produced by the Department of Correction under IC 5-22-11, unless similar articles are produced by the governmental body. [IC 5-22-12-4]

Whenever a governmental body needs an article listed in the catalog published by the bureau, the governmental body:

1. shall give the Bureau a reasonable time to produce or supply the article; and
2. except for an article produced by the Department of Correction, may not elsewhere contract for, purchase or pay a bill for an article described in the catalog unless the article cannot be furnished by the Bureau. [IC 5-22-12-6]

A governmental body may contract elsewhere for purchase of an article described in the catalog if the bureau gives a written statement that the bureau cannot furnish the article. [IC 5-22-12-6]

Supplies purchased under this chapter must meet the specifications and needs of the purchasing governmental body and be purchased at a fair market price. [IC 5-22-12-7]

PURCHASES FROM QUALIFIED NONPROFIT AGENCIES FOR PERSONS WITH SEVERE DISABILITIES

The governmental body of a political subdivision may purchase supplies and services without advertising or calling for bids from a qualified agency under the same conditions as supplies produced by the department of correction are purchased under IC 5-22-11. [IC 5-22-13-2]

Supplies and services purchased under this chapter must meet the specifications and needs of the purchasing governmental body and be purchased at a fair market price. [IC 5-22-13-5]

SMALL BUSINESS SET-ASIDE PURCHASES

Definitions

"Small business" means a business that is independently owned and operated, is not dominant in its field of operation, and satisfies the criteria in the rules adopted under IC 5-22-14-3. [IC 5-22-14-1]

"Small business set-aside" means a purchase in which the solicitation states that offers will be accepted only by small businesses. [IC 5-22-14-2]

Rules

A governmental body may adopt rules to implement IC 5-22-14. The rules must establish criteria for determining qualifications as a small business. IC 5-22-14-3 contains criteria which must be included in the rules. The governmental body may also receive assistance from the Indiana Department of Commerce to establish criteria or to implement the rules. [IC 5-22-14-3]

A purchase from a small business under IC 5-22-14 is subject to all other provisions of IC 5-22 and the rules of the governmental body. [IC 5-22-14-10]

Designation as a Small Business Set-Aside

1. A small business designation must be made before the solicitation for the purchase is issued and the public notice of the purchase must state that the purchase is a small business set aside. [IC 5-22-14-4]
2. If a purchase is designated as a small business set-aside, the solicitation must be confined to small businesses. [IC 5-22-14-6]
3. A governmental body that has adopted rules under IC 5-22-14 may identify as a small business set-aside specific supplies for which purchase has been requested under IC 5-22.[IC 5-22-14-4]
4. A governmental body may not designate a purchase as a small business set-aside unless there is a reasonable expectation that offers will be obtained from at least two small businesses capable of furnishing the desired supplies or service at a fair and reasonable price. [IC 5-22-14-5]

Award of Contract

A contract shall be awarded to the lowest responsible and responsive offeror among the small businesses in accordance with the rules of the governmental body. [IC 5-22-14-7]

Rejection of Offers

If the purchasing agent determines that acceptance of the lowest responsible and responsive offer will result in the payment of an unreasonable price, the purchasing agent shall reject all offers and may withdraw designation of the purchase as a small business set-aside.

Assistance From Department of Commerce

The Department of Commerce may assist a governmental body in doing any of the following:

1. Compiling and maintaining a comprehensive list of small businesses.
2. Assisting small businesses in complying with the procedures for bidding on governmental contracts.
3. Examining requests from governmental bodies for the purchase of supplies to help determine which purchases are to be designated small business set-asides.

4. Simplifying specifications and contract terms to increase the opportunities for small business participation in governmental contracts.
5. Investigations by a governmental body to determine the responsibility of offerors on small business set-asides. [IC 5-22-14-9]

SERVICES

Definitions

"Services" means the furnishing of labor, time, or effort by a person, not involving the delivery of specific supplies other than printed documents or other items that are merely incidental to the required performance. [IC 5-22-2-30]

General Provisions

The purchasing agency of a governmental body may purchase services using any procedure the governmental body or the purchasing agency of the governmental body considers appropriate. [IC 5-22-6-1]

Payments made or received for contractual services should be supported by a written contract. Each governmental unit is responsible for complying with the provisions of its contracts.

Rules and Policies

A governmental body may adopt rules governing the purchase of services for the governmental body. The purchasing agency of a governmental body may establish policies regarding the purchase of services for the governmental body. [IC 5-22-6-2]

Contracts for Collection Services

A unit of local government or an agency of a unit of local government may contract with a collection agency to collect amounts due and authorize the collection agency to collect from the debtor a collection fee. [IC 5-22-6.5-3]

The governmental body shall award a contract for collection services using any procedure authorized by statute. [IC 5-22-6.5-4]

QUALIFICATIONS AND DUTIES OF OFFERORS

Responsibility of Offeror

Written Determination. If the purchasing agent determines that an offeror is not responsible, that determination must be made in writing by the purchasing agent. [IC 5-22-16-1]

Factors. In determining whether an offeror is responsible, a purchasing agent may consider the following factors:

1. The ability and capacity of the offeror to provide the supplies or service.
2. The integrity, character, and reputation of the offeror.
3. The competency and experience of the offeror. [IC 5-22-16-1]

Failure to Provide Information. If an offeror fails to provide information required by the purchasing agent concerning a determination of whether the offeror is responsible, that offeror may not be considered responsible. Information furnished by an offeror shall not be disclosed outside the purchasing agency without the offeror's prior written consent. [IC 5-22-16-1]

Foreign Corporation. An offeror that is a foreign corporation must be registered with the Secretary of State to do business in Indiana in order to be considered responsible. The purchasing agent may award a contract to an offeror pending the offeror's registration with the Secretary of State. If, in the judgment of the purchasing agent, the offeror has not registered within a reasonable period, the purchasing agent shall cancel the contract. [IC 5-22-16-4]

Responsiveness of Offeror

In determining whether an offeror is responsive, a purchasing agent may consider the following factors:

1. Whether the offeror has submitted an offer that conforms in all material respects to the specifications.
2. Whether the offeror has submitted an offer that complies specifically with the solicitation and the instructions to offerors.
3. Whether the offeror has complied with all applicable statutes, ordinances, resolutions, or rules pertaining to the award of a public contract. [IC 5-22-16-2]

Prequalified Contractors

Prospective contractors may be prequalified for particular types of supplies. Solicitation mailing lists of potential contractors may include any or all of such prequalified persons. [IC 5-22-16-3]

Evidence of Financial Responsibility

Solicitation. A purchasing agent may specify in a solicitation that an offeror must provide evidence of financial responsibility in order to be considered responsible. The evidence of financial responsibility may be a bond, certified check, or other evidence specified by the purchasing agent in the solicitation. An offeror must file evidence of financial responsibility in the amount, at the time and as specified by the purchasing agent in the solicitation. [IC 5-22-16-5]

Amount. If a bond or certified check is required as the evidence of financial responsibility, the amount of the bond or certified check may not be set at more than ten percent of the contract price. The bond, certified check, or other evidence of financial responsibility shall be made payable to the governmental body. [IC 5-22-16-5]

Check of Successful Offeror. The check of a successful offeror shall be held until delivery or until completion of the contract. [IC 5-22-16-5]

Check of Unsuccessful Offeror. The check of an unsuccessful offeror shall be returned to the offeror by the purchasing agent upon selection of successful offerors. [IC 5-22-16-5]

Performance Bond

A performance bond may be required in addition to the bond, certified check or other evidence of financial responsibility if the amount of the performance bond is stated in the solicitation. [IC 5-22-16-5]

Affirmation by Offeror

An offeror must file with the purchasing agent an affirmation, made under the penalties for perjury that states in substance the following:

1. The offeror has not entered into a combination or an agreement: relative to the price to be offered by a person; to prevent a person from making an offer; or to induce a person to refrain from making an offer.
2. The offeror's offer is made without reference to any other offer.

The purchasing agent may require the affirmation to be made in the contract documents.

The purchasing agent shall reject an offer that the purchasing agent finds to be collusive.

If after the purchasing agent has awarded the contract, the purchasing agent discovers that the successful offeror's affirmation was false, the purchasing agent shall declare the contract forfeited and award a new contract. [IC 5-22-16-6]

PURCHASING PREFERENCES

Rules

A governmental body may adopt rules to implement the statutes governing purchasing preferences.[IC 5-22-15-15]

Allowable Preferences

A offeror may claim one of the following types of preference for which the offeror is eligible:

1. An Indiana business preference under rules adopted under IC 5-22-15-20 or IC 4-13.6-6-2.5.
2. A preference for supplies as provided by sections 16, 18, 19, and 24 of IC 5-22-15.
3. An Indiana small business preference as provided by section 23 of IC 5-22-15.

An offeror may not claim more than one preference as provided by sections 16, 18, 19, and 24 of IC 5-22-15 for a given supply item. [IC 5-22-15-7]

Claiming a Preference

An offeror who wants to claim a preference provided under this chapter for a given supply item must indicate in the offer what supply item in the offer is a preferred supply. [IC 5-22-15-8(a)]

A purchasing agent may require an offeror who claims a preference for a given supply item under IC 5-22-15-8 to certify that the supply offered meets the qualifications set for preferred supplies. [IC 5-22-15-9]

Computation of Adjusted Offer

If an offeror offers a preferred supply for a given supply item, the purchasing agent shall compute an adjusted offer for that item according to the following formula:

STEP ONE: Determine the price preference percentage for the supply item under this chapter.

STEP TWO: Multiply the offeror's offer for the supply item by the percentage determined under STEP ONE.

STEP THREE Subtract the number determined under STEP TWO from the offeror's offer for the supply item.

If an offeror offers to conduct an indoor air quality inspection and evaluation program under IC 16-41-37.5, the purchasing agent shall compute an adjusted offer to conduct that indoor quality inspection and evaluation program according to the following formula.

STEP ONE: Determine the price preference percentage for the indoor air quality inspection and evaluation program eligible to an offeror under section 20.7 [IC 5-22-15-20.7] of this chapter.

STEP TWO: Multiply the offeror’s offer for the indoor air quality inspection and evaluation program by the percentage determined under STEP ONE

STEP THREE: Subtract the number determined under STEP TWO from the offeror’s offer to conduct the indoor air quality inspections and evaluation program.

This computation does not apply to an absolute preference, as defined in IC 5-22-15-2. [IC 5-22-15-10]

Contract Award

Notwithstanding any statute requiring the award of a contract to the lowest offeror, but subject to IC 5-22-15-12, a purchasing agent shall award a contract to the offeror whose total adjusted offer is lower than the total adjusted offer of each other offeror. [IC 5-22-15-11]

The award of a contract under IC 5-22-15-11 is subject to the following:

1. A requirement of an applicable statute to award a contract to a responsible and responsive bidder.
2. A requirement of an applicable statute to award a contract to the best bidder or, in the case of a purchase under IC 5-22-9, to the offeror whose offer is most advantageous to the governmental body.

