

# **Library Director's One-Stop Guide 2020**

**New Director's Workshop  
August 6 and 12, 2020**





# **INDIANA LIBRARY DIRECTOR'S** **ONE-STOP GUIDE**

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# Welcome New Directors

Dear Colleagues:

Indiana libraries are so much more than just a bricks and mortar repository of books. Today, the local library is early literacy center, a catalyst for economic development, a provider of professional development and lifelong education services, a gateway to digital information and online resources, and a cultural and civic center of the community.



As libraries continue to evolve 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 libraries with assistance on wide range of library issues, including programming, 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 encouraged 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.

Sincerely,

A handwritten signature in black ink that reads "Jacob Speer". The signature is fluid and cursive, with the first letters of each word being capitalized and prominent.

Jacob Speer  
Indiana State Librarian  
[JSpeer@library.in.gov](mailto:JSpeer@library.in.gov)





## Overview of the Indiana State Library

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

**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 the Collaborative Summer Library Program, Every Child Ready to Read and other initiatives.

**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 and trustees. They also specialize and train in the areas of grants, literacy, library finance, E-rate and resource sharing.

**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 Lyris and WebJunction.

**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 (<https://digital.library.in.gov/>), 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, loans scanning equipment and performs large-scale digitization projects for Indiana Memory, the National Digital Newspaper Program and Hoosier State Chronicles (<https://newspapers.library.in.gov/>), offering online access to thousands of pages of historic Indiana newspapers.

**Evergreen Indiana** is a growing consortium of more than 120 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 maintaining a library catalog. The shared Evergreen catalog enables patrons to place holds from home and to receive them at their participating library of choice, or go to any Evergreen library statewide to access approximately 7,000,000 items free of additional charge.

**InfoExpress**, a statewide 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 for heavily subsidized one- to two-days-a-week service.

**[INSPIRE.in.gov](https://www.in.gov/inspire)**: For nearly two decades, [INSPIRE.in.gov](https://www.in.gov/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, 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.

**SRCS**: SRCS (Statewide Remote Circulation System) is a patron-initiated interlibrary loan system which links the catalogs of over 200 public, academic and special libraries.

**Library Standards**: The State Library oversees the compliance of the Indiana Public Library Standards ([590 IAC 6](#)) to encourage high quality and equitable services for all Indiana residents.

**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. Local libraries may use these findings as talking points with patrons, legislators and other local decision makers. These annual statistics are available at <https://www.in.gov/library/plstats.htm>.

**Regional Consultants**: The State Library'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 2).

### **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 32, **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 <https://www.in.gov/library/listservs.htm> ask questions, check out statistics on the ISL website <https://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 6-1-5 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 Indiana 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 2 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.
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**

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 2)
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.
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

(Excerpt from the Idaho Librarian Survival Manual)

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 they still represent one seventh of your boss. If this trustee has been on the board for a long time or is an officer of the board, they 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.

### **New Trustee Orientation**

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 <https://www.in.gov/library/InPubTrust.htm>. If you need assistance with this, please contact the office at 1-800-451-6028, or [ldo@library.in.gov](mailto: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.

### **Certificate of Appointment for Public Library Board Members**

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 is null and void and the office becomes vacant(IC 5-4-1-1.2).

The certificate is found at this URL: <https://www.in.gov/library/files/31873%20fill-in.pdf>

## **Ensuring Attendance of Board Members at Meetings**

Attendance is a high priority for board members. Absence harms the productivity and effectiveness of board action. Comply with the law that the board meets monthly and that a quorum is required to conduct library business.

Perhaps an absence policy is needed whereby unexcused absences are kept to a minimum, and excused absences are acceptable. Consistent absences should be considered unacceptable. 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))

Of course it is not enough for the trustee to show up. Trustees need to read the agenda and prepare for the meeting.

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?

Showing up and working productively together contributes to the community enjoying the valuable services the library offers.

## **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.

## **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.

Per 590 IAC 6-1-5(f), the library shall have written bylaws that state its purpose and its operational procedures and specifically state rules governing conflicts of interest issues and nepotism. The bylaws shall be reviewed at least every three years. A copy of the bylaws shall be submitted to the Indiana State Library with the library's annual report.

### **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 decision 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, fathers-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, and 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.

To locate the laws below consult Legislative Service Agency webpage for Indiana Codes found here <http://iga.in.gov/legislative/laws/2020/ic/>

#### **IC 35-44.1-1-4 Conflict of interest**

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

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

### **Lucrative Office**

The question is asked can a library board trustee serve on another public board and this is where lucrative office is applied.

<http://iga.in.gov/legislative/laws/const/>

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).*

The other reference offered is to the Attorney General Dual Office Holding Guide found here <https://www.in.gov/attorneygeneral/files/DOH%20Guide%202017%20Update.pdf>.

# UNIFORM CONFLICT OF INTEREST DISCLOSURE STATEMENT

from <https://forms.in.gov/Download.aspx?id=8264>



## UNIFORM CONFLICT OF INTEREST DISCLOSURE STATEMENT

State Form 54266 (R2 / 6-15) / Form 236  
STATE BOARD OF ACCOUNTS

### Indiana Code 35-44.1-1-4

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. "Dependent" means any of the following: the spouse of a public servant; a child, stepchild, or adoptee (as defined in IC 31-9-2-2) of a public servant who is unemancipated and less than eighteen (18) years of age; and any individual more than one-half (1/2) of whose support is provided during a year by the public servant.

The foregoing consists only of excerpts from IC 35-44.1-1-4. Care should be taken to review IC 35-44.1-1-4 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.):

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(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 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 35-44.1-1-4; 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.

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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 (month, day, year)

\_\_\_\_\_  
Date of Action on Contract or Purchase (month, day, year)

10. **Affirmation of Public Servant:** This disclosure was submitted to the governmental entity and accepted by the governmental entity in a public meeting of 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: \_\_\_\_\_  
(month, day, year)

Printed Name: \_\_\_\_\_  
(Please print legibly.)

Email Address: \_\_\_\_\_

Within fifteen (15) days after final action on the contract or purchase, copies of this statement must be filed with the State Board of Accounts by uploading it here [https://gateway.ifionline.org/sboa\\_coi/](https://gateway.ifionline.org/sboa_coi/) which is the preferred method of filing, or by mailing it to the State Board of Accounts, Indiana Government Center South, 302 West Washington Street, Room E418, Indianapolis, Indiana, 46204-2765 and the Clerk of the Circuit Court of the county where the governmental entity took final action on the contract or purchase.

## **Board Composition**

The 236 public library districts in Indiana vary in territory composition and classification. These include: city/town libraries, county libraries, city/town/township(s) libraries. Many are Class 1 libraries governed by a seven member appointed board.

A library board appointee needs to reside in the library district at the time of their appointment and needs to have resided there for at least two years immediately preceding the appointment. Typically a seven member board for a Class 1 library consists of:

- 1 county commission appointment
- 1 county council appointment
- 3 school board appointments

And the last two appointments vary based on the territorial composition of the library district (for example, library is only in one city; library is in one township, etc.)

In addition to the library types mentioned above with seven member library boards, there are four county contractual libraries in Indiana that appoint a separate four member board. The four (4) additional members of a county contractual library board required by IC 36-12-6-2 are appointed as follows:

(1) Two (2) members appointed by the executive of the county in which the county contractual library district is located.

(2) Two (2) members appointed by the county superintendent of schools, or if there is no county superintendent of schools, by the county auditor of the county in which the library district is located.

There are a handful of libraries which are an exception to the seven member library boards and the additional 4 member boards that represents contractual library composition. In general, the remaining libraries are endowed libraries that have board appointments that represent their endowment interests.

**Resources referenced in this chapter:**

- Certificate of Appointment Public Library Board Member  
<https://www.in.gov/library/files/31873%20fill-in.pdf>
- Uniform Conflict of Interest Disclosure Statement – Form 54266 State Forms Online Catalog at <https://forms.in.gov/Download.aspx?id=8264>
- IN The Public Trust
- <https://www.in.gov/library/InPubTrust.htm>
- Idaho Librarian Survival Manual  
<https://files.eric.ed.gov/fulltext/ED381172.pdf>

**Other Helpful information:**

Library law found here <http://iga.in.gov/legislative/laws/2020/ic/titles/036#36-12>

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.

**Additional Trustee Trainings:**

Contact the LDO Office at (800) 451-6028 to arrange an onsite presentation of trustee-related topics. Sample training topics include:

1. The Public Library Trustee: general overview of what they do and how to do it
2. The Public Library Trustee and the Public Library Director- Governance and Management
3. The Public Library Trustee and Policies
4. The Unserved Area and How to Begin Bringing It into Your Library District
5. Committees, Meetings, and the Open Door Law

See also Library Development Office webpage on Trustee Information at <https://www.in.gov/library/trustee.htm>



## Chapter 2

# Public Library Standards

The **Public Library Standards** were enacted by the Indiana Library and Historical Board to establish the minimum service levels expected of Indiana public libraries. Some of the topics covered by Indiana's public library standards include:

- Days and Hours of service
- Library Websites
- Resource Sharing and Courier service
- Public Computers and internet speed
- Materials Expenditures
- Programming
- Services and spaces for different age groups
- Long Range Planning

**Public libraries are required to meet the standards** to be able to receive any state or federal funds disbursed by the Indiana State Library in the form of grants or monetary award. 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

The current Library Standards, in effect can be viewed here:

<http://www.in.gov/legislative/iac/T05900/A00060.PDF?>

## How is it determined that a library is meeting Standards?

Responses provided on the Indiana State Library's Annual Report for Public Libraries are reviewed to help determine if a library is meeting standards. This usually occurs between March and May of the year following the period covered by the report (e.g. May 2021 for the 2020 report which is due 3/1/2021). Libraries are contacted by email or mail if they appear to be out of standards on any issue, and given an explanation of the issue, as well as an option to correct the issue or request a waiver. The Indiana Library and Historical Board makes the final determination whether a library is consider to be "in standards."

## Where to get help meeting specific Standards issues:

- **Long Range Plans and Bylaws** - Templates and advice for writing trustee bylaws and long range plans are available from the Library Development Office. Questions about the standards may be addressed to the Library Development Office.
- **Lack of a Library Website/Outdated website** – The Indiana State Library offers the **Connect IN** service for libraries unable to create or host their own website. If you have questions, contact the Professional Development Office, or visit: <http://www.in.gov/library/connect.htm>
- **Resource Sharing – Evergreen Indiana** - Questions about the Evergreen Indiana Open Source Integrated Library System ([www.in.gov/library/evergreen.htm](http://www.in.gov/library/evergreen.htm)), a resource to meet standards regarding automation and a public access catalog, should be addressed to Anna Goben, [agoben@library.IN.gov](mailto:agoben@library.IN.gov).
- **Resource Sharing – SRCS** – SRCS is also an option for public libraries interested in opening their collections to the statewide resource sharing community. Interested libraries should contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) to learn about the next enrollment opportunity.