3. The authority of the purchasing agent under IC 5-22-17-12 to award contracts separately or for a combination of a line or class of supplies. [IC 5-22-15-12]

If the purchasing agent awards contracts separately, or for a combination of a line or class of supplies under an applicable law, the purchasing agent shall compute total adjusted offers and award contracts as if each combination of liens or classes of supplies to be awarded a contract had been solicited separately. [IC 5-22-15-13]

The price paid for preferred supplies purchased under a contract shall be the price offered for the supplies and not the adjusted offer price of the supplies. [IC 5-22-15-14]

Price Preferences

1. Price preference for supplies that contain recycled materials or post-consumer materials which meet the standards set by rules adopted by the governmental body, policies established by the purchasing agency, or the solicitation. The price preference may not be less than ten percent or exceed fifteen percent.
2. Price preference of ten percent for the purchase of soy diesel/bio diesel which meets the standards set for in IC 5-22-15-19. [IC 5-22-15-19]
3. Price preference to Indiana Businesses. A governmental body may adopt rules to give a preference to an Indiana Business that submits an offer for a purchase if the requirements of IC 5-22-15-20 are met.[IC 5-22-15-20]
4. Price preference of fifteen percent for supplies to an Indiana small business (as defined in IC -22-14-1) that submits an offer for purchase under IC 5-22.(IC 5-22-15-23)
5. High calcium foods and beverages are preferred supplies. This section applies to a governmental entity listed in IC 5-22-15-1 or a business that contracts with a governmental entity listed in IC 5-22-15-1 that purchases food or beverages to be processed and served in a building or room owned or operated by a governmental entity. [IC 5-22-15-24]

Coal Mined in Indiana

Whenever a purchasing agent purchase cal of ruse as fuel, the purchasing agent shall give an absolute preference to coal mined in Indiana. This does not apply if federal law requires the use of low sulphur coal in the circumstances for which the coal is purchased. [IC 5-22-15-22]

"Absolute preference" means a requirement that a governmental body must purchase supplies regardless of price. [IC 5-22-15-22]

Supplies Manufactured in the United States

A governmental body shall adopt rules to promote the purchase of supplies manufactured in the United States. These rules shall provide that supplies manufactured in the United States shall be specified and purchased unless the governmental body determines that the requirements of IC 5-22-15-21(c) are met. [IC 5-22-15-21]

Supplies Made Using Forced Labor

If an offeror offers to furnish supplies made in a country other than the United States, a governmental

body may not award a contract to the offeror for those supplies if the supplies were made using forced labor. As used in this section, “forced labor” has the meaning set forth in 19 U.S.C. 1307.

A governmental body shall inform offerors in the solicitation of the provisions of this section. [IC 5-22-15-24.2]

Steel Products

A solicitation must require that if any steel products are used in (1) the manufacture of the supplies required under the contract; or (2) supplies used in the performance of the services under the contract by

the contractor or a subcontractor of the contractor; the steel products must be manufactured in the United States.[IC 5-22-15-25(c)]

IC 5-22-15-25(c) does not apply if the: (1) head of the purchasing agency determines in writing that: (A) the cost of the contract with the requirements of subsection (c) would be greater than one hundred fifteen percent (115%) of the cost of the contract without the requirements of subsection (c); and (B) failure to impose the requirements of subsection (c) would not in any way: (i) harm the business of a facility that manufacturers steel products in Indiana; (ii) result in the reduction of employment or wages and benefits of employees of facility described in item (i); or (2) purchase is: (A) less than ten thousand dollars ($10,000); and (B) made under the small purchase policies (as described in IC 5-22-8-2(b)) established by the purchasing agency or under rules adopted by the governmental body.

A purchasing agency shall inform offerors in the solicitation of the provisions of this section.

CONTRACT PROVISIONS

Cost Plus a Percentage of Cost Contract

A governmental body may not enter into a cost plus a percentage of cost contract. [IC 5-22-17-1]

Cost Reimbursement Contract

A governmental body may enter into a cost reimbursement contract if the purchasing agent determines in writing that the contract is likely to be less costly to the governmental body than any other contract type, or that it is impracticable to obtain the supplies required except under such a contract. [IC 5-22-17-2]

Time Period

A contract for supplies may be entered into for a period not to exceed four years. However, this does not apply to a discounted contractual arrangement for services or supplies funded through a designated leasing entity. [IC 5-22-17-3]

Appropriations

The contract must specify that payment and performance obligations are subject to the appropriation and availability of funds. [IC 5-22-17-3]

A political subdivision must have available a sufficient appropriation balance or an approved additional appropriation before a purchasing agent may award a contract. [IC 5-22-17-3]

The foregoing two paragraphs do not apply to a discounted contractual arrangement for services or supplies funded through a designated leasing entity. [IC 5-22-17-3]

When the fiscal body of the governmental body makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of a contract, the contract is considered canceled. [IC 5-22-17-5]

Renewal of Contracts

Subject to IC 5-22-17-5, a contract may be renewed any number of times with the agreement of the contractor and purchasing agency. However, the term of a renewed contract may not be longer than the term of the original contract. [IC 5-22-17-4]

A contract that contains a provision for escalation of the price of the contract may be renewed under his section if the price escalation is computed using a commonly accepted index named in the contract or a formula set forth in the contract. (IC 5-22-17-4)

Early Performance

The purchasing agent may specify in a contract that early performance of the contract will result in increased compensation at either a percentage of the contract amount or a specific dollar amount

determined by the purchasing agent. Notice of inclusion of this contract provision must be included in the solicitation. [IC 5-22-17-6]

Late Performance

The purchasing agent may specify in a contract that completion of the contract after the termination date of the contract will result in a deduction from the compensation in the contract at either a percentage of the contract amount or a specific dollar amount determined by the purchasing agent. Notice of inclusion of this contract provision must be included in the solicitation. [IC 5-22-17-6]

Modification of Contracts

A governmental body may establish policies or adopt rules permitting or requiring any of the following:

1. The inclusion of clauses providing for adjustments in prices or time of performance.
2. The inclusion of contract provisions dealing with either of the following:
    A. The unilateral right of the governmental body to order in writing either of the following:
        1. Changes in the work within the scope of the contract.
        2. Temporary stopping of the work or delaying performance.
    B. Variations occurring between estimated quantities of work in a contract and actual quantities. [IC 5-22-20-1]

Adjustments in Price

Adjustments in price must be computed in one or more of the following ways:

1. By agreement on a fixed price adjustment before the beginning of the pertinent performance or as soon after the beginning of the performance as practicable.
2. By unit prices specified in the contract or subsequently agreed upon.
3. By the costs attributable to the events or situations under such clauses with adjustment of profit or fee, all as specified in the contract or subsequently agreed upon.
4. In such other manner as the contracting parties may mutually agree.
5. In the absence of agreements by the parties, by a unilateral determination by the governmental body of the costs attributable to the events or situations under such clauses, with adjustment of profit or fee, all as computed by the governmental body in accordance with applicable rules adopted by the governmental body. [IC 5-22-20-2]

OTHER ADMINISTRATIVE REQUIREMENTS

Public Notice

Whenever public notice is required by this article, notice shall be given by publication in the manner prescribed by IC 5-3-1. The purchasing agent may give notice other than as required in IC 5-3-1 that the purchasing agent considers will increase competition. [IC 5-22-18-1]

The purchasing agent shall schedule all notices to provide a reasonable amount of time for preparation and submission of responses after notification. The period between the last publication, mailing, or posting of notices and the final date set for submitting offers must be at least seven calendar days. [IC 5-22-18-1]

Electronic Transmissions of Material

Whenever IC 5-22 requires that notice or other material be sent by mail, the material may be sent by electronic means as stated in any of the following:

1. Rules adopted by the governmental body.
2. Written policies of the purchasing agency.
3. A solicitation.

These rules, written policies, and solicitation statements are subject to IC 5-22 and must provide that the transmission of information is at least as efficient and secure as sending the material by mail.

A governmental body may receive electronic offers if both of the following apply:

1. The solicitation indicates the procedure for transmitting the electronic offer to the governmental body.
2. The governmental body receives the offer on a fax machine, by electronic mail, or by means of another electronic system that has a security feature that protects the content of an electronic offer with the same degree of protection as the content of an offer that is not transmitted by electronic means. [IC 5-22-3-4]

Acceptance of Offer

Within thirty days after the acceptance of an offer, the purchasing agent shall deliver in person or by first class mail to the successful offeror the original of each purchase order or lease, retain a copy for the purchasing agent_s records, and file a copy for public record and inspection as follows:

1. When a purchase or lease is made for a county or municipality, the copy of the purchase order or lease must be filed with the fiscal officer of the unit.
2. When a purchase or lease is made for a township, the copy of the purchase order or lease must be filed with the fiscal officer of the county.
3. When a purchase or lease is made for a school corporation or a quasi-public corporation, the copy of the purchase order or lease must be filed with the records of the corporation. [IC 5-22-18-5]

Award of Contracts

Award to Different Offerors. A solicitation may provide that offers will be received and contract will be awarded separately or for any combination of a line or a class of supplies or services contained in the solicitation. [IC 5-22-17-12]

If the solicitation does not indicate how separate contracts might be awarded, the purchasing agent may award separate contracts to different offerors under this section only if the purchasing agent makes a written determination showing that the award of separate contracts is in the interest of efficiency or economy. [IC 5-22-17-12]

Award to Other Than Lowest Offeror. If the purchasing agent awards a contract for a line or class of supplies or services, or any combination of lines or classes, to an offeror other than the lowest offeror the purchasing agent must make a written determination stating the reasons for awarding a contract to that offeror. [IC 5-22-17-12]

Unspecified Number of Items. A solicitation may provide that the purchasing agent will award a contract for supplies or services for an unspecified number of items at a fixed price per unit. Such a contract may include a formula or a method for escalation of the unit price. [IC 5-22-17-13]

Cancellation of Solicitation and Rejection of Offers

When the purchasing agent determines it is in the best interests of the governmental body, a solicitation may be canceled or offers may be rejected in whole or in part as specified in the solicitation. The reasons for a cancellation of a solicitation or rejection of offers must be made a part of the contract file. [IC 5-22-18-2]

Offers Opened After Time Stated in Solicitation

Notwithstanding any other law, offers may be opened after the time stated in the solicitation if both of the following apply:

1. The governmental body makes a written determination that it is in the best interest of the governmental body to delay the opening.
2. The day, time, and place of the rescheduled opening is announced at the day, time, and place of the originally scheduled opening. [IC 5-22-18-3]

Contract and Purchasing Records

Except as provided by another law, contract and purchasing records are public records subject to public inspection under IC 5-14-3.

A governmental body may establish policies or adopt rules for the protection of documents submitted to the governmental body in response to a solicitation.

Policies or rules may provide procedures for the following:

1. Protection of offers before opening to prevent disclosure of contents.
2. Afford unobstructed evaluation of offers and award of contracts by the purchasing agent after opening.
3. Protection of offers from tampering before and after opening. [IC 5-22-18-4]

OVERPAYMENT COLLECTIONS

Governmental units should collect any overpayments made.

ADVANCE PAYMENTS

Compensation and any other payments for goods and services should not be paid in advance of receipt of the goods or services unless specifically authorized by statute. Payments made for goods or services which are not received may be the personal obligation of the responsible official or employee.

PURCHASING BONUSES

Any compensation, premium, bonus, or product earned as a result of the purchase of goods or services by the governmental unit becomes the property of the governmental unit.

COOPERATIVE PURCHASES BY LOCAL LIBRARIES

It is possible that joint or cooperative purchases of books and supplies by local libraries may be accomplished by a cooperative agreement entered into pursuant to the provisions of IC 36-1-7.