## 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; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

#### 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 5:00 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 online databases available to residents of Indiana.

(13) "Integrated library system" or "ILS" 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; filed Feb 16, 2016, 2:04 p.m.: 20160316-IR-590150083FRA, eff Jan 1, 2017; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

### **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; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

### **590 IAC 6-1-4 Minimum standards for public libraries (Repealed)**

Sec. 4. (Repealed by Indiana Library and Historical Board; filed Feb 16, 2016, 2:04 p.m.: 20160316-IR-590150083FRA, eff Jan 1, 2017)

## 590 IAC 6-1-5 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 5-14-1.5; IC 5-14-3-8; IC 6-1.1-18.5; IC 35-44.1-1-4; IC 36-1-20.2; IC 36-12-2-24

Sec. 5. (a) The library must operate in compliance with Indiana laws, including the following:

(1) The public library law under IC 36-12.

(2) The open door law under IC 5-14-1.5 and access to public records act under IC 5-14-3.

(3) Other Indiana laws that affect municipal corporations and political subdivisions.

(4) Federal laws affecting employment practices.

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

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

(d) The library board, in accordance with IC 36-12-2-24, is responsible for hiring and evaluating annually a library director with the education and experience required by the librarian certification rules under 590 IAC 5.

(e) 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.

(f) The library board shall have written bylaws that state its purpose and its operational procedures as follows:

(1) The bylaws shall specifically state rules governing conflicts of interest and nepotism as follows:

(A) The rules governing conflicts of interest shall be at least as restrictive as IC 35-44.1-1-4.

(B) The rules governing nepotism shall be at least as restrictive as IC 36-1-20.2.

(2) The bylaws shall be reviewed by the library board every three (3) years.

(3) A copy of the bylaws and all amendments to the bylaws that have been adopted by the board each year must be submitted with the library's annual report.

(g) The library board shall adhere to the principles outlined in current Indiana state library publications for library trustees.

(h) The library will provide an orientation to new library board trustees in cooperation with the Indiana state library and shall provide training materials to all library trustees and directors annually.

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

(j) 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, including a schedule of fines and Internet access policy.

(3) A schedule of classification of employees.

(4) An annual schedule of salaries.

(5) A proposed library budget.

(6) 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) An assessment of facilities, services, technology, and operations.
  - (C) Measurable objectives and service responses to the community's needs and goals.
  - (D) An ongoing evaluation process.
  - (E) Financial resources and sustainability.
  - (F) An equipment replacement schedule.
  - (G) A professional development strategy.
  - (H) Collaboration with other public libraries and community partners.
- (7) Personnel policies and procedures that, at a minimum, address the following:
- (A) Employment practices, such as recruitment, selection, and appointment.
  - (B) Personnel actions.
  - (C) Salary administration.
  - (D) Employee benefits.
  - (E) Conditions of work.
  - (F) Leaves.

(k) 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 are 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:

- (1) Class A libraries: fifty-five (55) hours per week, including four (4) evenings and one (1) weekend day.
- (2) Class B libraries: forty (40) hours per week, including two (2) evenings and one (1) weekend day.
- (3) Class C libraries: twenty (20) hours per week, including one (1) evening and one (1) weekend day.

(l) The library shall provide the following minimum services in support of adults, young adults, and children, by providing for each audience:

- (1) Acquisition, organization, and loan of print, audiovisual, digital, and other collections.
- (2) Reference services, including knowledge of and access to reference materials, including [inspire.in.gov](http://inspire.in.gov).
- (3) Space designated for each audience in each fixed location.

(m) Total programs sponsored by the library shall be provided with a minimum frequency of twelve (12) programs per year per system regardless of population served.

(n) The library system shall have a qualified individual holding the appropriate librarian certificate supervising the services listed in subsections (m) and (n), adhering to the rules set forth in 590 IAC 5.

(o) The library system shall offer a children's reading program for a minimum of six (6) weeks at each fixed location annually.

(p) A library shall expend, at a minimum, from all funds combined, at least eight percent (8%) of its reported operating expenditures on library collections.

(q) The library shall provide access directly or through the Indiana state library to large print books, talking books, Braille books, audiobooks, and enhanced media to patrons who are unable to read regular print because of a visual or physical disability.

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

- (1) A telephone with a publicly published number.
- (2) An answering machine, voice mail, or other similar technology to provide operating hours of the library.
- (3) A discoverable public website.

- (4) An e-mail address or a means of electronic contact for the library listed on the library's website.
- (5) Technology available to electronically transmit documents.
- (s) The library shall have an ILS including an online public access catalog.
- (t) On-site computers shall be provided at no cost for the use of all persons regardless of residency, so long as such use does not violate any laws or other legally binding prohibitions imposed upon the person, including, but not limited to, fines owed the library or violations of local library policies.
- (u) The library shall provide public access computers and wireless access at an appropriate Internet connection speed to meet the needs of its community.
- (v) The library shall provide the public the ability to print and make copies at each fixed location. A fee may be charged, not to exceed a fee established under IC 5-14-3-8.
- (w) The library's website must be discoverable and include the following for each fixed location:
  - (1) Hours of operation.
  - (2) Physical address or addresses.
  - (3) A map for each fixed location.
  - (4) Phone number.
  - (5) E-mail address or other means of electronic contact.
  - (6) A link to inspire.in.gov.
  - (7) Public service policies adopted by the library board, to include, but not be limited to, the following:
    - (A) Circulation policies.
    - (B) Fees.
    - (C) Internet use.
  - (8) Access to the library's online public access catalog.
  - (9) A calendar or schedule of events and programs, which shall be updated at least monthly, including the dates for the library board meetings.
- (x) Each public library shall lend materials through at least one (1) of the following:
  - (1) Statewide reciprocal borrowing program.
  - (2) Online Computer Library Center, Inc. resource sharing.
  - (3) A regional or national resource sharing consortium, such as Evergreen Indiana.
  - (4) Local reciprocal borrowing program with at least one (1) other public library district within the library district's county or an adjacent county.
- (y) Libraries shall not charge their patrons for interlibrary loans (other than reimbursement for actual direct photocopy and postage costs). Recovery of costs for statewide courier services from patrons is not permitted.
- (z) A library shall not charge other Indiana libraries for interlibrary loans (other than reimbursement for actual direct photocopy and postage costs). Recovery of costs for statewide courier services from other libraries is not permitted.
- (aa) Libraries shall participate in the statewide delivery service managed by the Indiana state library with a minimum of one (1) day per week of service for each two thousand (2,000) packages shipped or received per year, based on the previous year's total volume.
- (bb) The library shall annually purge or mark inactive accounts for those patrons who have not used their accounts for the last three (3) years and do not owe materials, fines, or fees to the library, in accordance with the public libraries retention schedule from the Indiana commission on public records.

(cc) The library shall file the annual report for the preceding calendar year with the Indiana state library, in the form prescribed by the Indiana state library. This deadline will coincide with the due date required by the Indiana state board of accounts (LAR-1) report.

(dd) The report shall include a statement from the director and the board president or their designees 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.

(ee) Libraries receiving the same audit exception in two (2) subsequent Indiana state board of accounts audits may be found by the Indiana library and historical board to be ineligible to receive state or federal funds and services under the provisions of any program for which the Indiana state library is the administrator.

(ff) 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 during the year or years a library provided false information.

(gg) The Indiana library and historical board may provide a waiver, not to exceed one (1) year at a time, for a public library to be exempt from one (1) or more public library standards under the following conditions:

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

(2) The public library board submits an appeal to the Indiana library and historical board seeking a waiver. The request for a waiver must include a citation of the unmet standard or standards, the reason or reasons for noncompliance, and a plan for correction, including a proposed timetable.

(Indiana Library and Historical Board; 590 IAC 6-1-5; filed Feb 16, 2016, 2:04 p.m.: 20160316-IR-590150083FRA, eff Jan 1, 2017; errata filed Apr 15, 2016, 2:43 p.m.: 20160504-IR 590150083ACA; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR590170172RFA)

## **Rule 2. Indiana Document Depository Libraries**

### **590 IAC 6-2-1 Selection of depository documents by state library**

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

Affected: IC 4-23-7.1

Sec. 1. Selection of documents to be sent to depository libraries shall be:

(1) made by the Indiana state library; and

(2) determined by the availability and general interest of the document.

(Indiana Library and Historical Board; 590 IAC 6-2-1; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

### **590 IAC 6-2-2 Exemptions from depository program**

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

Affected: IC 4-23-7.1

Sec. 2. Documents available only through purchase must be obtained directly from the agency of publication by the depository library, if it desires the publication.

(Indiana Library and Historical Board; 590 IAC 6-2-2; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

### **590 IAC 6-2-3 Interlibrary loan and reference services required**

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

Affected: IC 4-23-7.1

Sec. 3. Depository libraries must:

(1) provide interlibrary loan and reference service in connection with Indiana state documents to the libraries and to citizens in their respective regions; and

(2) make every effort to:

(A) see that depository documents are available to the general public; and

(B) promote their reference use.

(Indiana Library and Historical Board; 590 IAC 6-2-3; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

#### **590 IAC 6-2-4 Retention of depository documents**

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

Affected: IC 4-23-7.1

Sec. 4. All depository documents must be retained at least five (5) years by the depository library.

(Indiana Library and Historical Board; 590 IAC 6-2-4; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

#### **590 IAC 6-2-5 Disposal of documents by university depository libraries**

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

Affected: IC 4-23-7.1

Sec. 5. The university depository libraries must request the approval of the Indiana state library before disposing of depository documents retained five (5) years or longer. (Indiana Library and Historical Board; 590 IAC 6-2-5; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

#### **590 IAC 6-2-6 Disposal of documents by secondary depository libraries**

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

Affected: IC 4-23-7.1

Sec. 6. Secondary depository libraries may, at their own discretion, dispose of documents retained five (5) years or longer, unless the Indiana state library has given advance notice that certain documents are needed for the Indiana state library's collection. (Indiana Library and Historical Board; 590 IAC 6-2-6; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)

#### **590 IAC 6-2-7 Termination as depository library by request or for cause**

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

Affected: IC 4-23-7.1

Sec. 7. (a) Any depository library has the right to relinquish its privilege at any time by addressing a letter to the director of the Indiana state library stating that the library no longer wishes to be a depository for Indiana state documents.

(b) The privilege may also be taken away by the director of the Indiana state library for failure of the library to adhere to the rules for Indiana document depository libraries.

(c) Upon termination of the depository privilege, either by request or for cause, the library shall request of the director of the Indiana state library instructions concerning disposition to be made of the depository publications of the library. . (Indiana Library and Historical Board; 590 IAC 6-2-7; filed Mar 17, 2010, 4:01 p.m.: 20100414-IR-590080945FRA, eff Jan 1, 2011; readopted filed Jun 12, 2017, 12:47 p.m.: 20170712-IR-590170172RFA)



## 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 and political subdivisions per IC 36-1-2-13. The **Indiana Code (IC)** has a chapter dedicated to Indiana public libraries, [IC 36-12](#). 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.

Public library directors, staff, and trustees should also be familiar with [the Indiana Administrative Code 590 \(IAC\) 3, 5, and 6](#). The Indiana Administrative Code consists of the administrative rules that Indiana public libraries must follow, including the Public Library Access Card (PLAC), certification, and public library standards.

There are other laws in the Indiana code and administrative code that apply to both public libraries and other Indiana political subdivisions. These laws include, but are not limited to the following:

- public purchasing
- public works
- real property
- building and fire codes
- financial provisions
- Open Door law
- Access to Public Records Act
- Taxing
- budgeting
- employment

In addition to Indiana law, there are **federal laws** that must be followed, such as:

- Family and Medical Leave Act: [www.dol.gov/whd/fmla/index.htm](http://www.dol.gov/whd/fmla/index.htm)
- Americans with Disabilities Act: [www.usdoj.gov/crt/ada/adahom1.htm](http://www.usdoj.gov/crt/ada/adahom1.htm)
- Fair Labor Standards Act: <https://www.dol.gov/agencies/whd>
- Equal Employment Opportunity Act [www.eeoc.gov/laws/index.cfm](http://www.eeoc.gov/laws/index.cfm)  
[www.dol.gov/dol/topic/discrimination/index.htm](http://www.dol.gov/dol/topic/discrimination/index.htm)

When there is a legal question concerning the 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 also has an attorney 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. Because public libraries are taxpayer funded entities, it is important to keep public library business as transparent as possible to our funders.

### **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. Again, transparency is the goal as public agencies are accountable to the taxpayers that fund them.

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

[Office of the  
Public Access Counselor](#)

W470, Indiana Government Center South  
402 West Washington Street  
Indianapolis, IN 46204  
317-234-0906  
800-228-6013  
Fax 317-233-3091

Past advisory opinions can also be found on the web at [www.in.gov/pac/2330.htm](http://www.in.gov/pac/2330.htm)

## **Americans with Disabilities Act (ADA) [www.ada.gov](http://www.ada.gov)**

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.

## **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. (This would be the library's 501(c)3 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)3; and
- (d) obtain state sales tax exemption.

### **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 the Indiana Department of Revenue (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 Friends 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"

## **Sales by the Friends Group - carried on more than 30 days in a calendar year**

See Sales Tax Bulletin #10 (link provided below)

If the library's Friend's organization conducts sales for more than 30 days in a calendar year, it is possible that those sales are also exempt from the collection of sales tax. There is a sales tax exemption for sales of the following property by a public library (or a charitable organization formed to support a public library): (1) Items in the library's circulated and publicly available collections, including items from the library's holdings. (2) Items that would typically be included in the library's circulated and publicly available collections and that are donated by individuals or organizations to a public library (or to a charitable organization formed to support a public library). This means that sales of qualifying items (used books, CDs, DVDs, etc.) are not subject to the collection of sales tax even if the library or library's Friend's group engages in sales of these items for more than 30 days in a calendar year. Other, non-qualifying items, would be subject to sales tax.

If an organization conducts tax producing sales or fund raising activities during thirty-one (31) or more days in a year, they also must register with IDOR. A single application (Form BT-1) is used to register with the IDOR for sales tax, innkeepers' tax, and food and beverage tax. A separate application is required for each business location. 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.

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.

### **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 <https://secure.in.gov/dor/reference/files/sib04.pdf>
- **Sales Tax Bulletin #10** Application of Sales Tax to Nonprofit Organizations <https://www.in.gov/dor/files/sib10.pdf>
- **Indiana Department of Revenue (IDOR)**  
[www.in.gov/dor/3325.htm](http://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

The Library Development Office has copies of plans, by-laws, and policies from other public libraries if you are interested in seeing sample documents. The Library Development Office has also created a template for board by-laws which can be found on the Library Development Office website. Also consult Chapter 2, Public Library Standards, for more information on the required plans and policies.

For examples of **policies** from Indiana public libraries: [www.in.gov/library/3290.htm](http://www.in.gov/library/3290.htm)

For examples of **plans** from Indiana public libraries: <http://www.in.gov/library/templates.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
  - The rules governing conflicts of interest shall be at least as restrictive as IC 35-44.1-1-4.
  - The rules governing nepotism shall be at least as restrictive as IC 36-1-20.2.
- Review at least every three (3) years
- Amendments submitted each year with annual report

#### Long-Range Plan

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) An assessment of facilities, services, technology, and operations.
- (C) Measurable objectives and service responses to the community's needs and goals.
- (D) An ongoing evaluation process.
- (E) Financial resources and sustainability.
- (F) An equipment replacement schedule.
- (G) A professional development strategy.
- (H) Collaboration with other public libraries and community partners.

Public Library Standards also require the library to have the following in place:

- **Collection Development Policy**
- **Principles of access to all library materials and services, including a schedule of fines and Internet access policy**
- **A schedule of classification of employees**
- **An annual schedule of salaries**
- **Proposed library budget**
- **Long range plan of service of between 3-5 years**
- **Library policies**

- **Personnel policy and procedures that address at least the following:**
  - Employment practices, such as recruitment, selection and appointment
  - Personnel actions
  - Salary administration
  - Employee benefits
  - Conditions of work
  - Leaves

Information on compensation and benefits is found on State Board of Accounts' website at <http://www.in.gov/sboa/4450.htm> under the drop down menu under **Indiana Codes** for political subdivisions, libraries (could be a part of the personnel policy)

A useful resource is *Model Employee Policies for Indiana Employers with Legal Commentary*. 6<sup>th</sup> edition. Indiana Chamber, 2011. Borrow from Indiana State Library or call the Indiana Chamber at 800-824-6885 for pricing.

### **Disaster Recovery Plan for Computer Systems**

An Information Technology Manual is located on the State Board of Accounts website at <http://www.in.gov/sboa/4450.htm>. Locate **Manuals** under **Uniform Compliance Guidelines** under political subdivisions, libraries.

### **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
- how to disable the filter (Who, what, where and why?)

[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 State Board of Accounts website <http://www.in.gov/sboa/4450.htm> for “political subdivisions...libraries.” Then drop down menu for **Deposit and Investment of Funds** found under **Indiana Codes**.

### **Purchasing Policy**

Public Purchasing Indiana Codes also found on State Board of Accounts website <http://www.in.gov/sboa/4450.htm> for “political subdivisions...libraries.” Then drop down menu for **Public Purchasing Law** found under **Indiana Codes**.

### **Records Exempted from Disclosure Policy**

IC 5-14-3-4, see State Board of Accounts website at <http://www.in.gov/sboa/4450.htm> for “political subdivisions...libraries.” Then drop down menu for **Public Records** found under **Indiana Codes**.

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

[IC 36-12-2-24\(c\)](#) (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 Chapter](#) page 8-3 (Can be part of Personnel policy). Also found here <http://www.in.gov/sboa/4450.htm> page 1-13 under **Uniform Compliance Guidelines**, then **Manuals**. Each unit must adopt a written travel policy in conformity with applicable laws. Reimbursement for lodging and meals must be based upon actual receipts for amounts paid unless otherwise authorized by law.

## Personnel Policies Checklist

The list below includes possible topics for inclusion in a public library's personnel policies:

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

For examples of standardized policies and procedures see the Indiana State Personnel Department webpage: <http://www.in.gov/spd/2396.htm>

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

When you develop a new policy or update an old policy, please email a copy to the Library Development Office.

# Manuals and Publications: Management Necessities for Public Libraries

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

Often referred to as the “Budget Manual.” Available online at State Board of Accounts website: <http://www.in.gov/sboa/4450.htm> for “political subdivisions...libraries.” Then drop down **Uniform Compliance Guidelines**, then **Manuals**. Note: reduced to four chapters and an Appendix because additional information is found under the following headings: Internal Control Standards, Indiana Codes, Deposit and Investment of Funds, Public Purchasing Law, etc. Please explore all the topics to find what relates to libraries.

## **2. Handbook on Indiana’s Public Access Laws**

This handbook is prepared by the Office of the Attorney General and Office of the Public Access Counselor and is available online at:  
<http://www.in.gov/pac/files/PAC%20Handbook%202017.pdf>

## **3. Library Laws IC 36-12**

Please consult the online edition of Indiana Library Laws which contains the most current information at the following webpage:  
<http://iga.in.gov/legislative/laws/2020/ic/titles/036/#36-12>

## **4. 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](http://www.in.gov/legislative/iac/iac_title?iact=590)

## **5. Indiana Library Resource Sharing Manual (2016):** <http://www.in.gov/library/IRS.htm>

## **6. Indiana Public Library Directory (Updated regularly)** [www.in.gov/library/pldirectory.htm](http://www.in.gov/library/pldirectory.htm)

## **7. IN The Public Trust: A Reference Manual for Indiana Public Library Board Members** (1993, revised 2014): [https://www.in.gov/library/files/In\\_the\\_Public\\_Trust\\_20141001.pdf](https://www.in.gov/library/files/In_the_Public_Trust_20141001.pdf)

\*see the Survival Guide’s Chapter 2 – Library Board Information

## **8. Statistics of Indiana Public Libraries**

Annual edition available at: [www.in.gov/library/plstats.htm](http://www.in.gov/library/plstats.htm)



## Chapter 4

# INDIANA STATE LIBRARY E-RESOURCES

[Book Discussion Resources and Storytime Kits](#)

[Connect IN](#)

[Continuing Education Toolkit](#)

[ISL Communications](#)

[Hoosier State Chronicles](#)

[Indiana Memory](#)

[INSPIRE](#)

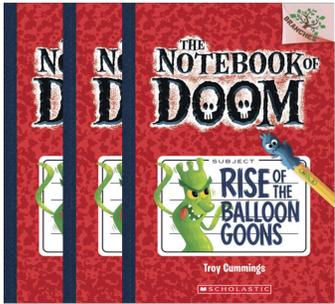
[Library Jobs](#)

[Library Listservs](#)

[LibraryIndiana](#)

[Social Media](#)

[VINE: Indiana Legacy](#)



## Book Discussion Resources and Storytime Kits

<http://www.in.gov/library/kits.htm>

The Indiana State Library partners with libraries and organizations around the state to make book club sets and discussion guides available. Sets typically contain between five and twenty copies of each title, and many include large-print and audio versions.