CAPITAL ASSETS

Every governmental unit should have a complete inventory of all capital assets owned which reflect their acquisition value. Such inventory should be recorded on the applicable Capital Asset Ledger form. A complete inventory should be taken at least every two years for good internal control and for verifying account balances carried in the accounting records.

CAPITALIZATION POLICY

The governing body should establish a capitalization policy that sets a dollar amount as a threshold to be used in determining which items will be recorded.

Land

The records of each governmental unit should reflect land owned, its location, its acquisition date and the cost (purchase price). If the purchase price is not available, appraised value may be used.

Buildings

A capital asset account for buildings should reflect the location of each building and the cost value (being the purchase or construction cost) and the cost of improvements, if applicable. If a building is acquired by gift, the account should reflect its appraised value at the time of acquisition.

Improvements Other Than Buildings

A capital asset account should reflect the acquisition value of permanent improvements, other than buildings, which have been added to the land. Examples of such improvements are fences, retaining walls, sidewalks, gutters, tunnels and bridges. The improvements should be valued at the purchase or construction cost.

Equipment

Tangible property of a permanent nature (other than land, buildings and improvements) should be inventoried. Examples include machinery, trucks, cars, furniture, typewriters, adding machines, calculators, bookkeeping machines, data processing equipment, desks, safes, cabinets, books, etc. The value of such items should be carried in the inventory at the purchase cost.

Construction Work In Progress

Where construction work has not been completed in the current reporting calendar year, the cost of the project should be carried as "construction work in progress." When the project is completed, it will be placed on the inventory applicable to the assigned asset accounts.

SEE ACCOUNTING AND UNIFORM COMPLIANCE MANUAL FOR LIBRARIES FOR SAMPLES AND SUGGESTED FORMAT FOR:
Special Purchase Contract File List
Register of Proposals
Index to Specifications
Bid Record for Invitation for Bids
Checklist for Invitation for Bids
Non-Collusion Affidavit

Chapter 19

PUBLIC WORKS LAW

This content is excerpted from the Indiana State Board of Accounts Library Manual Chapter 10 found at www.in.gov/sboa/files/lib2010_011.pdf (reissued 2010). In all cases please consult current statutes for up to date information at www.in.gov/sboa/files/lib2010_011.pdf

GENERAL PROVISIONS

The **"Public Works Law"** [IC 36-1-12] applies to all public work performed or contracted by political subdivisions and their agencies. Any public work performed on property leased with an option to purchase is also included. [IC 36-1-12-1]

The term **"public work"** means the construction, reconstruction, alteration, or renovation of a public building, airport facility, or other structure that is paid for out of a public fund or out of a special assessment. [IC 36-1-12-2]

A contract for public work by a political subdivision or agency is void if it is not let in accordance with IC 36-1-12. [IC 36-1-12-16]

PUBLIC WORK PROJECTS FOR WHICH ADVERTISING AND BIDDING IS REQUIRED

A public work project for the routine operation, routine repair, or routine maintenance of existing structures, buildings, or real property if the cost of the public work is estimated to be $150,000 or more, or other public works projects where the estimated cost will be at least $50,000, the board must comply with the following procedures.

Plans and Specifications

The board shall prepare general plans and specifications describing the kind of public work required, but shall avoid specifications which might unduly limit competition. [IC 36-1-12-4(b)(1)]

The board shall file the plans and specifications in a place reasonably accessible to the public, which shall be specified in the notice required. [IC 36-1-12-4(b)(2)]

All plans and specifications for public buildings must be approved by the State Department of Health, the Division of Fire and Building Safety, and other state agencies designated by statute. [IC 36-1-12-10]

Notice

Upon filing of the plans and specifications, the board shall publish a notice two times, at least one week apart, with the second publication made at least seven days before the date the bids will be received, calling for sealed proposals for the public work. [IC 36-1-12-4(b)(3)] [IC 5-3-1-2(e)]

The notice must specify the place where the plans and specifications are on file, the date fixed for receiving bids, and the amount of the bond or certified check to be filed with each bid. [IC 36-1-12-4(b)(4); IC 36-1-12-4.5]

The period of time between the date of the first publication and the date of receiving bids may not be more than six weeks. [IC 36-1-12-4(b)(5)]

Evidence of Financial Responsibility

A bond or certified check shall be filed with each bid by a bidder in the amount specified by the board if the cost of the public work is estimated to be more than two hundred thousand dollars ($200,000). The amount may not be more than 10% of the contract price. The bond or certified check shall be made payable to the political subdivision.

All checks of unsuccessful bidders shall be returned to them by the board upon selection of successful bidders. Checks of successful bidders shall be held until delivery of the performance bond. [IC 36-1-12-4.5]

> Sec. 4.5. (a) The political subdivision or agency:
>
> (1) shall require a bond or a certified check to be filed with each bid by a bidder in the amount determined and specified by the board in the notice of the letting if the cost of the public work is estimated to be more than two hundred thousand dollars ($200,000); and
>
> (2) may require a bond or a certified check to be filed with each bid by a bidder in the amount determined and specified by the board in the notice of the letting if the cost of the public work is estimated to be not more than two hundred thousand dollars ($200,000).
>
> (b) The amount of the bond or certified check may not be set at more than ten percent (10%) of the contract price. The bond or certified check shall be made payable to the political subdivision or agency.
>
> (c) All checks of unsuccessful bidders shall be returned to them by the board upon selection of successful bidders. Checks of successful bidders shall be held until delivery of the performance bond, as provided in section 14(e) of this chapter.

Bidder's Affidavit

The board shall require the bidder to submit an affidavit that the bidder has not entered into a combination or agreement:

1. Relative to the price to be bid by a person;
2. To prevent a person from bidding; or,
3. To induce a person to refrain from bidding and that his bid is made without reference to any other bid. [IC 36-1-12-4(b)(12)]

Public Meeting

The board may not require a bidder to submit a bid before the meeting at which bids are to be received. The meeting for receiving bids must be open to the public. All bids received shall be opened publicly and read aloud at the time and place designated. Bids shall be submitted on prescribed General Form96 (Bid for Construction). [IC 36-1-12-4(b)(7)]

Responsive Bidder

In determining whether a bidder is responsive, the board may consider the following factors:

1. Whether the bidder has submitted a bid or quote that conforms in all material respects to the specifications.
2. Whether the bidder has submitted a bid that complies specifically with the invitation to bid and the instructions to bidders.
3. Whether the bidder has complied with all applicable statutes, ordinances, resolutions, or rules pertaining to the award of a public contract. [IC 36-1-12-4(b)(10)]

Responsible Bidder

In determining whether a bidder is a responsible bidder, the board may consider the following factors:

1. The ability and capacity of the bidder to perform the work.
2. The integrity, character, and reputation of the bidder.
3. The competence and experience of the bidder. [IC 36-1-12-4(b)(11)]

Award of Contract

The board shall award the contract for public work or improvements to the lowest responsible and responsive bidder or the board may reject all bids submitted. [IC 36-1-12-4(b)(8)]

If the board awards the contract to a bidder other than the lowest bidder, the board must state in the minutes or memoranda, at the time the award is made, the factors used to justify the award. The board shall keep a copy of the minutes or memoranda available for public inspection. [IC 36-1-12-4(b)(9)]

Except as provided below, the board shall award the contract and shall provide the successful bidder with written notice to proceed within sixty (60) days after the date on which bids are opened.

1. If general obligation bonds are to be sold to finance the construction that is the subject of the bid, the board shall allow the bidder ninety (90) days.

2. If revenue bonds are to be issued and sold to finance the construction, the board shall allow the bidder one hundred fifty (150) days.

A failure to award and execute the contract and to issue notice within the time required entitles the successful bidder to reject the contract and withdraw his bid without prejudice, or extend the time to award the contract and provide notice to proceed at an agreed later date. If the successful bidder elects to reject the contract and withdraw his bid, notice of that election must be given to the board in writing within fifteen (15) days of the sixty (60) day expiration date or any other extension date. [IC 36-1-12-6]

Contract Provision - Payment of Subcontractors

A contract for public work must contain a provision for the payment of subcontractors, laborers, material suppliers, and those performing services. The board shall withhold money from the contract price in a sufficient amount to pay the subcontractors, laborers, material suppliers, and those furnishing services. [IC 36-1-12-13]

Change Orders

If, in the course of construction, reconstruction or repair of a public work project, it becomes necessary to change or alter the original specifications, a change order may be issued to add, delete, or change an item or items in the original contract. All change orders must be directly related to the original public work project.

Addendum. The change order becomes an addendum to the contract and must be approved and signed by the board and the contractor.

Architect or Engineer. If a licensed architect or engineer is assigned to the public work project the change order must be prepared by that person.

Increase in Scope of Project. The total of all change orders issued that increase the scope of the project may not exceed twenty percent (20%) of the amount of the original contract. A change order issued as a result of circumstances that could not have been reasonably foreseen does not increase the scope of the project.

Cost of Materials. If additional units of materials included in the original contract are needed, the cost of these units in the change order must be the same as those shown in the original contract.

A change order may not be issued before commencement of the actual construction, reconstruction, or repairs except in the case of an emergency. In that case, the board must make a declaration, and the board's minutes must show the nature of the emergency. [IC 36-1-12-18]

Installation of Plumbing

A person who submits a bid for a public works contract that involves the installation of plumbing must submit evidence that the person is a licensed plumbing contractor under Indiana Code 25-28.5-1. [IC 36-1-12-21]

Final Payment

The board shall withhold final payment to the contractor until the contractor has paid the subcontractors, material suppliers, laborers, or those furnishing services. However, if there is not a sufficient sum owed to the contractor to pay those bills, the sum owed to the contractor shall be prorated in payment of the bills among the parties entitled. To receive payment the subcontractor or subcontractors, material suppliers, laborers, or those furnishing services shall file their claims with the board within sixty days after the last labor performed, last material furnished, or last service rendered by them. [IC 36-1-12-12]

PUBLIC WORK PROJECTS COSTING MORE THAN $150,000 - ADDITIONAL PROCEDURES

In addition to the foregoing items applying to major public work projects, the following items apply to public work projects costing more than $150,000.

Approval of Plans and Specifications

If the cost of the project is more than $150,000, the plans and specifications must be approved by an architect or engineer licensed under IC 25-4 or IC 25-31. [IC 36-1-12-7]

Bidder Information

If the cost of a project is $150,000 or more, the board shall require the bidder to submit a financial statement, a statement of experience, a proposed plan or plans for performing the public work, and the equipment that the bidder has available for the performance of the public work. [IC 36-1-12-4(b)(6)]

Filing of Final Record Drawing

The Board must, within sixty (60) days after the completion of the public work project, file in the office of the State Division of Fire and Building Safety a complete set of final record drawings for public work project if the project involves a public building. [IC 36-1-12-11]

If upon substantial completion of the public work minor items remain uncompleted, an amount equal to

200% of the value of each item as determined by the architect-engineer shall be withheld until the item is completed. [IC 36-1-12-14(c)]

PUBLIC WORKS PROJECTS - OTHER REQUIREMENTS

Payment Bond

IC 36-1-12-13.1 requires a payment bond to be filed with a contract for public work only if the cost exceeds $200,000. The contractor shall execute a payment bond to the appropriate political subdivision or agency, approved by and for the benefit of the political subdivision or agency, in an amount equal to the contract price. The payment bond is binding on the contractor, the subcontractor, and their successors and assigns for the payment of all indebtedness to a person for labor and service performed, material furnished, or services rendered. The payment bond must state that it is for the benefit of the subcontractors, material suppliers, laborers, and those performing services. The payment bond shall be deposited with the board. [IC 36-1-12-13.1]

A payment bond may be required by a political subdivision on public works projects estimated to be no more than two hundred thousand dollars ($200,000).