### Shared Book Discussion Resources List

The Shared Book Discussion Resources List contains over 1900 book discussion kits owned by public libraries throughout Indiana. Each listing on the database includes the contact information necessary to request the sets. Materials can usually be sent using the InfoExpress courier service.

To view the latest list of titles, visit:

<https://www.in.gov/library/files/BookClubKits.xlsx>

If your library has book discussion kits that you would like added to this list for sharing, please email the name(s) of the kit(s), number of books, and whether they are regular, large print or audio books to [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov).

### Children's/YA Book Club Kits

The Indiana State Library also has a collection of Children's/YA Book Club Kits. These kits contain 15 paperback copies of each title and a discussion guide. They circulate for 3 months. To view the latest list of titles, click on the List icon on KitKeeper reservation system at

<http://www.eventkeeper.com/kitkeeper/index.cfm?curOrg=ingovhome>

To reserve a kit, contact the Statewide Services Office at 317-232-3697 or [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov).



<https://indianahumanities.org/programs/novel-conversations>

### **Novel Conversations**

Novel Conversations is a free statewide lending library of more than 900 titles, primarily fiction and biography, to reading and discussion groups all over Indiana. Several other genres, including nonfiction, mysteries, plays, poetry and young adult are also available.

### **Who can participate in Novel Conversations?**

Indiana organizations such as public and school libraries, senior centers, churches, or formal or informal book clubs can participate. Any Indiana resident can request a set of books.

### **How much does it cost?**

It's free, as long as books are either shipped to a public library via the Indiana State Library's InfoExpress service *or* picked up and returned at Indiana Humanities headquarters at 1500 N. Delaware St., Indianapolis.

Novel Conversations uses an online reservation system which allows users to reserve book sets for a specific date.

Visit <http://www.eventkeeper.com/kitkeeper/index.cfm?curOrg=inhum> to access the online reservation system.

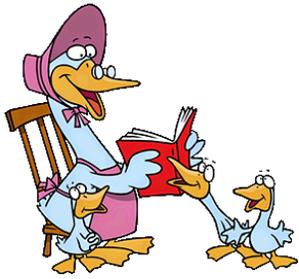
Instructions for using the system are available at

<https://indianahumanities.org/wp-content/uploads/2016/08/KitKeeperHowTo.pdf>

### **Questions, comments or to donate books to Novel Conversation**

Contact Bronwen Carlisle, 800-675-8897, extension 117, or email

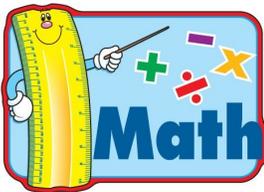
[bcarlisle@indianahumanities.org](mailto:bcarlisle@indianahumanities.org) .



### Storytime Kits (Preschool)

Each thematic storytime kit contains books, manipulatives, music CDs and an activity guide – just about everything you need to present a preschool storytime (or two) at your library. Activity guides suggest how to use kit materials – songs, fingerplays, felt board sets, puppets, craft ideas, and more – to incorporate each of the six early literacy skills from the Every Child Ready to Read @ Your Library program into your storytime. Storytime kit themes include pets, music, community helpers, rhythm and rhyme, alphabet, colors, numbers, nursery rhymes, water, and being creative. A complete listing of contents can be found through the [KitKeeper reservation system](#); click on the list icon, and be sure to select “Storytime” as the genre. Kits can be checked out for 60 days.

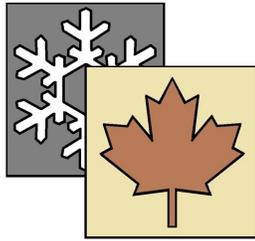
To reserve a kit, contact the Professional Development Office at (317) 234-5649 or [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov).



### BIG Idea Storytime Kits (Math & Science)

If you are looking to add math and science elements to your storytimes, these are the kits for you! The BIG Idea kits feature hands-on activities created by the Vermont Center for the Book’s [Mother Goose Programs](#) as well as books and a guide to help plan your storytime. The kits are available to any library using InfoExpress and can be checked out for 60 days. A complete listing of contents can be found through the [KitKeeper reservation system](#); click on the list icon, and be sure to select “BIG Idea Storytime” as the genre.

To reserve a kit, contact the Professional Development Office at 317-234-5649 or [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov).



### **Statewide Ellison Die List**

As a service to Indiana public librarians, ISL maintains a list of AccuCut/Ellison dies housed in Indiana libraries that can be found on the [Resources For Librarians Serving Youth](#) page of the ISL website. Contact information is included on the list; please contact the owning library directly to borrow a die. If you would like to make a change to the list, or have your library added to the list, please contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) and include the name(s), size and other identifying information, including the name and email address of the contact person.



The Indiana State Library offers **Connect IN** to provide free high-quality and functional websites to public libraries. 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 to make maintaining a website simple and painless, and the State Library will provide an initial template, training and assistance.

Indiana public library standards require that public libraries have a functional website. **Connect IN** 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.

Participants in the **Connect IN** program receive these free services from the State Library:

- Modern and high-quality website featuring:
  - An easy-to-use content management system (CMS) based on WordPress that allows you to manage and update your website and easily create new web pages and online features
  - Web-editing software as simple to use as a word processor
  - Seamless and instant publishing to the web that allows you to make instantaneous changes to your website
  - Dozens of customizable templates to help you get the exact design that reflects your library and community
- Technical support and training
- Hands-on CMS training

- Free website hosting. The State Library contracts with IT experts to handle the complicated back end tasks and save you time and money
- Free email for library staff
  - Up to 20 email accounts for your library (i.e. [yourname@yourlibrary.lib.in.us](mailto:yourname@yourlibrary.lib.in.us))
  - Email storage capacity that meets industry standards
  - Microsoft Outlook compatible
  - Manage account settings as an administrator

### **Questions or comments?**

If you are interested in more information about this program, please contact the Professional Development Office at [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov), or call 317-232-3697 or 800-451-6028. You can also contact your regional coordinator directly; their contact information can be found at <https://www.in.gov/library.pdo.htm>.



## Indiana State Library

*A Continuing Education Toolkit for Library Professionals*

<https://continuinged.isl.in.gov>

### Continuing Education Toolkit

The Indiana State Library's Continuing Education Toolkit for Library Professionals is the place to find information for each stage of your career as a librarian. It organizes and provides access to professional development information, workshops and programs for librarians across the state.

The Indiana State Library and other professional development organizations offer a constantly changing lineup of workshops, conferences and other events to help librarians and library staff keep abreast of new developments in their field. Visit <http://indianastatelibrary.evanced.info/signup/calendar> to view current and upcoming events.

Opportunities include:

- **Free Webinars.** All webinars are approved by ISL for LEUs. See <https://continuinged.isl.in.gov/certification/policies-on-leus/> for additional information on LEU policies and obtaining LEU certificates.
- **Training Opportunities.** Additional in-person and online workshops are available at <https://continuinged.isl.in.gov/find-training/>.
- **Indiana Library Leadership Academy (INLLA).** INLLA is helping to prepare future library leaders for 21<sup>st</sup> century challenges. To find out more about the goals of the INLLA or to apply to the program, visit <https://continuinged.isl.in.gov/leadership-development/pd-committee/leadership/apply/>.
- **Annual Workshops.** The Library Development Office offers a series of annual workshops for the benefit of directors and trustees, including the Public Library



Budget and Annual Report Workshops. Find out more at <https://continuinged.isl.in.gov/find-training/isl-trainings/>.

**Questions or comments?**

If you are interested in more information about continuing education or LEU policies, please contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) or call 317-232-3697 or in-state toll-free 800-451-6028.



**The Wednesday Word** is the free weekly e-newsletter of the Indiana State Library. You can subscribe to **The Wednesday Word**



or view current and past issues at <https://in.gov/library/newsroom.htm>.



The ISL blog posts about a wide range of topics, from in-depth articles on items in the collection to services that the

Indiana State Library provides to patrons. If you have suggestions on topics you would like to see covered, please email [communications@library.in.gov](mailto:communications@library.in.gov). Find it at <https://blog.library.in.gov>.



You can follow the collections, events and staff of the Indiana State Library on social media.



**Facebook**

- [www.facebook.com/IndianaStateLibrary/](http://www.facebook.com/IndianaStateLibrary/)



**Twitter**

- [@state\\_library](https://twitter.com/state_library)



**Pinterest**

- <https://www.pinterest.com/INStateLibrary/>



**Instagram**

- [https://www.instagram.com/state\\_library/](https://www.instagram.com/state_library/)



**YouTube**

- [www.youtube.com/user/instatelibrary/](http://www.youtube.com/user/instatelibrary/)



### Questions or comments?

If you are interested in more information about these social media accounts, please contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) or call 317-232-3697 or in-state toll-free 800-451-6028.



# Hoosier State Chronicles

*Indiana's Digital Historic Newspaper Program*

<https://newspapers.library.in.gov>

Hoosier State Chronicles (HSC), Indiana's Digital Historic Newspaper Program, currently contains over 1,100,000 pages dating from 1804 through 2010. It is operated by the Indiana State Library and funded by the U.S. Institute of Museum and Library Services under the provisions of the Library Services and Technology Act. We seek to provide free, online access to high-quality digital images of Indiana's historic newspapers by digitizing our collection and assisting other organizations in making their collections digitally available.

This online resource originated with grant funding from the National Endowment for the Humanities that enabled us, in partnership with the Indiana Historical Society, to digitize Indiana newspapers for the National Digital Newspaper Program (NDNP). The Indiana titles digitized through NDNP are also available at the Library of Congress's Chronicling America (<https://chroniclingamerica.loc.gov/>), along with over eight million newspaper pages from around the United States. You can find additional digitized newspapers at [Indiana Memory](#) and listed on our blog (<https://blog.newspapers.library.in.gov/>).

The Indiana State Library Newspaper Division has the largest collection of Indiana newspapers either in print, microfilm or digital format. For an overview of the available resources for Indiana newspaper research visit their website at <https://www.in.gov/library/newspaperholdings.htm>.

## Questions or comments?

If you are interested in more information about this program, please contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) or call 317-232-3697 or in-state toll-free 800-451-6028.



<https://digital.library.in.gov>

[Indiana Memory](#) serves as a gateway to Indiana's history and culture as found in digitized books, manuscripts, photographs, newspapers, maps, and other media. 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.

The Indiana Memory web interface provides multiple access points to the digital collections. The user can search across all collections, a single collection, or select 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.

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. Indiana Memory is also a service hub for the Digital Public Library of America (<https://dp.la>). Any collection included in Indiana Memory has the option of being in DPLA.