Performance Bonds

The contractor shall furnish the board with a performance bond equal to the contract price. If acceptable to the board, the bond may provide for incremental bonding in the form of multiple or chronological bonds that, when taken as a whole, equal the contract price. The surety on the performance bond may not be released until one year after the date of the board's final settlement with the contractor. [IC 36-1-12-14(e)]

For public works contracts of less than two hundred fifty thousand dollars ($250,000), the board may waive the performance bond requirement and accept from a contractor an irrevocable letter of credit for an equivalent amount from an Indiana financial institution instead of a performance bond. [IC 36-1-12-14(h)]

Actions against a surety on a performance bond must be brought within one year after the date of the board's final settlement with the contractor. [IC 36-1-12-14(g)]

Retainage and Escrow Agreement

A board that enters into a contract for public work in excess of two hundred thousand dollars ($200,000), and a contractor who subcontracts parts of that contract, shall include in their respective contracts provisions for the retainage of portions of payments by the board to contractors, by contractors to subcontractors, and for the payment of subcontractors. At the discretion of the contractor, the retainage shall be held by the board or shall be placed in an escrow account, with a bank, savings and loan institution, or the state as the escrow agent. The escrow agent shall be selected by mutual agreement between board and contractor or subcontractor under a written agreement among the bank or savings and loan institution and: (1) the board and the contractor; or (2) the subcontractor and the contractor. The board shall not be required to pay interest on the amounts of retainage it holds. [IC 36-1-12-14(b)]

To determine the amount of retainage to be withheld, the board shall:

1. Withhold no more than 10% nor less than 6% of the dollar value of all work satisfactorily completed until the public work is 50% completed, and nothing further after that; or

2. Withhold no more than 5% nor less than 3% of the dollar value of all work satisfactorily completed until the public work is substantially completed.

If upon substantial completion of the public work minor items remain uncompleted, an amount equal to 200% of the value of each item as determined by the architect-engineer shall be withheld until the item is completed. [IC 36-1-12-14(c)]

The escrow agreement must contain the following provisions:

1. The escrow agent shall invest all escrowed principal in obligations selected by the escrow agent.
2. The escrow agent shall hold the escrowed principal and income until receipt of notice from the board and the contractor, or the contractor and the subcontractor, specifying the part of the escrowed principal to be released from the escrow and the person to whom that portion is to be released. After receipt of the notice, the escrow agent shall remit the designated part of escrowed principal and the same proportion of then escrowed income to the person specified in the notice.
3. The escrow agent shall be compensated for his services, to be paid from the escrowed income.

Final Payment

The contractor shall be paid in full, including all escrowed principal and escrowed income, by the board or escrow agent, within sixty-one (61) days after the date of substantial completion. If within sixty-one (61) days after the date of substantial completion there remain uncompleted minor items, an amount equal to 200% of the value of each item as determined by the architect-engineer shall be withheld until the item is completed. [IC 36-1-12-14(f)]

ROUTINE OPERATION, ROUTINE REPAIR, AND ROUTINE MAINTENANCE PROJECTS LESS THAN $150,000

The board may award a contract for public work projects involving routine operation, routine repair, or routine maintenance of existing structures, buildings, or real property in the manner provided in IC 5-22 if the work is estimated to be less than $150,000.

PUBLIC WORK COSTING AT LEAST $25,000 AND LESS THAN $50,000 [IC 36-1-12-4.7]

The board must comply with the following provisions:

1. The board shall invite quotes from at least three (3) persons known to deal in the class of work proposed to be done by mailing them a notice stating that plans and specifications are on file in the specified office. The notice must be mailed not less than seven (7) days before the time fixed for receiving quotes.
2. The board may not require a person to submit a quote before the meeting at which quotes are to be received. The meeting for receiving quotes must be open to the public. All quotes received shall be opened publicly and read aloud at the time and place designated and not before.
3. The board shall award the contract for the public work to the lowest responsible and responsive quoter.
4. The board may reject all quotes submitted.

Plans and Specifications

All plans and specifications for public buildings must be approved by the State Department of Health, the Division of Fire and Building Safety, and other state agencies designated by statute. [IC 36-1-12-10]

Inviting Quotes

The board shall invite quotes from at least three persons known to deal in the class of work proposed to be done by mailing them a notice stating that plans and specifications are on file in a specified office. The notice must be mailed not less than seven days before the time fixed for receiving quotes. [IC 36-1-12-4.7(b)(1)]

Public Meeting

The board may not require a person to submit a quote before the meeting at which quotes are to be received. The meeting for receiving quotes must be open to the public. All quotes received shall be opened publicly and read aloud at the time and place designated and not before. [IC 36-1-12-4.7(b)(2)]

Award of Contract

The board shall award the contract for the public work to the lowest responsible and responsive quoter. [IC 36-1-12-4.7(b)(3)]

Rejection of All Quotes

The board may reject all quotes submitted. [IC 36-1-12-4.7(b)(4)]

PUBLIC WORK COSTING LESS THAN $25,000 [IC 36-1-12-5]

If the board wishes to award contract for a public work costing less than $25,000, the procedures outlined for public works costing $50,000 or more contained in IC 36-1-12-4 may be used. If such procedures are not used, then the following procedures may be used:

Plans and Specifications

All plans and specifications for public buildings must be approved by the State Department of Health, the Division of Fire and Building Safety, and other state agencies designated by statute. [IC 36-1-12-10]

Inviting Quotes

Quotes may be obtained by soliciting at least three (3) quotes by telephone or facsimile transmission. The seven (7) day waiting period required by IC 36-1-12-4(b)(1) does not apply to this procedure.

Public Meeting

The board may not require a person to submit a quote before the meeting at which quotes are to be received. The meeting for receiving quotes must be open to the public. All quotes received shall be opened publicly and read aloud at the time and place designated and not before. [IC 36-1-12-5]

Award of Contract

The board shall award the contract for the public work to the lowest responsible and responsive quoter. [IC 36-1-12-5]

New legislation in 2012 eliminates the local Indiana businesses price preference requirement for public works projects. See HEA 1154. Effective July 1, 2012 Sec. 22 repeals IC 5-22-15-20.9.

Rejection of All Quotes

The board may reject all quotes submitted. If the board rejects all quotes, the board may negotiate and enter into agreements for the work in the open market without inviting or receiving quotes if the board establishes in writing the reasons for rejecting the quotes. [IC 36-1-12-5]

USE OF OWN WORK FORCE

The political subdivision may purchase or lease materials in the manner provided in IC 5-22 and perform any public work by means of its own work force, without awarding a contract whenever the cost of that public work project is estimated to be less than $100,000. Before the political subdivision may perform any work under this section by means of its own work force, the political subdivision must have a group of employees on its staff who are capable of performing the construction, maintenance, and repair applicable to that work. For purposes of this subsection, the cost of a public work project includes the actual cost of materials, labor, equipment, rental, a reasonable rate for use of trucks and heavy equipment owned, and all other expenses incidental to the performance of the project. [IC 36-1-12-3]

DIVISION OF PUBLIC WORK PROJECTS [IC 36-1-12-19]

The cost of a single public work project may not be divided into two or more projects for the purpose of avoiding the requirement to solicit bids. The cost is defined by IC 36-1-12-19(a) to include cost of materials, labor, equipment rental, and all other expenses incidental to the performance of the project. Any board member or officer of the political subdivision, bidder, quoter, or other person who is party to a public work contract who knowingly violates IC 36-1-12-19 commits a Class A infraction.

EMERGENCY CONTRACTS

In case of an emergency the board may contract for a public work project without advertising for bids if bids or quotes are invited from at least two persons known to deal in the public work required to be done. The minutes of the board must show the declaration of emergency and the names of the persons invited to bid or provide quotes. [IC 36-1-12-9]

USE OF UNITED STATES STEEL PRODUCTS

IC 5-11-1-26 requires the State Board of Accounts to include in its examination report a political subdivision's compliance with IC 5-16-8, which requires use of steel products made in the United States for construction and alterations of public buildings except under certain circumstances.

PROCEDURE FOR HIRING ARCHITECTS, ENGINEERS, OR LAND SURVEYOR [IC 5-16-11.1]

Whenever the political subdivision decides to hire an architect, engineer, or land surveyor, the political subdivision may:

1. Publish a notice in accordance with the requirements of publishing legal notices as found in IC 5-3-1;
2. Provide for notice (other than notice in accordance with IC 5-3-1) as it determines is reasonably calculated to inform those performing professional services of the proposed project;

3. Provide for notice in accordance with both subdivision (1) and (2); or
4. Determine not to provide any notice.

If the political subdivision provides for notice in accordance with the above, each notice must include:

1. The location of the project;
2. A general description of the project;
3. The general criteria to be used in selecting professional services firms for the project.
4. The place where any additional project description or specifications are on file;
5. The hours of business of the public agency; and
6. The last date for accepting statements of qualifications from interested parties.

PREVAILING WAGE/COMMON CONSTRUCTION WAGE

A contract by the board for a public work project must conform to the wage scale provisions of IC 5-16-7 if the actual construction costs are $150,000 or more. [IC 36-1-12-15]

DISCRIMINATION BY CONTRACTORS AND SUBCONTRACTORS PROHIBITED

A contract by the board for public work must conform with the antidiscrimination provisions of IC 5-16-6. The board may consider a violation of IC 5-16-6 a material breach of contract, as provided in IC 22-9-1-10. [IC 36-1-12-15]

Every contract for the construction, alteration, or repair of any public building or public work in the State of Indiana shall contain provisions by which the contractor agrees:

1. That in the hiring of employees for the performance of work under this contract or any subcontract hereunder, no contractor, or subcontractor, nor any person acting on behalf of such contractor or subcontractor, shall, by reason of race, religion, color, sex, national origin, or ancestry, discriminate against any citizen of the State of Indiana who is qualified and available to perform the work to which the employment relates;
2. That no contractor, subcontractor, nor any person on his behalf shall, in any manner, discriminate against or intimidate any employee hired for the performance of work under this contract on account of race, religion, color, sex, national origin or ancestry.
3. That there may be deducted from the amount payable to the contractor by the State of Indiana or any municipal corporation thereof, under this contract, a penalty of five dollars for each person for each calendar day during which such person was discriminated against or intimidated in violation of the provisions of the contract; and

That this contract may be cancelled or terminated by the State of Indiana or by any municipal corporation thereof, and all money due or to become due hereunder may be forfeited, for a second or any subsequent violation of the terms or conditions of this section of the contract.

OVERPAYMENT COLLECTIONS

Governmental units should collect any overpayments made.

ADVANCE PAYMENTS

Compensation and any other payments for goods and services should not be paid in advance of receipt of the goods or services unless specifically authorized by statute. Payments made for goods or services which are not received may be the personal obligation of the responsible official or employee.

PURCHASING BONUSES

Any compensation, premium, bonus, or product earned as a result of the purchase of goods or services by the governmental unit becomes the property of the governmental unit.