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

- The easiest way is for a library to use CONTENTdm, PastPerfect Online or any other OAI compliant software for their digital collections. After obtaining permission from the host library, the Indiana State Library will harvest the metadata and the thumbnail images.
- 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.

- Public libraries can apply to use the ISL CONTENTdm license for their digital project by completing the CONTENTdm Software Application Form available on the website ([www.in.gov/library/indianamemory.htm](http://www.in.gov/library/indianamemory.htm) ).
- If a 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.



The Indiana State Library will also make its statewide license available to those Indiana libraries and cultural heritage organizations requesting to use our Mobile Scanning Units. Each mobile Scanning Unit, which includes a laptop, flat-bed scanner, digital camera and appropriate software, is available for an eight-week loan. The State Library will also supply training and support in scanning and metadata creation at no cost. Further information and a request form can be found on <https://www.in.gov/library/indianamemory.htm>.

In all of the above cases, the digital collection must meet the provisions of the Indiana Memory collection development policy and the standards as listed under the [Indiana Memory 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. The program is part of a statewide digitization program funded by a Library Service and Technology Act (LSTA) grant.

### **Questions or comments?**

If you are interested in more information about this program, please contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) or call 317-232-3697 or in-state toll-free 800-451-6028.

For more information about the web portal and how to participate, contact Michella Marino ([mmarino@library.in.gov](mailto:mmarino@library.in.gov)) or call 317-233-8940.



<https://inspire.in.gov>

***What is INSPIRE?***

[INSPIRE.in.gov](https://inspire.in.gov) is Indiana's Virtual Library. It is a collection of academic databases and other information resources that can be accessed by residents of Indiana.

***What kind of information is available on INSPIRE?***

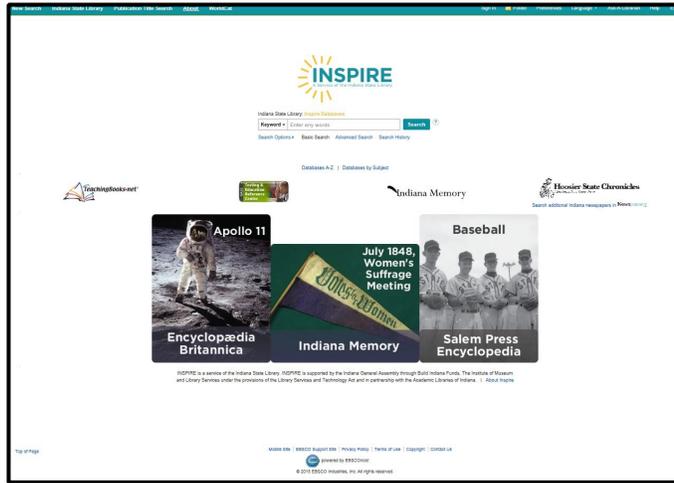
INSPIRE includes full-text magazine and journal articles (including materials in Spanish), websites, pamphlets, images, almanacs, full-text historic newspapers, multimedia, library catalogs, and much more. In most cases, INSPIRE provides cover-to-cover indexing and abstracts of all articles that appear in every periodical with the exception of some newspapers. Only letters to the editor, advertisements, and some images are excluded for copyright reasons.

***Who can access INSPIRE?***

INSPIRE is freely accessible to any Indiana resident who has internet access at school, home, in their library or at their place of business. Indiana users are identified by their internet protocol (IP) address.

***How much does INSPIRE cost to use?***

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



INSPIRE is a free resource available to all Indiana residents who have Internet access. Other states may offer similar services to their own residents.

### ***Who is paying for INSPIRE?***

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

### **Questions or comments?**

If you are interested in more information about this program, please contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) or call 317-232-3697 or in-state toll-free 800-451-6028.



## Library Jobs

<https://continuinged.isl.in.gov/jobs/>

Whether you're a new graduate looking for that first library job or a manager needing to advertise an open position, the ISL Continuing Education Jobs Page needs to be your first stop. It's the clearinghouse for all positions in public, academic, and special libraries **in Indiana**. Library jobs outside of Indiana will not be posted on this site. The page is updated daily and includes all pertinent information to help you land your ideal library position.

Visit <http://continuinged.isl.in.gov/jobs/> to:

- Search for a job
- Submit a library job
- Edit or delete a job entry
- Find more career resources

### Questions or comments?

If you are interested in more information about this program, please contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) or call 317-232-3697 or in-state toll-free 800-451-6028.



## Library Listservs

<https://www.in.gov/library/listservs.htm>

### **All Indiana Library Professionals**

[INlibraries@lists.library.in.gov](mailto:INlibraries@lists.library.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.libraries.in.gov](mailto:inpublib@lists.libraries.in.gov)

Indiana librarians can ask about other libraries' policies, get ideas for programs, solicit equipment recommendations, or offer library items for sale or free - the list of possibilities is endless! If you have a question, there will probably be someone who can answer it or has had a relevant experience.

### **Children's Librarians**

[inchildprog@lists.libraries.in.gov](mailto:inchildprog@lists.libraries.in.gov)

Indiana librarians can share successful children's programming ideas, list upcoming events for their libraries, coordinate speaker sharing, borrow and exchange resources, and discuss program successes and flops on this listserv.

### **eResources**

[eresources@lists.libraries.in.gov](mailto:eresources@lists.libraries.in.gov)

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

**Indiana Book Clubs**[INbookclub@lists.libraries.in.gov](mailto:INbookclub@lists.libraries.in.gov)

Indiana librarians who manage or support book clubs can join the INBookClub listserv to exchange ideas and address issues relating to book clubs.

**Indiana Small Library**[INsmalllib@lists.libraries.in.gov](mailto:INsmalllib@lists.libraries.in.gov)

The INsmalllib listserv is a discussion forum for all small (Class C and D) libraries in Indiana. The purpose of this list is to foster an open discussion of the issues, services, and opportunities that affect this class of libraries.

**Library Marketing & PR Professionals**[LibraryPR@lists.libraries.in.gov](mailto:LibraryPR@lists.libraries.in.gov)

LibraryPR is an open discussion list dedicated to library professionals who specialize in public relations, communications, marketing and outreach at their library. It provides 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.

**Readers Advisory**[readersadvisory@lists.libraries.in.gov](mailto:readersadvisory@lists.libraries.in.gov)

The IN-RA listserv is a forum for all types of Indiana libraries to exchange ideas and deal with issues that relate to readers advisory.

**SRCS**[in-srcs@lists.libraries.in.gov](mailto:in-srcs@lists.libraries.in.gov)

The IN-SRCS listserv is a discussion forum for all types of Indiana libraries participating in SRCS, Indiana's Statewide Remote Circulation System.

**Trustees**

[trustees@lists.libraries.in.gov](mailto:trustees@lists.libraries.in.gov)

Indiana trustees can ask about other libraries' policies, learn about trustee training programs, or find out about a library building projects. Ask any question, and chances are there will be someone with a similar experience who can answer.

**Yappers (Teen/Young Adult Librarians)**

[yappers@lists.libraries.in.gov](mailto:yappers@lists.libraries.in.gov)

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

**To subscribe to any of these listservs, visit**  
<https://www.in.gov/library/listservs.htm>



**LibraryIndiana**  
Leveraging Resources for Greater Savings & More Choices

<https://www.in.gov/library/files/LibraryIndiana.htm>

What library today isn't looking for ways to run leaner and more efficiently? LibraryIndiana is the right tool to help make it happen. LibraryIndiana is a partnership between the State of Indiana and the Indiana State Library to give every library in the state the purchasing advantage of statewide-negotiated contracts, organized into convenient online catalogs, all on one easy-to-use website. Popular items include:

- A.V. supplies and equipment
- Copy and paper services
- Information technology hardware and software
- Janitorial products
- Library supplies
- Maintenance, repair and operations (MRO)
- Office pProducts

LibraryIndiana is easy, efficient and free!

Your access to LibraryIndiana is paid for by the State of Indiana and with it comes access to the best State-approved purchasing agreements focused on the needs of all types of libraries.

**Questions or comments?**

Contact [info@libraryindiana.com](mailto:info@libraryindiana.com)



<https://digital.statelib.lib.in.us/legacy>

Indiana Legacy combines existing Indiana State Library databases with the Vital Information Exchange (VINE), a collaborative statewide database composed of Indiana local history and vital records from Indiana libraries, historical societies, genealogy societies, and related organizations. It is designed to allow participants and users to obtain access to Indiana local history and vital records through searching across all indexes or a single index. The database is searchable by county, event, or through a general surname search of all records. These records are available to the public at no charge and include birth, marriage, death, divorce, obituaries, court records, newspapers, scrapbooks, yearbooks, and military records, among others.

**Questions or comments?**

Call 317-232-3675 or in-state toll-free 866-683-0008.



# Indiana State Library

*Certification Manual for Public Library  
Professionals*

Updated July 31, 2020

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# PART ONE

## Introduction to Indiana Library and Historical Board Certification Rule

Indiana law has required librarian certification for decades. IC 36-12-11-5 requires the Indiana Library and Historical Board (ILHB) to determine and define grades of public library service and set the qualifications that individuals must meet to be employed in each of the grades of public library service. The law requires ILHB to:

- prescribe and define the qualifications of public library directors, branch and department heads, and professional assistants;
- make certification requirements available;
- issue certificates to qualified candidates who apply; and
- adopt rules the board determines are necessary to fulfill these requirements.

The rules are codified in the Indiana Administrative Code (590 IAC 5) and can be read in their entirety at: [http://www.in.gov/legislative/iac/iac\\_title?iact=590](http://www.in.gov/legislative/iac/iac_title?iact=590). The Indiana State Library (ISL) administers the certification program for the ILHB.

The certification rules have gone through two significant review and revision processes, the first in 2007/2008 and then most recently in 2015/2016. On both occasions a team comprised of library staff, directors, and trustees from various sized libraries throughout Indiana reviewed the certification rules and recommended changes. The ILHB voted to adopt and implement the recommended changes. The information in this manual is based on the updated rules that took effect January 1, 2017.

### CERTIFICATION REQUIREMENTS

All library directors, department or branch heads, and professional assistants, except those who are employed at K-12 school libraries, special libraries, or libraries of educational institutions, must hold a certificate. \*There is an exception for lower level staff in public libraries serving a population of 3,000 or less.\*

### CERTIFICATION REQUIREMENTS ARE BASED ON THE FOLLOWING LIBRARY DISTRICT SIZES:

- Class A: Libraries serving a population of 40,000 or more
- Class B: Libraries serving a population of 10,001 to 39,999
- Class C: Libraries serving a district population 3,001 to 10,000
- Class C: Libraries serving a district population of 3,000 or less

### WHO MUST BE CERTIFIED?

- |  |                            |
|--|----------------------------|
| Directors  | Branch or Department Heads |
| Assistant or Associate Directors   | Professional Assistants    |
| Any library staff who spend at least half of their time on professional library work |                            |

### WHO IS NOT REQUIRED TO BE CERTIFIED?

- |   |  |
|---|--|
| Archivists and conservators   | Human Resources, IT, Marketing, and PR staff     |
| Business office and clerical staff, including administrative assistants and bookkeepers | Maintenance workers                              |
| Clerks, pages, and circulation staff  | Substitute or temporary employees and volunteers |

### JOB CLASSIFICATIONS DEFINITIONS

#### Director:

The director, as the administrative head of the library, is responsible to the board for the operation and management of the library. There is one library director per library system.