PUBLIC-PRIVATE AGREEMENTS [IC 5-23]

A political subdivision may enter into a public-private agreement under IC 5-23. The procedures of IC 5-23 must be specifically adopted by resolution or ordinance of the legislative body of the political subdivision, or if the political subdivision does not have a legislative body, the fiscal body of the political subdivision. [IC 5-23-1-1]

Definitions

Definitions are contained in IC 5-23-2. Three terms are defined below.

BOT Agreement. BOT Agreement means any agreement between the a governmental body and an operator to construct, operate, and maintain a public facility and to transfer the public facility back to the governmental body at an established future date.

Operating Agreement. Operating Agreement means any agreement between an operator and the governmental body for the operation, maintenance, repair, or management of a public facility.

Public Facility. Public Facility means a facility located on, or to be located on, real property owned or leased by a governmental body and upon which a public service is or may be provided.

BOT Agreements

A governmental body may enter into a BOT agreement with an operator for the acquisition, planning, design, development, reconstruction, repair, maintenance, or financing of any public facility on behalf of the governmental body. Items which should be contained in the BOT Agreement are found in IC 5-23-3.

Operating Agreements

A governmental body may enter into an operating agreement with an operator for the operation, maintenance, repair, management, or any combination of operation, maintenance, repair, or management of any public facility for any public service to be performed on behalf of the governmental body. Other provisions relating to operating agreements are located in IC 5-23-4.

Other Provisions

Other provisions contained in IC 5-23 cover the selection of contractor by request for proposals, contract terms and conditions, and records.

Consult Attorney

Before entering into a public-private agreement, it is recommended that the governing body consult with the political subdivision's attorney in order to ensure the provisions of IC 5-23 are complied with as well as any other applicable laws.

DESIGN-BUILD PUBLIC WORKS PROJECTS

IC 5-30-1-3 Design-build contract means a contract between a public agency and a design-builder to furnish: (1) architectural, engineering, and related design services as required for a public project; and (2) labor, materials, and other construction services for the same public project. IC 5-30-1-11 "Public agency" means: (2) a state educational institution (as defined in IC 20-12-0.5-1); (3) a unit (as defined in IC 36-1-2-23) IC 5-30-1-12 (a) "Public project" means the process of designing, constructing, reconstructing, altering, or renovating a public building, an airport facility, or another structure or improvement that is paid for out of: (1) a public fund; or (2) a special assessment. The term includes either of the following: (1) A process described in subsection (a) relating to a building or structure leased by a public agency under a lease containing an option to purchase. (2) A public improvement to real property owned by a public agency. IC 5-30-2-2 Before entering into a design-build contract under this article for a public project, the governing body of a public agency must adopt a resolution authorizing the use of the design-build contracting method for the public project. The resolution must identify the members of the technical review committee appointed under IC 5-30-4. The governing body must adopt the resolution at a public meeting for which public notice has been provided. IC 5-30-4-1 Before entering into a design-build contract, a public agency must appoint a technical review committee of at least three (3) individuals. The members of the technical review committee must include the following: (1) A representative of the public agency. (2) At least two (2) of the following, but not more than one (1) under each clause: (A) An architect registered under IC 25-4. (B) A

professional engineer registered under IC 25-31. (C) A qualified contractor under IC 4-13.6. A member of the technical review committee who is an architect or a professional engineer may be: (1) an employee of the public agency; or (2) an outside consultant retained by the public agency for the specific purpose of evaluating proposals submitted under this article. The design criteria developer may serve as: (1) a full member; or (2) a nonvoting adviser; of the committee. IC 5-30-4-3 The technical review committee shall do the following: (1) Qualify potential design-builders as provided in IC 5-30-5. (2) Rate and score qualitative proposals as provided in IC 5-30-6 and IC 5-30-7. (b) The technical review committee may interview persons submitting proposals and conduct other business necessary to fulfill the purposes of this article.

Please see IC 5-30 for various other provisions for the design-build process.

Chapter 20

Friends of the Library and Foundations

A. Friends of the Library

- Every library needs friends.
- The Friends of the Library organization is the right arm of the library.
- The Friends can have fund raising campaigns, book sales, etc. to help with the needs of the library beyond what the library can do, either financially or legally.
- Friends groups can buy incentives for summer reading programs, food as a drawing card for teen programs, or recognition programs for volunteers and staff. The list goes on and on. It is only limited by the imaginations of the Friends members and the funding they have to develop and carry out the dreams of the library.
- Friends also help the library as volunteers, advocates and lobbyists.

For more information, join:

Friends of Indiana Libraries (FOIL)

One year partnership with the Indiana Library Federation, effective July 1, 2011 www.ilfonline.org/main/ilf-membership/

- Operates as a clearinghouse of information about the activities of local Friends of the Library groups
- Can help local communities establish a Friends of the Library group and coordinate a network of volunteers working for passage of library legislation
- Individuals and local Friends of the Library groups may become members of FOIL
- presents a program on issues of interest to Friends groups at the annual ILF Conference

Association of Library Trustees, Advocates, Friends and Foundations (ALTAFF)

109 South 13th Street
Suite 3N
Philadelphia, PA 19107
(800) 545-2433, ext. 2161
(312) 280-2161
altaff@ala.org
www.ala.org/ala/mgrps/divs/altaff/index.cfm

Listserv

Send an e-mail message to listserv@s-listserv.thomsonlearning.com

- In the body of the message, type ONLY: *Subscribe FOLUSA-L* followed by your name (For Example: *Subscribe FOLUSA-L John Doe*)

The mission of ALTAFF is to support citizens who govern, promote, advocate, and fundraise for all types of libraries

ALATAFF's specific responsibilities include:

- Educating through a continuing and comprehensive program for Library Trustees to enable them to discharge their responsibilities in a manner best fitted to benefit the public and the libraries they represent.
- Encouraging and assisting the formation of and development of Friends of Library groups and Library Foundations.
- Providing a means for Trustees to have access to information and ideas that will prove useful to them in the governance of their libraries.
- Providing Friends of Library groups and Library Foundations access to information and ideas that will prove useful to them in fundraising, library promotion and the operation of their organizations.
- Promoting strong state and regional Trustee and Friends of Library organizations.
- Providing to all who value libraries the materials and support they need to be effective advocates for their libraries on the local, state and national levels.
- Making the public aware of the existence of formalized citizen groups such as Trustees, Friends of Library groups and Library Foundations and the services they perform to encourage and develop expanded citizen participation in the support of libraries across the country

1. How to Organize a Friends Group

- Determine the purpose of and need for the group. This should be done with the librarian and a small core of concerned citizens.
- Select a steering committee to reflect your community and the needs of the group. It is important to have access to an attorney, public relations and advertising talent, and high profile leaders.
- Join the Friends of Indiana Libraries (FOIL).
    - www.ilfonline.org/units/friends-of-indiana-libraries-foil/
- Work on the Federal tax-exempt status (501©(3)). Here is some general information about the 501c designation.
    - en.wikipedia.org/wiki/501(c)
    - www.501c3.org/what-is-a-501c3/

- The following IRS URLs will provide helpful information.

- www.irs.gov/charities/charitable/article/0,,id=96099,00.html
- www.irs.gov/charities/index.html
- www.irs.gov/publications/p557/index.html

- State tax-exempt status at
  - www.in.gov/sos/business/2426.htm

- Many organizations use a lawyer's services. The 501c3 designation is required so that

  1) the Friends group can legally sell items donated to your organization by the library (IC 36-12-3-5(c); and

  2) when the Friends group collects dues or donations, they will be tax-deductible. A tax advisor can furnish more guidance.

- At the same time, work on a constitution and by-laws.
  - Define your dues structure and membership categories.
  - Decide on membership brochure, artwork, and how you will reproduce and distribute the brochure.
  - Begin the publicity campaign in your community. Be sure to involve elected officials, trustees, and other interested parties.
  - Determine a tentative schedule for the first year, in order to involve new members on committees as soon as they join.
  - If fund raising is important, have a campaign in place and set goals. People like to know where their money is going.
  - Set the opening meeting. Plan the program carefully. Have a brief agenda for the first annual meeting.
  - Develop a long-range plan for Friends. Re-evaluate after the first year.
  - For more information and ideas, join the Association of Library Trustees, Friends and Foundations (ALTAFF – a division of the American Library Association, ALA), www.ala.org/altaff/

2. How to Revitalize Your Friends Group

- Define problem areas for group (or board of directors). Confidential phone calls to directors or member dropouts will help.
- Give a party for members and past members only. It should be fun, with refreshments and music. Use any reason for the party: holiday, author, recognition, social evening. A private home will make it special.
- Be sure to include the dropouts and get a little help from many people to ensure attendance. Have various people be responsible for bringing food and necessary articles.

- Send out pre-event and post-event publicity with names and photos. Make the Friends look like a fun and meaningful group.
    - Reevaluate your goals and objectives with the information you should now have.
    - Did you have too broad a mission?
    - Were you stressing fund-raising to the neglect of other activities?
- Reorganize the board of directors, adding positions and breaking down responsibilities so that individuals do not have too great a burden. Enlarge committees.
- Review benefits of membership, making sure they are in line with what your community expects.
- Review communications to members; are they being kept informed? Are you taking advantage of the materials ALTAFF provides through "National Notebook" and "Idea Bank"?
- Consider enrolling of new members as a year-round effort, not limited to a certain period. Be sure brochures are available at every event and at the library desk.
- Be sure to appreciate and recognize efforts of every magnitude. Recognition is of primary importance to volunteers.

B. Public Library as a Foundation

Providing revenues to the library to enhance services is the most direct and observable activity of a library foundation, but a foundation has other advantages.

1. Benefits of a Library Foundation

- A foundation can give the library alternatives it usually does not have in its budget structure. Sometimes during a tightly budgeted fiscal year an unplanned opportunity or necessary expense presents itself. A budget has little flexibility, but the foundation may have resources to meet the unforeseen need.
- Many public libraries are limited in the amount of reserve or building funds they can accumulate. A foundation can be used for this purpose without interfering with annual budget proposals or negotiations.
- Another more subtle benefit is that people seem to have confidence in foundations. The word itself provides feelings of safety and security. So does the word "library". When the two words are used together, and a list of prominent citizens who serve as board members and manage the foundation is added, potential contributors are convinced and willing to give support.

2. Forming a Foundation

Before taking the legal steps to actually organize or establish a foundation for a public library, it is wise to take time to do some planning, decision making and educating.

- The success of a foundation hinges on the performance of the library in the community, the support of the staff and board of trustees for a foundation, and the careful choice of persons to serve as the board of the foundation.
- In addition to acceptance of the concept, the library should identify its roles and develop a mission statement and strategic plan.
- A long-range plan can help identify library needs and provide a sense of purpose to the foundation.
- Many libraries choose to start an account in a community foundation. These URLs lists 97+ community foundations and affiliate funds in Indiana. You can contact them for further information. www.indianagrantmakers.org/locator/ www.tgci.com/funding/cfs.asp?statename=Indiana&statecode=IN

3. Choosing a Board

- It is essential that foundation board members be influential residents of the community, able to garner financial support from their contacts and from business and industry, able to personally give financial support, and able to command respect for the library.
- The board should represent a good cross-section of the community.
- Another group to consider is the local Friends of the Library. If an active group exists in the community, consider whether the foundation should be created by the Friends with strong Friends membership on the foundation board, or whether the foundation would function better as an independent association. At least consider appointment of a Friends member to the Foundation Board, along with other civic groups with strong ties to the library.

4. Organizational Meeting

- Once a list of potential foundation board members is selected, it is time to invite them to an organizational meeting. This is a vital moment in the life and success of a foundation.
- First impressions last.
- Outline the needs of the library, as well as the role a foundation and its board can play in fulfilling those needs.
- Be prepared for questions about the library and the perceived need for and value of the foundation.
- Point out how valuable this coalition would be to the community.
- Before they leave, try to gain a commitment from each individual to serve on the foundation board.

5. Articles of Incorporation

Articles of Incorporation should be brief and contain only the most essential facts about the organization. These would include:

- name of corporation
- duration of the corporation
- purpose of the corporation
- address of the corporation
- management of the corporation
- name of the registered agent
- names and addresses of the initial board
- hold harmless clause (for protection for board members)provision of distribution of assets upon dissolution

6. Bylaws

Bylaws are the guidelines and procedures under which the foundation will operate.

They include:

- location of corporation
- members
- meetings
- board of directors
- officers
- executive director
- committees
- fiscal year
- dues
- books and records
- contracts, loans, check and deposits
- dissolution
- amendments
- rules of order
- waiver of notice
- indemnification

7. Applying for Tax Exempt Status

- Once the organization has incorporated with the state, received an employer identification number, and adopted bylaws, it is ready to file for recognition of exemption from federal income tax.
- The magic number at this point is 501(c)(3). Contact the local IRS center for the appropriate forms to complete.

- The forms can be completed while waiting for certification from the state and should be done by or reviewed by an attorney.
- The form asks the following:
- signature of authorized person
- employer identification number
- previous tax returns
- balance sheet of receipts and expenditures for current and preceding three years or a proposed two year budget
- description of anticipated activities
- articles of incorporation
- bylaws

8. Announcing the Foundation to the Public

Any time after adopting the bylaws, the new foundation may declare its existence and begin receiving contributions.

- The announcement to the public should be planned carefully. All persons involved in the foundation must be committed to the protection of the library's tax support.
- When a necessary and visible item is purchased for the library, the publicity surrounding its arrival can be used as a vehicle to acquaint people with the foundation.
- Each new public library foundation needs to find its own appropriate way of "going public".

9. Funding a Foundation

A new library foundation needs money. There are various methods of encouraging contributions:

- deferred giving
- endowment fund drives
- direct mail
- special events
- raffle
- any other creative fund-raising idea that is legal

Handouts that can be found on these website:

FOIL Group Membership Form:
www.ilfonline.org/clientuploads/membership/FOIL%20Membership%20Form%20(2).pdf

Indiana Libraries with Foundations and Endowments (and on the following pages with updated Friends Groups information): www.in.gov/library/3477.htm

Indiana NonProfits: www.indiana.edu/~nonprof

Indiana Nonprofit Resource Network: www.inrn.org/

Indiana Counties: Tax Exempt/NonProfit Organizations:
www.taxexemptworld.com/organizations/indiana-counties.asp

Library	Library Foundation/ 2008 Supplement Question	Library Endowment/ 2008 Supplement Question	Friends Group 2011	IRS 501c3 Designation 2011
ADAMS PL SYSTEM		Yes	Yes	
AKRON CARNEGIE PL			Yes	
ALEXANDRIA-MONROE PL				
ALEXANDRIAN PL			Yes	Yes
ALLEN CO PL	Yes	Yes	Yes	Yes
ANDERSON PL		Yes	Yes	Yes
ANDREWS-DALLAS TWP PL			Yes	Yes
ARGOS PL			Yes	Yes
ATTICA PL			Yes	Yes
AURORA PL DISTRICT	Yes			
AVON-WASHINGTON TWP PL		Yes	Yes	Yes
BARTHOLOMEW CO PL	Yes		Yes	Yes
BARTON REES POGUE MEMORIAL PL				
BATESVILLE MEMORIAL PL			Yes	Yes
BEDFORD PL				
BEECH GROVE PL			Yes	
BELL MEMORIAL PL			Yes	
BENTON CO PL			Yes	Yes
BERNE PL				
BICKNELL-VIGO TWP PL			Yes	
BLOOMFIELD-EASTERN GREENE CO PL			Yes	Yes
BOONVILLE-WARRICK CO PL			Yes	Yes
BOSWELL-GRANT TWP PL			Yes	Yes
BOURBON PL				
BRAZIL PL		Yes	Yes	Yes
BREMEN PL				
BRISTOL-WASHINGTON TWP PL			Yes	
BROOK-IROQUOIS-WASHINGTON TWP PL		Yes		
BROOKSTON-PRAIRIE TWP PL			Yes	
BROWN CO PL		Yes		
BROWNSBURG PL			Yes	
BROWNSTOWN PL				
BUTLER PL			Yes	Yes
CAMBRIDGE CITY PL			Yes	
CAMDEN-JACKSON TWP PL	Yes	Yes		
CANNELTON PL				
CARMEL CLAY PL	Yes	Yes	Yes	Yes
CARNEGIE PL OF STEUBEN CO		Yes	Yes	
CENTERVILLE-CENTER TWP PL				
CHARLESTOWN CLARK CO PL				
CHURUBUSCO PL		Yes	Yes	
CLAYTON-LIBERTY TWP PL				

Library	Library Foundation/ 2008 Supplement Question	Library Endowment/ 2008 Supplement Question	Friends Group 2011	IRS 501c3 Designation 2011
CLINTON PL			Yes	
COATESVILLE-CLAY TWP PL			Yes	
COLFAX-PERRY TWP PL			Yes	Yes
CONVERSE-JACKSON TWP PL				
COVINGTON-VEEDERSBURG PL			Yes	
CRAWFORD CO PL		Yes	Yes	
CRAWFORDSVILLE DISTRICT PL		Yes	Yes	
CROWN POINT COMMUNITY PL			Yes	Yes
CULVER-UNION TWP PL			Yes	Yes
DANVILLE-CENTER TWP PL			Yes	Yes
DARLINGTON PL			Yes	
DELPHI PL		Yes	Yes	Yes
DUBLIN PL				
DUNKIRK PL	Yes	Yes	Yes	Yes
EARL PARK PL		Yes	Yes	Yes
EAST CHICAGO PL				
ECKHART PL	Yes	Yes	Yes	Yes
EDINBURGH WRIGHT-HAGEMAN PL		Yes		
ELKHART PL		Yes	Yes	
EVANSVILLE-VANDERBURGH PL	Yes		Yes	Yes
FAIRMOUNT PL			Yes	
FARMLAND PL			Yes	
FAYETTE CO PL			Yes	Yes
FLORA-MONROE TWP PL	Yes		Yes	Yes
FORT BRANCH-JOHNSON TWP PL				
FORTVILLE-VERNON TWP PL		Yes		
FRANCESVILLE-SALEM TWP PL				
FRANKFORT-CLINTON CO CONTRACTUAL PL		Yes	Yes	Yes
FRANKLIN CO PL DISTRICT			Yes	
FREMONT PL		Yes	Yes	
FULTON CO PL			Yes	Yes
GARRETT PL	Yes	Yes	Yes	
GARY PL			Yes	Yes
GAS CITY-MILL TWP PL				
GOODLAND & GRANT TWP PL				
GOSHEN PL	Yes		Yes	Yes
GREENSBURG-DECATUR CO CONTRACTUAL PL			Yes	Yes
GREENTOWN & EASTERN HOWARD SCHOOL PL				
GREENWOOD PL		Yes	Yes	Yes
HAGERSTOWN-JEFFERSON TWP PL			Yes	
HAMILTON EAST PL	Yes		Yes	Yes
HAMILTON NORTH PL			Yes	
HAMMOND PL		Yes	Yes	Yes
HANCOCK CO PL		Yes	Yes	Yes

Library	Library Foundation/ 2008 Supplement Question	Library Endowment/ 2008 Supplement Question	Friends Group 2011	IRS 501c3 Designation 2011
HARRISON CO PL		Yes	Yes	Yes
HARTFORD CITY PL			Yes	
HENRY HENLEY PL			Yes	
HUNTINGBURG PL		Yes		
HUNTINGTON CITY-TWP PL			Yes	
HUSSEY-MAYFIELD MEMORIAL PL	Yes	Yes	Yes	Yes
INDIANAPOLIS-MARION CO PL	Yes	Yes	Yes	
JACKSON CO PL		Yes	Yes	Yes
JASONVILLE PL			Yes	Yes
JASPER CO PL		Yes	Yes	Yes
JASPER-DUBOIS CO CONTRACTUAL PL		Yes		
JAY CO PL		Yes	Yes	Yes
JEFFERSON CO PL		Yes	Yes	Yes
JEFFERSONVILLE TWP PL			Yes	Yes
JENNINGS CO PL		Yes	Yes	Yes
JOHNSON CO PL		Yes	Yes	Yes
JONESBORO PL				
JOYCE PL				
KENDALLVILLE PL	Yes		Yes	Yes
KENTLAND-JEFFERSON TWP PL				
KEWANNA-UNION TWP PL				
KINGMAN-MILLCREEK PL				
KIRKLIN PL			Yes	
KNIGHTSTOWN PL		Yes	Yes	
KNOX CO PL			Yes	Yes
KOKOMO-HOWARD CO PL			Yes	
LA CROSSE PL		Yes		
LA GRANGE CO PL			Yes	Yes
LA PORTE CO PL		Yes	Yes	Yes
LADOGA-CLARK TWP PL			Yes	
LAKE CO PL	Yes		Yes	Yes
LAWRENCEBURG PL	Yes	Yes	Yes	Yes
LEBANON PL			Yes	Yes
LIGONIER PL				
LINCOLN HERITAGE PL		Yes	Yes	Yes
LINDEN CARNEGIE PL				
LINTON PL		Yes	Yes	Yes
LOGANSPORT-CASS CO PL		Yes		
LOOGOOTEE PL	Yes		Yes	Yes
LOWELL PL		Yes	Yes	Yes
MARION PL			Yes	
MATTHEWS PL				
MELTON PL		Yes	Yes	Yes
MICHIGAN CITY PL		Yes	Yes	Yes
MIDDLEBURY COMMUNITY PL			Yes	
MIDDLETOWN FALL CREEK TWP PL			Yes	Yes