*Directors in Class A libraries must hold LC1*

*Directors in Class B libraries must hold LC2, at minimum*

*Directors in Class C libraries serving a district population 3,001 to 10,000 must hold LC4, at minimum*

*Directors in Class C libraries serving a district population 0 to 3,000 must hold LC7, at minimum*

### **Branch or Department Head:**

This classification includes, but is not limited to, staff classified as assistant or associate directors, branch managers, department heads, librarians, catalogers/copy catalogers, reader's advisors, and program or other coordinators.

Branch or department heads devote more than half of their time to work in the following areas:

- Knowledge of professional library practices,
- Development and management of collections and of technical library processes, and
- Ability to deal with people in a professional capacity (as distinguished from clerical)

Branch or department heads who spend at least 50% of their time on professional library work (including but not limited to cataloging/copy cataloging, reference, collection development, reader's advisory, children's or teen services) must keep their certificates current and in good standing.

*Branch/Department Heads in Class A libraries must hold LC4, at minimum*

*Branch/Department Heads in Class B libraries must hold LC5, at minimum*

*Branch/Department Heads in Class C libraries serving a district population 3,001 to 10,000 must hold LC6, at minimum*

### **Professional Assistant:**

This classification includes, but is not limited to, librarians, library assistants, paraprofessionals, catalogers/copy catalogers, reader's advisors, and program or other coordinators.

Professional assistants devote more than half of their time to work in the following areas:

- Knowledge of professional library practices,
- Development and management of collections and of technical library processes, and
- Ability to deal with people in a professional capacity (as distinguished from clerical)

Professional assistants who spend at least 50% of their time on professional library work (including but not limited to cataloging/copy cataloging, reference, collection development, reader's advisory, children's or teen services) must keep their certificates current and in good standing, regardless of number of hours worked per week.

*Professional Assistants in Class A libraries must hold LC5, at minimum*

*Professional Assistants in Class B libraries must hold LC6, at minimum*

*Professional Assistants in Class C libraries serving a district population 3,001 to 10,000 must hold LC6, at minimum*

***Certification requirements apply to permanent (non-substitute) professional staff, whether they work full-time or part-time.***

### **CREDENTIALS REQUIRED FOR DIFFERENT LIBRARIAN CERTIFICATE LEVELS**

*Librarian Certificate 1 (LC1)* - ALA-accredited MLS degree with either 10 years professional library experience **OR** 6 years professional library experience that includes 3 years as a director or supervising at least 2 staff members who hold MLS degrees.

*Librarian Certificate 2 (LC2)* - ALA-accredited MLS degree with 3 years professional library experience.

*Librarian Certificate 3 (LC3)* - ALA-accredited MLS degree.

*Librarian Certificate 4 (LC4)* - Bachelor's degree from an accredited college or university and 15 college credit hours in library science including each of the required library science courses listed below. The library science courses can be taken as part of the bachelor degree curriculum or before or after.

*Collection Development (also referred to as Selection and Evaluation of Materials)*

*Reference and Information Sources*

*Library Management and Administration*

*Cataloging and Organization of Materials*

*Children's Services (also referred to as Materials for Youth)*

*Librarian Certificate 5 (LC5)* – Minimum of 60 hours of college credit and 9 college credit hours in library science that include any 3 of the 5 library science courses listed below. The library science courses can be taken with or after the 60 hours of college credit.

*Collection Development (also referred to as Selection and Evaluation of Materials)*

*Reference and Information Sources*

*Library Management and Administration*

*Cataloging and Organization of Materials*

*Children’s Services (also referred to as Materials for Youth)*

*Librarian Certificate 6 (LC6)* - High school diploma, GED, or high school equivalency with either 3 years of library experience **OR** 9 college credit hours of library science courses. Staff pursuing the LC6 are not required to complete a prescribed set of courses, but, rather, may choose the courses for their 9 credit hours in library science.

*Librarian Certificate 7 (LC7)* - \*This certificate is only available for a new director of a public library serving a population of 3,000 or less. High school diploma, GED, or high school equivalency with either 3 years of library experience **OR** 9 college credit hours of library science courses; **PLUS** during each of the first 3 years of employment must take 10 hours of Indiana State Library sponsored training in subject areas relating to library administration.

### **SPECIALIST CERTIFICATION LEVELS**

Specialist certificates are voluntary and optional. However, local units may choose to require them of non-librarian professionals such as human resources, technology, public relations, marketing staff, conservators, or archivists. If a library or other unit requires staff to hold a specialist certificate, that staff must keep the certificate current and in good standing.

*Specialist 1* - Accredited master’s degree with 10 years professional experience in subject field **OR** accredited master’s degree with 6 years of experience in subject field including 3 years of supervisory experience. *Master’s degree must be related to the staff member’s library role.*

*Specialist 2* - Accredited master’s degree with 3 years professional experience in subject field. *Master’s degree must correspond with the staff member’s library role.*

*Specialist 3* - Accredited master’s degree. *Master’s degree must be related to the staff member’s library role.*

*Specialist 4* - Bachelor’s degree from an accredited college or university that includes 15 semester hours in subject field related to the staff member’s library role.

*Specialist 5* – Minimum 60 semester credits from an accredited college or university that includes 9 semester hours in subject field related to the staff member’s library role.

## PART TWO

### *Certification Application Process for New Staff, Certificate Upgrades, and Transfers*

#### NEWLY HIRED STAFF

A new hire whose professional position requires certification has 6 months to apply for the person's first 1-year temporary permit or 5-year certificate. An individual who does not meet the certification requirements for a position may apply for a 1-year temporary permit. Temporary permits may be renewed twice for a total not more than 3 temporary permits per person per job classification level. While holding a temporary permit, a new hire must complete the library science coursework or accumulate the years of experience required for the necessary 5-year certificate.

The **APPLICATION FOR CERTIFICATION OF PUBLIC LIBRARIANS** is available on ISL's Continuing Education website (<http://continuinged.isl.in.gov/certification/>). Alternatively you may request an application by phone (317-234-6217) or email ([ChHarris@library.in.gov](mailto:ChHarris@library.in.gov)).

#### CERTIFICATION FEES

There is a \$50 fee per 5-year certificate for initial application and each renewal.

There is a \$10 fee per 1-year temporary permit for initial application and each of 2 possible renewals.

ISL accepts personal checks and money orders made payable to Indiana State Library

There are 3 options a library may use to pay for staff certification:

1. Draw the money from a gift fund;
2. Increase the applicant's salary (no more than \$0.20 per week) to cover the cost of the required certificate; or
3. The Library Friends group may subsidize all or part of a staff member's certification fee.

Per the Indiana State Board of Accounts, a library may not draw from its operating funds to pay for staff certification. As a result, if you pay with a library check the library director must provide a written statement that the check was drawn from an unrestricted gift fund.

#### COLLEGE TRANSCRIPTS

To apply for a certificate level that requires college education you must submit your official (sealed, unopened) college transcript(s). To be considered official transcripts **must** be transmitted in one of the following ways:

- the transcript may be sent electronically directly from the school to [staterwideservices@library.in.gov](mailto:staterwideservices@library.in.gov);
- the transcript may be mailed directly from the school to the certification program director's attention; or
- you may obtain the transcript and convey it to ISL still in its original **sealed, unopened** envelope by enclosing the unopened transcript in a larger envelope along with your application and certification fee.

#### INDIANA PROFESSIONAL LICENSING AGENCY

A staff member's name, certificate number, type, status, and city of work or residence are public information on the State of Indiana Professional Licensing Agency website (<https://mylicense.in.gov/EVerification/Search.aspx>). Personal contact information, academic background, and employment history are not published.

#### NON-GRANDFATHERED STAFF: CERTIFICATE LEVEL UPGRADES

A staff member who applied for certification after September 30, 2008, or who superseded a grandfathered certificate with a certificate obtained by application is considered "non-grandfathered staff." Non-grandfathered staff who complete additional college-level library science courses or accumulate sufficient years of service may be eligible to upgrade to another certificate level. In order to upgrade a certificate level (e.g. from LC6 to LC5), a person must submit a completed Application for Certification of Public Librarians (found at <http://continuinged.isl.in.gov/certification/>) and pay \$50 for a new certificate.

## **NON-GRANDFATHERED STAFF: CERTIFICATE TRANSFERS**

A non-grandfathered staff member may transfer a current certificate and Library Education Units to person's next position or employer. An individual who is promoted in job classification (i.e. from professional assistant to branch or department head or to director) must get the number of LEUs required of the job classification the person holds for the majority of the person's 5-year certificate.

A library staff member who is promoted into a position requiring a higher certificate level may need to apply for a temporary permit while completing the required courses or years of service necessary to qualify for the higher certificate level. To go from a 5-year certificate to a temporary permit in this situation the person must submit an Application for Certification of Public Librarians (found at <http://continuinged.isl.in.gov/certification/>) and pay \$10 for the new temporary permit.

## **GRANDFATHERED STAFF: CERTIFICATE LEVEL UPGRADES AND TRANSFERS**

To upgrade from the level at which a person was grandfathered, the person must apply for a new certificate. The applicant doesn't need to resend school transcripts that are already on file with ISL. Upgrading a certificate voids the previous certificate and sets aside the LEUs earned under the previous certificate. As a result, LEUs earned under a grandfathered certificate do not carry over to the new certificate. Instead, a person who upgrades to a new certificate level will start a new 5-year education cycle. The person will have 5 years from the issue of the new certificate until its expiration in which to earn the number of LEUs required based on the person's job classification.

## **PLEASE KEEP ALL CONTACT INFORMATION AND EMPLOYMENT STATUS CURRENT WITH ISL.**

Please provide any changes to your name, address, or employment information to Certification Program Director Cheri Harris, by emailing [ChHarris@library.in.gov](mailto:ChHarris@library.in.gov) or calling 317-234-6217 or toll-free in Indiana 800-451-6028.

### **Mail certificate applications, payments, and official (sealed, unopened) college or MLS transcripts to:**

Indiana State Library  
ATTN: Certification Program Director  
140 North Senate Avenue  
Indianapolis, IN 46204

## PART THREE

### *Certification Renewal Process and Audits*

Librarian certificates are issued and expire on a quarterly schedule. The 5-year LEU cycle for a certificate begins on the day the certificate is issued and expires 5 years from the last day of that quarter.

- **Quarter 1:** Applications and payments received between January 1 and March 31 expire 5 years from March 31.
- **Quarter 2:** Applications and payments received between April 1 and June 30 expire 5 years from June 30.
- **Quarter 3:** Applications and payments received between July 1 and September 30 expire 5 years from September 30.
- **Quarter 4:** Applications and payments received between October 1 and December 31 expire 5 years from December 31.

#### GRANDFATHERED CERTIFICATE RENEWALS

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. These certificates expired on September 30, 2013 and again on September 30, 2018. Individuals who retained their grandfathered status in 2018 will be due to renew next by September 30, 2023. Individuals with grandfathered certificates are also subject to LEU requirements.

#### RENEWAL REMINDER LETTERS

As a certified librarian, it is solely your responsibility to keep your certificate current. As a courtesy, the State Library attempts to send a renewal reminder letter to certified librarians who are nearing their renewal dates. However, these letters do not always reach the intended recipient for a variety of reasons. A certified librarian is not absolved from the responsibility to maintain a current certificate because the librarian did not receive a renewal reminder from the State Library.

Please be mindful of the possible consequences to your library of letting your certificate lapse. Your library risks being found out of compliance with public library standards and losing access to services and funds provided by the State Library, such as InfoExpress, E-rate reimbursements, Evergreen, and LSTA grants. An additional consequence is that State Library staff spend valuable time attempting to contact and correspond with expired certificate holders instead of providing other services to Indiana libraries.

#### RENEWING A TEMPORARY PERMIT

The Indiana State Library accepts renewal applications for temporary permits through mail or in person at the Indiana State Library. To renew a temporary permit you must submit each of the following:

1. A completed Application for Certification of Public Librarians (found at <http://continuinged.isl.in.gov/certification/>).
2. A check or money order in the amount of \$10.00 made payable to the Indiana State Library.
3. A statement of progress indicating the steps you have taken in the past year toward qualifying for a 5-year certificate. This statement may be brief and could just list college-level library science courses you've taken.
4. LEU certificates to prove you earned at least 10 LEUs between the date your temporary permit was issued and the date it expires. Please photocopy LEU certificates before sending the originals to ISL.

#### RENEWING A 5-YEAR CERTIFICATE

The cost to renew a 5-year certificate is \$50.00. You may renew a 5-year certificate by completing an Application for Certification of Public Librarians (found at <http://continuinged.isl.in.gov/certification/>) and submitting it through the mail or in person at the Indiana State Library. Alternately, a person who already holds a 5-year certificate may renew that certificate using the Indiana Professional Licensing Agency's automated online system, found here: <http://www.in.gov/pla/3121.htm>.

**You may renew online ONLY if each of the following statements apply to you:**

- You have not changed your library employer or your job classification,
- You are not upgrading your certificate (e.g., from an LC<sub>3</sub> to LC<sub>2</sub> or from an LC<sub>2</sub> to LC<sub>1</sub>), and
- You are not applying for a temporary certificate.

Please note that to renew online you will need your certificate number and your registration code. If you don't know your certificate number, you can search for it at <http://www.in.gov/pla/3109.htm>. Your registration code can be found in the renewal reminder letter sent to you by mail at the start of the quarter in which your certificate expires. Please be aware that the Professional Licensing Agency charges a small fee for using the online portal to renew your certificate.

**Do not send LEU certificates with your application for recertification**

The State Library conducts random audits to verify individual participation in continuing education. If your file is selected for random audit, we will contact you not later than 30 days after your certificate's expiration date. If you receive a notice of random audit from the State Library, you have 60 days to submit proof that you earned the appropriate amount of LEUs. If you do not receive a notice of random audit within 90 days after your certificate expires, you may discard your LEU documentation from the previous 5-year cycle.

Please call Cheri Harris, the certification program director, with your specific questions at 317-234-6217 or toll-free in Indiana 800-451-6028, or email her at [ChHarris@library.IN.gov](mailto:ChHarris@library.IN.gov).

**LEU AUDITS**

Each quarter the Professional Licensing Agency randomly selects for audit 10% of the people who renewed a 5-year certificate during the previous quarter. The purpose of the audit is to verify that the person being audited obtained the number of LEUs necessary for renewal. If you are audited you will get a letter in the mail to notify you of the audit and instruct you what to do. Not later than 60 days after receiving this letter, you must mail your LEU certificates to the Indiana State Library. Spreadsheets or other unverifiable lists of workshops you have completed will NOT be accepted in lieu of LEU certificates. Accordingly, the Indiana State Library strongly advises each certified librarian to create a paper file to hold hard copy documentation of every class taken and LEU certificate received.

A person who is audited and who fails to produce proof that they completed the required number of LEUs may be subject to disciplinary action under IC 36-12-11. Disciplinary action can include suspension or revocation of the certificate, among other possible consequences stated in IC 36-12-11.

All LEU credits must be earned between the date your certificate was issued and when it expires. All workshops and courses must be approved for LEUs prior to completion in order to be included in your total. Please keep all LEU certificates for 90 days after your current certificate expires.

LEUs do not "roll-over" from one education cycle to the next. If an applicant completes more hours than required, the additional hours cannot be counted toward the next renewal cycle.

If you are notified that you have been selected for random audit, please mail your LEU certificates and any conference documentation to:

Indiana State Library  
ATTN: Certification Program Director  
140 North Senate Avenue  
Indianapolis, IN 46204.

**BEFORE YOU SEND YOUR ORIGINAL LEU CERTIFICATES TO ISL  
IN RESPONSE TO A RANDOM AUDIT,  
PLEASE PHOTOCOPY THEM FOR YOUR RECORDS.**

## PART FOUR

### *Library Education Units (LEUs)*

Library Education Units (LEUs) refer to units earned by librarians from approved courses, workshops, and other activities in which librarians participate and that are used to establish librarian eligibility for certificate renewal. You alone are responsible for recording and retaining records of your LEUs. **The State Library does not keep this information.**

Whether you have a 5-year certificate or a temporary permit, please keep the following in mind:

- Your education cycle is the period of time between the date your certificate was issued and when it expires. In order to count toward meeting your requirements, all classes for LEU credit must be completed between these dates.
- All workshops and courses must be approved for LEUs prior to completion in order to be included in your total.
- **LEUs do not “roll-over” from one education cycle to the next.** If an applicant completes more hours than required, the additional hours do not count toward the next renewal cycle. Nor will a person be allowed to renew a certificate early in order to begin a new education cycle.

#### LEU REQUIREMENTS FOR TEMPORARY PERMIT HOLDERS

Beginning in 2018, in order to renew a temporary permit a person must submit proof of having completed at least 10 LEUs during the period of the temporary permit. A temporary permit holder may not earn LEUs from college level library science courses taken to meet the requirements of the 5-year certificate they are working toward. A temporary permit holder is not eligible to earn LEUs by attending roundtables.

#### LEU REQUIREMENTS FOR FIVE-YEAR CERTIFICATE HOLDERS

- **Directors and Specialists 1, 2, and 3** must complete **100 LEUs** during each 5-year education cycle, including 10 or 20 Technology Library Education Units (TLEUs). (See below to determine which.)
- **Branch or Department Heads and Specialists 4 and 5** must complete **75 LEUs** during each 5-year education cycle, including 10 or 20 TLEUs. (See below to determine which.)
- **Professional Assistants** must complete **50 LEUs** during each 5-year education cycle, including 10 or 20 TLEUs. (See below to determine which.)

No matter what your job classification, a certain amount of your LEUs must be TLEUs:

- If your current certificate was issued before January 1, 2017 (and expires before January 1, 2022) at least 10 of your total number of LEUs must be TLEUs.
- If your current certificate was issued after January 1, 2017 (and expires after January 1, 2022) at least 20 of your total number of LEUs must be TLEUs.

A librarian with a 5-year certificate must retain LEU certificates of completion, and other written documentation of LEU completion, for at least 90 days after the end of the certification period during which they were earned.

#### APPROVED LEU COURSE PROVIDERS

The State Library’s continuing education website has a list of [approved providers](#) who have blanket LEU approval for all offerings. All other library education providers must be evaluated and approved by the Indiana State Library. You can find the Application for Library Education Unit Provider on the State Library’s [LEU Policies webpage](#).

## REQUESTING LEU APPROVAL FOR A TRAINING OR WORKSHOP

The Indiana State Library reviews applications for LEU providers. **Please submit applications 30 days in advance of the event you are applying for.** If approved, the provider and trainer will be eligible to offer LEU opportunities to Indiana library staff. A course is approved for a period of 2 years, provided 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 and round up to 2 hours after 90 minutes.

Complete the application for LEU Providers at <https://continuinged.isl.in.gov/certification/policies-on-leus/> and submit to [statewideservices@library.IN.gov](mailto:statewideservices@library.IN.gov) (or FAX to 317-232-0002). If you know the date or dates on which you intend to offer the program, please include that information.

Applications for LEU Providers must include the following information:

1. The provider or host organization and signature of the “authorized individual” (the person who will sign the LEU certificates)
2. The name and a brief biography or resume that shows the relevant experience of each trainer
3. A detailed agenda of the course or workshop
4. The amount of time (in hours or minutes) it will take to complete the course or workshop

## LEU APPROVAL IS BASED ON THE FOLLOWING CRITERIA:

1. General LEU courses provide a participant with knowledge of professional library practices, services, collections, or technical library processes or the ability to deal with people and organizations in a professional capacity (as distinguished from clerical). They can include topics such as reference, cataloging, digitization, management, and finance, among other things.
2. Technology LEU includes courses on how to use computer software or hardware, electronic devices, social media, and web development.
3. Non-library related LEU courses will be approved if the subject is not library related but is relevant to library programming, services, or operations. Examples include foreign languages and fitness or wellness classes.

## INELIGIBLE WORKSHOPS

Skills that may help an individual function within a particular organization, but do not advance professional librarianship are not LEU-eligible. Ineligible workshop topics include:

- Internal library policies or employee benefits (e.g., filling out library forms, using a library’s intranet, time management software, open enrollment)
- Library tours that do not include a learning component

## LEU OPPORTUNITIES

LEU courses should be library related. A limited number of non-library related units may be taken for subjects of importance to library programming, services, or operations. Opportunities for LEUs are as follows:

### Library science courses from accredited colleges or universities

- 1 semester credit hour = 15 LEUs (whether the course is taken for college credit or not)
- There is no limit to how many college courses may be used to satisfy continuing education requirements.
- These courses do not require LEU provider pre-approval from ISL.
- An official college or university transcript showing courses taken during the 5-year certificate period will be proof of LEUs earned.
- Note: A temporary permit holder may not earn LEUs from college level library science courses taken to meet the requirements of the 5-year certificate the individual is working toward.