Library	Library Foundation/ 2008 Supplement Question	Library Endowment/ 2008 Supplement Question	Friends Group 2011	IRS 501c3 Designation 2011
MILFORD PL		Yes	Yes	
MISHAWAKA-PENN-HARRIS PL		Yes	Yes	Yes
MITCHELL COMMUNITY PL	Yes	Yes	Yes	Yes
MONON TOWN & TWP PL				
MONROE CO PL	Yes	Yes	Yes	Yes
MONTEREY-TIPPECANOE TWP PL				
MONTEZUMA PL				
MONTICELLO-UNION TWP PL		Yes	Yes	Yes
MONTPELIER-HARRISON TWP PL			Yes	
MOORESVILLE PL		Yes	Yes	Yes
MORGAN CO PL	Yes		Yes	Yes
MORRISSON REEVES LIBRARY		Yes	Yes	Yes
MUNCIE-CENTER TWP PL		Yes	Yes	Yes
NAPPANEE PL		Yes	Yes	
NEW ALBANY-FLOYD CO PL	Yes		Yes	Yes
NEW CARLISLE & OLIVE TWP PL				
NEW CASTLE-HENRY CO PL		Yes	Yes	Yes
NEW HARMONY WORKINGMEN'S INSTITUTE		Yes	Yes	
NEWTON CO PL		Yes	Yes	Yes
NOBLE CO PL		Yes	Yes	Yes
NORTH JUDSON-WAYNE TWP PL		Yes	Yes	
NORTH MADISON CO PL SYSTEM			Yes	
NORTH MANCHESTER PL		Yes	Yes	
NORTH WEBSTER COMMUNITY PL		Yes	Yes	Yes
OAKLAND CITY-COLUMBIA TWP PL			Yes	
ODON WINKELPLECK PL			Yes	
OHIO CO PL		Yes		
OHIO TWP PL SYSTEM	Yes	Yes	Yes	
ORLEANS TOWN & TWP PL				
OSGOOD PL			Yes	Yes
OTTERBEIN PL			Yes	
OWEN CO PL			Yes	Yes
OWENSVILLE CARNEGIE PL				
OXFORD PL			Yes	Yes
PAOLI PL	Yes		Yes	
PEABODY PL		Yes	Yes	
PENDLETON COMMUNITY PL		Yes	Yes	
PENN TWP PL				
PERU PL			Yes	Yes
PIERCETON & WASHINGTON TWP PL				
PIKE CO PL			Yes	
PLAINFIELD-GUILFORD TWP PL		Yes	Yes	Yes
PLYMOUTH PL			Yes	Yes
PORTER CO PL SYSTEM			Yes	Yes
POSEYVILLE CARNEGIE PL				

Library	Library Foundation/ 2008 Supplement Question	Library Endowment/ 2008 Supplement Question	Friends Group 2011	IRS 501c3 Designation 2011
PRINCETON PL		Yes	Yes	Yes
PULASKI CO PL				
PUTNAM CO PL		Yes	Yes	Yes
REMINGTON-CARPENTER TWP PL			Yes	Yes
RIDGEVILLE PL		Yes	Yes	
ROACHDALE-FRANKLIN TWP PL				
ROANN PAW-PAW TWP PL			Yes	
ROANOKE PL			Yes	Yes
ROCKVILLE PL				
ROYAL CENTER-BOONE TWP PL		Yes		
RUSHVILLE PL				
SALEM-WASHINGTON TWP PL		Yes	Yes	
SCOTT CO PL			Yes	
SHELBYVILLE-SHELBY CO PL	Yes		Yes	
SHERIDAN PL			Yes	Yes
SHOALS PL	Yes	Yes		
SOUTH WHITLEY-CLEVELAND TWP PL		Yes		
SPEEDWAY PL			Yes	Yes
SPENCER CO PL				
SPICELAND TOWN-TWP PL				
ST JOSEPH CO PL	Yes	Yes	Yes	Yes
STARKE CO PL SYSTEM	Yes			
SULLIVAN CO PL		Yes	Yes	Yes
SWAYZEE PL				
SWITZERLAND CO PL				
SYRACUSE-TURKEY CREEK TWP PL			Yes	
TELL CITY-PERRY CO PL			Yes	Yes
THORNTOWN PL			Yes	Yes
TIPPECANOE CO PL	Yes	Yes	Yes	Yes
TIPTON CO PL		Yes	Yes	Yes
TYSON LIBRARY ASSOCIATION, INC	Yes			
UNION CITY PL	Yes			
UNION CO PL	Yes	Yes	Yes	Yes
VAN BUREN PL				
VERMILLION CO PL			Yes	
VIGO CO PL		Yes	Yes	Yes
WABASH CARNEGIE PL		Yes		
WAKARUSA-OLIVE & HARRISON TWP PL			Yes	
WALKERTON-LINCOLN TWP PL				
WALTON & TIPTON TWP PL			Yes	Yes
WANATAH PL				
WARREN PL			Yes	Yes
WARSAW COMMUNITY PL		Yes		
WASHINGTON CARNEGIE PL			Yes	Yes
WASHINGTON TWP PL				

Library	Library Foundation/ 2008 Supplement Question	Library Endowment/ 2008 Supplement Question	Friends Group 2011	IRS 501c3 Designation 2011
WATERLOO-GRANT TWP PL			Yes	Yes
WAVELAND-BROWN TWP PL			Yes	
WELLS CO PL		Yes	Yes	Yes
WEST LAFAYETTE PL	Yes	Yes	Yes	Yes
WEST LEBANON-PIKE TWP PL				
WESTCHESTER PL			Yes	Yes
WESTFIELD-WASHINGTON PL			Yes	Yes
WESTVILLE-NEW DURHAM TWP PL				
WHITING PL			Yes	Yes
WILLARD LIBRARY OF EVANSVILLE	Yes	Yes	Yes	Yes
WILLIAMSPORT-WASHINGTON TWP PL		Yes	Yes	Yes
WINCHESTER COMMUNITY PL			Yes	Yes
WOLCOTT COMMUNITY PL				
WORTHINGTON JEFFERSON TWP PL				
YORK TWP PL				
YORKTOWN-MOUNT PLEASANT TWP PL			Yes	

APPENDIX A

Appendix: Contact Directory

Always look to your peers for help – they are a great resource!

Library Contacts at Indiana State Library	
Indiana Historical Bureau	www.in.gov/history/ Voice 317-232-2535 Fax 317-232-3738
Indiana State Library	www.in.gov/library/ (317) 232-3675 1(866) 683-0008
Census	(317) 232-3733
Director's Office	(317) 232-3692
Genealogy	(317) 232-3689
Indiana Division	(317) 232-3670
Reference: and Government Services	(317) 232-3678 1(800) 683-0008
Talking Books & Braille	(317) 232-6384
Library Development Office	1(800) 451-6028
Local	(317) 232-3697
Fax	(317) 232-0002
Email	ldo@library.in.gov
Evergreen Indiana	Shauna Borger, sborger@library.in.gov (317) 234-6536 (800) 451-6028
ILLIAD, Indiana Share, InfoExpress	1(877) 835-0014, share@library.in.gov www.in.gov/library/ishare.htm
Indiana Memory	Connie Rendfeld, crendfeld@library.in.gov (317) 232-3694 (800) 451-6028
Book discussion and die cut kits	www.in.gov/library/kits.htm

Library Contacts at Indiana State Library	
Professional Development Office	(800) 451-6028
Local	(317) 234-5650
Fax	(317) 232-3713
Email	pdo@library.in.gov
Certification	Emily Kruse Schaber, emschaber@library.in.gov (317) 234-6217 (800) 451-6028
Children's Services Consultant	Beth Meyer, bmeyer1@library.in.gov (317) 234-5649 (800) 451-6028
Collaborative Summer Library Program	www.cslpreads.org
Early Literacy Computer Grants	www.in.gov/library/3372.htm
Storytime Kits	www.in.gov/library/3369.htm
Public Library Directory	www.in.gov/library/pldirectory.htm
Public Library Statistics	www.in.gov/library/plstats.htm
State Agency Contacts	
Department of Local Government and Finance	
Dan Jones	djones@dlgf.in.gov (317) 232-0651
Tafrica Harewood, LCPF	tharewood@dlgf.in.gov (317) 234-5592
Tammy Merriweather Additional Appropriations	tmerriweather@dlgf.IN.gov (317-232-3790)
Budget Manual	www.in.gov/dlgf/4843.htm

State Agency Contacts	
State Department of Workforce Development	
Employer Handbook - Unemployment Insurance	www.in.gov/dwd/files/Employer_Handbook.pdf
DWD Contact Information General UI Tax Questions	(800) 891-6499 (800) 437-9136
State Board of Accounts	
Main Office	www.in.gov/sboa (317) 232-2521
Charlie Pride	cpride@sboa.in.gov
Todd Austin	taustin@sboa.in.gov
Accounting & Uniform Compliance Guidelines Manual for Libraries	www.in.gov/sboa/2404.htm
Commission on Public Records	www.IN.gov/icpr/ (317) 232-3380
Retention & Disposition of Public Records	www.in.gov/icpr/2739.htm
Indiana Bond Bank	www.in.gov/bond/ (317) 233-0888 (800) 535-6974
Indiana Board of Depositories	www.in.gov/deposit (317) 232-5257
List of approved depositories	www.in.gov/tos/deposit/2377.htm
Indiana Department of Labor	www.in.gov/labor/ (317) 232-2655 www.in.gov/dol/2368.htm
Indiana Department of Revenue	www.in.gov/dor
Indiana State Department of Health	www.in.gov/isdh (317) 233-1325 www.in.gov/isdh/23556.htm

State Agency Contacts	
Public Access Counselor	www.in.gov/pac/ (317) 234-0906
Counselor	(800) 228-6013
Open Door Law	www.in.gov/pac/files/pac_handbook.pdf
Indiana Public Retirement System (INPRS) - Public Employment Retirement Fund (PERF)	www.in.gov/inprs/ (888) 526-1687
Local Number	(317) 233-4162
Fax	(317) 233-0914 or (866) 591-9441
Retirement counseling is by appointment only,	(317) 233-4162 or (888) 526-1687 to schedule
State of Indiana Deferred Compensation Plan	www.in.gov/auditor/2403.htm (800) 728-6738

Other Important Contacts	
American Library Association	www.ala.org (800) 545-2433
ENA Help Desk Support	(888) 612-2880 or (317) 612-2880 or helpdesk@INschools.net
Friends of Indiana Libraries (FOIL)	www.incolsa.net/~foil/
Internal Revenue Service	www.irs.gov
Lyrasis	www.lyrasis.org
General Information	1(800) 999-8558
Fax	(404) 892-7879
Provider of Prescribed Forms:	
A.E. Boyce, Muncie, Indiana	
501 W Riggin Rd	
Muncie, IN , 47303-6414	
Phone: 765-289-2233	
FAX: 765-289-2376	
Toll Free Phone: 800-382-8702	

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WESTFIELD WASHINGTON PUBLIC LIBRARY	SHERYL SOLLARS	sheryl@westfieldlibrary.lib.in.us
WESTVILLE-NEW DURHAM TOWNSHIP PUBLIC LIBRARY	COURTNEY CASSLER	wvpubliclibrary@yahoo.com
WHITING PUBLIC LIBRARY	RACHAEL DELUNA	rachael@whiting.lib.in.us
WILLARD LIBRARY OF EVANSVILLE	GREGORY HAGER	ghager@willard.lib.in.us
WILLIAMSPORT-WASHINGTON TOWNSHIP PUBLIC LIBRARY	CHRISTOPHER BROWN	cbrown@wwtpl.lib.in.us
WINCHESTER COMMUNITY PUBLIC LIBRARY	JANA BARNES	wincomlib@yahoo.com
WOLCOTT COMMUNITY PUBLIC LIBRARY	DEANNA DREBLOW	wolcottlibrary@mywcpl.com
WORTHINGTON JEFFERSON TOWNSHIP PUBLIC LIBRARY	ANDREA FULLER	andrea.fuller@hotmail.com
YORK TOWNSHIP PUBLIC LIBRARY	CHRISTINE MCPETERS	raublibr@midwaynet.net
YORKTOWN-MOUNT PLEASANT TOWNSHIP COMMUNITY PUBLIC LIBRARY	LIZ ROZELLE	lizrozelle@yorktownlib.org

Appendix B

Library Acronyms and Terms

AASL: American Association of School Libraries, A division of ALA serving school library media specialists.

AASLH: American Association for State and Local History

ACA: American Correctional Association

ACRL: Association of College & Research Libraries, a division of ALA for academic and research libraries, including large public libraries.

ADA: Americans with Disabilities Act, Federal legislation to protect the rights of citizens with disabilities. Libraries are required to comply with certain provisions of the law.

ADOLPLI: Administrators of Large Public Libraries in Indiana

AECT: Association for Educational Communications and Technology

AIIN: Access Indiana Information Network

AIME: Association of Indiana Media Educators, See **AISLE**

AISLE: Association of Indiana School Library Educators, one of the four associations that make up the Indiana Library Federation.

ALA: American Library Association, the oldest and largest organization of librarians and libraries in the country, with over 30,000 members. ALA provides leadership for the development, promotion, and improvement of library and information services and the profession of librarianship in order to enhance learning and ensure access to information for all.

ALCTS: Association for Library Collections & Technical Services - a division of ALA.

ALI: Academic Libraries of Indiana.

ALSC: Association for Library Service to Children - a division of ALA.

ALTA: American Library Trustee Association. See ALTAFF.

ALTAFF: Association of Library Trustees, Advocates, Friends and Foundations - a division of ALA formed in 2009 by a merger of the American Library Trustee Association and Friends of Libraries USA.

ARL: Association of Research Libraries

ASCLA: Association of State and Cooperative Library Agencies - a division of ALA

ASIS: American Society for Information Science, a professional organization concerned with the design, management and use of information systems and technology.

ASLA: Association of State Library Agencies

BOA: Board of Accounts. see SBoA

CAGIT: County Adjusted Gross Income Tax

CBW: Children's Book Week

CE: Continuing Education. Advanced training in a profession (not leading to a degree) to learn new skills or keep abreast of developments in the field.

CEA: Correctional Education Association

CEDIT: County Economic Development Income Tax

CEU: Continuing Education Unit. One CEU is equal to one hour of instruction or contact time. See also LEU and TLEU.

CIPA: Children's Internet Protection Act (Public Law 106-554, Title XVII)

CLENE: Continuing Library Education Network Exchange - a division of ALA

CO: ILF Community Outreach Division.

COIT: County Option Income Tax

ContentDM: A digital collection tool. See **Indiana Memory**.

COSLA: Chief Officers of State Library Agencies

CYPD: ILF Children & Young People's Division.

DLGF: Department of Local Government Finance.

DOE: Dept. of Education, Indiana (formerly Dept. of Public Education)

eGovernment: The use of the Internet to deliver government information and services to the public.

E-rate: Education rate (federal discount telecommunications services for schools K-12 and libraries)

ERIC: Educational Research Information Center

ESEA: Elementary and Secondary Education Act. The Federal act which provides funds for educational purposes, including school library materials.

Evergreen Indiana: A growing consortium of 100 public, school and institutional libraries located throughout Indiana that use the Evergreen ILS. Patrons of member libraries can use their Evergreen Indiana library card to view the catalogs & borrow materials from the other member libraries. The Evergreen Indiana catalog holds over 2.8 million bibliographic records and provides access to over 6.6 million items

FIT: Financial Institutions Tax

FOIL: Friends of Indiana Libraries

FOLUSA: Friends of Libraries USA. Now see ALTAFF.

FRRD: ILF Fundraising and Resource Development Division.

GAC: Group Access Contract

GODORT: Government Documents Round Table

GPO: Government Printing Office. Prints and sells books, reports and materials produced by government agencies; also makes material available electronically.

IAACE: Indiana Association for Adult and Continuing Education

IAC: Indiana Administrative Code

IALA: Indiana Academic Library Association, one of the four associations that make up the Indiana Library Federation.

IALC: Indiana Adult Literacy Coalition

IC: Indiana Code

ICA: Indiana Correction Association

ICD: ILF Interlibrary Loan and Circulation Division

IDOR: Indiana Department of Revenue

IE: ILF Instruction and Education Division

IFLA: International Federation of Library Associations

IHC: Indiana Humanities Council

IHETS: Indiana Higher Education Telecommunications System

IHSLA: Indiana Health Science Librarians Association

ILF DISTRICT 1: Lake, LaPorte, Porter, St. Joseph, Starke, Elkhart, Newton, Jasper, Pulaski, Marshall, and Kosciusko Counties.

ILF DISTRICT 2: Benton, Warren, Fountain, White, Cass, Tippecanoe, Montgomery, Clinton, Miami, Wabash, Howard, Fulton, Carroll, and Tipton Counties.

ILF DISTRICT 3: LaGrange, Steuben, Noble, Dekalb, Whitley, Allen, Huntington, Wells, and Adams Counties.

ILF DISTRICT 4: Boone, Hamilton, Hancock, Shelby, Morgan, Johnson, Marion, and Hendricks Counties.

ILF DISTRICT 5: Vermillion, Parke, Putnam, Vigo, Clay, Owen, Sullivan, Greene, Monroe, and Lawrence Counties.

ILF DISTRICT 6: Bartholomew, Brown, Clark, Crawford, Dearborn, Decatur, Floyd, Harrison, Jackson, Jefferson, Jennings, Ohio, Orange, Ripley, Scott, Switzerland, and Washington Counties.

ILF DISTRICT 7: Knox, Warrick, Spencer, Perry, Davies, Martin, Gibson, Pike, Dubois, Posey, and Vanderburgh Counties.

ILF DISTRICT 8: Grant, Blackford, Jay, Madison, Delaware, Randolph, Henry, Wayne, Rush, Fayette, Union, and Franklin Counties.

ILF: Indiana Library Federation. The mission of ILF is to foster the professional growth of its members and to promote all types of libraries in Indiana.

ILHB: Indiana Library and Historical Board

ILTA: Indiana Library Trustee Association, one of the four associations that make up the Indiana Library Federation.

IMCPL: Indianapolis-Marion County Public Library

IMLS: Institute of Museum and Library Services. Federal grant-making agency that promotes leadership, innovation, and a lifetime of learning by supporting the nation's museums and libraries. It administers LSTA funds.

Indiana Memory: Indiana Memory, the Indiana digital library, is a collaboration of Indiana libraries, museums, archives, and related cultural organizations to enable access to Indiana's unique cultural and historical heritage through a variety of digital formats and free distribution over the Internet

INPRS: Indiana Public Retirement System formerly PERF

IN-SHARE: The Indiana SHARE program allows a large variety of libraries from around the state to request interlibrary loan materials through the Indiana State Library using ILLiad software.

INSPIRE: Indiana's virtual Library. INSPIRE.IN.GOV

IOLUG: Indiana Online Users Group

IPLA: Indiana Public Library Association, one of the four associations that make up the Indiana Library Federation.

ISL: Indiana State Library. The Indiana State Library is responsible for developing and providing library services to state government, Providing specialized library services to the individual citizens of the state; supporting the development of the library profession; and strengthening services of all types of publicly and privately supported special, school, academic, and public libraries. The Indiana State Librarian is Roberta Brooker.

LAMA: Library Administration and Management Association - a division of ALA.

LC: Library of Congress. The Library of the U.S. Congress, which also serves as our National Library. Also the classification system used by most larger libraries.

LC1: Librarian Certificate 1

LC2: Librarian Certificate 2

LC3: Librarian Certificate 3

LC4: Librarian Certificate 4

LC5: Librarian Certificate 5

LC6: Librarian Certificate 6

LCCN: Library of Congress Card Number. The number assigned to an item by the Library of Congress, which is also a depository library. Used to order catalog cards from LC and to search the OCLC database.

LCPF: Library Capital Projects Fund is a separate fund for which library districts can levy a tax, to provide for capital projects, approved by DLGF

LDO: Library Development Office, Indiana State Library

LEU: Library Education Units

LIT: ILF Library Information & Technology Division

LITA: Library and Information Technology Association - a division of ALA

LSCA: Library Services and Construction Act. See LSTA

LSTA: Library Services and Technology Act. Federal funding for libraries in several areas -- technology, interlibrary cooperation, literacy, etc., and for state library agencies. Replaces LSCA - Library Services and Construction Act.

LYRASIS: The nation's largest regional membership organization serving libraries and information professionals - providing opportunities for networking and collaboration, offering innovative solutions, and significant cost savings through group purchasing for products and services.

MARC: Machine Readable Cataloging. MARC records contain data in standardized format and allow conversion to automated cataloging and circulation systems.

MKT: ILF Marketing Division

MLS: Master's Degree in Library Science. ALA accredits MLS programs in the U.S.

MR: ILF Media Resources Division

NCLIS: National Commission on Libraries and Information Science. A federal advisory group composed of representatives from various library groups and distinguished librarians.

NEA: National Endowment for the Arts

NEH: National Endowment for the Humanities

NLM: National Library of Medicine

NLS: National Library Service for the Blind and Physically Handicapped

NLW National Library Week

OCLC: Online Computer Library Center. A bibliographic utility based in Ohio which provides online cataloging, interlibrary loan, serials control and other services to libraries worldwide.

OITP Office for Information Technology Policy part of ALA Washington Office

PAC: Public Access Catalog

PALNI: Private Academic Library Network of Indiana

PDO: Professional Development Office, Indiana State Library

PERF: Public Employees Retirement Fund. See **INPRS**

PLA: Public Library Association - a division of ALA

PLAC: Public Library Access Card

POLIS: An academic at IUPUI using Geospatial technologies, especially GIS, to integrate and visualize information by location.

PTRC: Property Tax Replacement Credits

RASD: Reference & Adult Services Division - a division of ALA

RB: Reciprocal Borrowing

RDA: Resource Description and Access cataloging rules.

REF: ILF Reference Division

RFID: Radio Frequency Identification. A technology that uses radio waves to automatically identify objects by embedding a barcode or unique ID in a tag that transmits the information to a reader which in turn is connected to a network.

RUSA: Reference and User Services Association - a division of ALA

SAMS: ILF Small and Medium Size Libraries Division

SAVI: A large spatially-enabled system providing local organizations and researchers with the detailed, geographically precise information about the social, physical, and economic conditions of Central Indiana. See also POLIS.

SHRAB: State Historical Records Advisory Boards

SLA: Special Libraries Association.

SLIS: School of Library and Information Science, Indiana University

SS: ILF Support Staff Division

STATIS: Statistical Information System

SUDOC: Superintendent of Documents. SUDOC numbers are assigned by the Government Printing Office to documents and are used to order items from the GPO.

TBBL: Talking Books and Braille Library

TS: ILF Technical Services Division

Unserved: Areas not taxed by a library district.

USF: Universal Service Fund Money collected from telecommunications companies and dedicated to fulfilling the goals of universal service, federal eRate program

VINE: Vital Information Exchange

WebJunction: An online community where library staff meet to share ideas, solve problems, and take courses for professional development.

WHEELS: Former statewide courier service. See **INfoExpress**

WO: ILF Women in Indiana Libraries Division

WorldCat: OCLC's online public-access catalog with more 69 million records and one billion holdings contributed by more than 9,000 institutions worldwide.

YA: Young Adult. Common term for library users between the ages of 12 and 18.

YALSA: Young Adult Library Services Association - a division of ALA