### Local, state, and national library association or specialist-subject related conferences

- 1 hour = 1 LEU
- The organization or conference must be on the list of approved providers or have prior LEU approval from ISL.
- In-state library organizations will usually issue LEU certificates. See below for information on documenting LEUs when the conference is out of state, online, or taken from an organization that is not a traditional library provider.

### **Workshops, seminars, institutes, lectures, training by certified trainers**

- 1 hour = 1 LEU
- Must be on the list of approved providers or have prior LEU approval from ISL.
- In-state library organizations will usually issue LEU certificates. See below for information on how to document these LEUs when the conference is out of state, online, or taken from an organization that is not a traditional library provider.

### **Non-library related subjects of importance to library programming, services, or operations (For example, foreign language, fitness, and wellness.)**

- 1 hour = 1 LEU
- **CAPPED:** Earn up to **10 LEUs** per 5-year certificate period.
- Must be on the list of approved providers or have prior LEU approval from ISL.
- In-state library organizations will usually issue LEU certificates. See below for information on how to document these LEUs when the conference is out of state, online, or taken from an organization that is not a traditional library provider.

### **Developing and delivering workshops for conferences, staff in-service training, or any other continuing education opportunity available to library professionals**

- 1 hour program = 1 LEU; 2 hour program = 2 LEUs (The number of LEUs that may be earned developing and delivering workshops matches hour for hour the length of the program.)
- **CAPPED:** Earn up to **5 LEUs** per 5-year certificate period developing and delivering workshops for conferences, staff in-service training, or any other continuing education opportunity available to library professionals.
- If the program is technology related, the LEUs will be Technology LEUs (TLEUs).
- The program agenda and LEU approval letter serve as verification of LEUs.

### **External professional committee work**

- 1 hour = 1 LEU
- **CAPPED:** Earn up to **5 LEUs** per 5-year certificate period.
- This includes serving on a professional organization committee or as a professional organization officer.
- The organization or committee must be library related.
- Participation in professional committee work does not require prior LEU approval from the Indiana State Library.
- A librarian seeking to use external committee or professional organization work should get a certificate documenting the hours served from the committee chair or the professional organization's president, vice president, director, or associate director. Alternately the person could document attendance at a committee meeting by saving a hard copy of the meeting minutes listing the person in attendance.

### **Publishing in a peer reviewed journal**

- 2 or more page article = 5 LEUs
- **CAPPED:** Earn up to **5 LEUs** per 5-year certificate period for researching, writing, and publishing a library-related article in a peer reviewed journal
- Publishing in a peer reviewed journal does not require prior LEU approval from the Indiana State Library.
- A copy of the article in original form, or provided by means of an internet website address if the article is online, will serve as verification of LEUs.

### **Roundtable Meetings**

- 1 LEU per roundtable attended
- **CAPPED:** Earn up to **10 LEUs** per 5-year certificate period attending professional roundtable meetings.
- Professional roundtables do not require prior LEU approval from the Indiana State Library.
- The host library shall create and award LEU certificates for all attending library professionals.
- **Note: Only individuals holding a 5-year certificate are eligible to count LEUs from professional roundtable meetings.**

## TECHNOLOGY LEUs (TLEUs)

Sessions about how to use software, devices, or social media and the like are eligible for Technology LEUs (TLEUs). Sessions pertaining to policies on or funding for technology (rather than how to use a product) should be awarded general LEUs.

Examples of TLEU-eligible workshop topics include the following:

- Microsoft Office products or other software
- Database training (INSPIRE, Gale Cengage, EBSCO, and other databases)
- Social media platforms (e.g., Facebook, Twitter, Pinterest, Instagram, LinkedIn)
- eReaders, tablets, and mobile devices
- Web development courses
- Integrated Library Systems (e.g., Evergreen, Polaris, SirsiDynix, and other ILS)
- Other technology used by libraries or patrons

## FINDING APPROVED CONTINUING EDUCATION OPPORTUNITIES

Continuing education opportunities are regularly posted to the INpublib listserv (subscribe at <http://www.in.gov/library/listservs.htm>). Check the State Library's [Find Training](#) webpage for additional opportunities.

## DOCUMENTING LEUs EARNED AT CONFERENCES

### National and out-of-state in-person conferences

Please see the list of [Approved Training Providers](#) to make sure the provider is pre-approved. This list includes in-person and virtual conferences. If you plan to attend a conference by a provider who is not listed on Training Providers Approved by ISL, please contact ISL Certification Program Director Cheri Harris to determine whether the event is eligible for LEUs. You may email her at [ChHarris@library.IN.gov](mailto:ChHarris@library.IN.gov) or call her at 317-234-6217 or toll-free in Indiana at 800-451-6028. All events are not automatically approved for LEUs. Also, please request LEU approval at least 30 days in advance of events not already pre-approved. Training that has not been pre-approved by ISL is not eligible for LEUs and ISL is not obligated to honor a certificate issued to a participant at a training that has not been approved.

1. As you have done in the past after attending an in-person conference, fill out the [Indiana Librarian Conference Form](#). Write your session synopses and retain any conference programs or documentation we could refer to in the event of an audit (e.g. confirmation of registration, conference program). Because organizations do not keep their conference information online for more than a few months, we will need something to which we can refer.
2. Based on the sessions you attended, count up the LEUs you earned. LEUs are awarded hour-for-hour for eligible sessions lasting longer than 30 minutes. LEUs round up to two after 90 minutes. LEUs round up to three after 2.5 hours, and so forth.
3. Keep these documents in your LEU file along with your other LEU certificates. **DO NOT send them in to the State Library.** You will not receive a certificate from the State Library after national and out-of-state conferences. Only turn them in to the State Library if you are notified your file has been selected for random audit. Unless you are notified of an audit, please do not mail, fax, or email this paperwork to ISL.

### Conference events eligible for LEUs

Keynote speeches, author talks, and substantive workshops are eligible for LEUs. To be eligible, a session must have a specified learning objective and make a contribution to the field of professional librarianship.

### Conference events ineligible for LEUs

Business meetings, conference registrations and orientations, time spent at vendor booths, and social events without a speaker are NOT eligible for LEUs.

## GETTING CREDIT FOR TAKING A WEBINAR (LIVE OR ARCHIVED)

1. Make sure the program is over 30 minutes long in order to get 1 LEU for it.
2. Verify that the webinar provider is on the list of [Training Providers Approved by ISL for LEUs](#).
3. If the provider is not on the list of approved training providers, send information about the program to Cheri Harris at [ChHarris@library.IN.gov](mailto:ChHarris@library.IN.gov) before you take it, to find out whether it will be eligible for LEUs. Please include a description and a link to the program in your email.
4. Some webinar providers issue certificates; many do not. If you don't get a certificate from the provider, please follow the instructions below for creating an in-house certificate.

*If an approved provider's certificate lists Professional Growth Points (PGPs), CEUs, Contact Hours, or CPDUs instead of LEUs, we will count them as LEUs.*

## IN-HOUSE CERTIFICATES: DOCUMENTING LEUs FOR AN ONLINE PROGRAM (LIVE OR ARCHIVED)

When a staff member views an online event that is eligible for LEUs (either because the provider is on the list of [Training Providers Approved by ISL for LEUs](#), or because the certification program director has approved the online program for LEUs) the library's designee in an administrative or Human Resources role may oversee staff attendance and create and award LEU certificates in-house.

If the staff member taking the online program is a library director, the in-house certificate should be signed by the library's HR manager or the President of the Board of Trustees.

LEUs are awarded hour-for-hour for eligible sessions lasting longer than 30 minutes. LEUs round up to 2 after 90 minutes. LEUs round up to 3 after 2.5 hours (and so forth).

Certificates generated in-house may be formatted any way you choose, so long as they contain the following elements:

- Participant's name
- Name of Webinar
- Name of webinar provider (organization)
- Date viewed (and where possible date originally aired)
- Number and type of LEUs earned (must specify LEU or TLEU)
- Proctor/Supervisor's printed name, professional title, and signature

A sample in-house LEU certificate can be found at the end of the Indiana State Library's [LEU Policies webpage](#) under: Sample "In-House" LEU Certificate for Webinars.

## PART FIVE

### Frequently Asked Questions

#### DETERMINING CERTIFICATION REQUIREMENTS

##### *What is “professional” library work?*

Professional library work includes, but is not limited to, cataloging/copy cataloging, reference, collection development, reader’s advisory, children’s and teen services. Professional library staff must keep their certificates current and in good standing, regardless of number of hours worked per week.

##### *Are part-time employees exempt from certification requirements?*

No. Certification requirements apply to all permanent (non-substitute) professional staff, whether they work full-time or part-time. Substitute, seasonal, and temporary staff are not permanent employees and, as such, are exempt from certification requirements.

##### *Does library experience prior to completion of library science coursework count towards the years of service required for Librarian Certificates (LC) 1, 2, 6, and 7?*

Yes, all combined years of professional library work experience in public, school, academic, and special libraries (including volunteer work) count towards the experience requirements of the LC1, LC2, LC6 and LC7.

##### *I am the only professional staff in my department. Am I a professional assistant or a department head?*

Job classifications are determined locally by library directors and their boards of trustees in a way that makes sense for their organizations. Whether the director and board of trustees classify a particular job as professional assistant or a department head, that person must keep the minimum required certificate in good standing.

##### *Can I be certified at a higher level than what is required for my current job classification?*

Yes. Individual certification is based on education and experience, not on job function. Some directors hold an LC4 while many professional assistants hold an LC1. The rule provides the minimum certification level required for a particular job classification and dictates only the minimum requirement that a person must meet.

##### *How does an increase in library district size affect staff certification?*

An increase in district size (i.e., moving from Class C to Class B or from Class B to Class A), whether due to population change, expanding the district into unserved townships, or merging 2 or more libraries, doesn’t affect certification requirements of staff who are already certified when the change occurs. A certified staff member isn’t subject to the requirements of the larger district as long as the staff member stays in the same library district at the same or a lower level job classification. New hires must meet the criteria for the new library district size.

##### *I don’t currently work for a public library; how many LEUs do I need to maintain certification?*

If you are not currently employed in a public library you should get the number of LEUs required by the job classification listed on your certificate. If there is no job classification listed on your certificate, you should earn the number of LEUs that corresponds to the position you last held. If you have not yet worked as a public librarian, you should earn the number of LEUs that corresponds to a position you would be qualified to seek given your credentials.

##### *Would you consider letting us renew our certifications early if we’ve earned all our LEUs?*

No, you may not renew your librarian certificate early unless you are upgrading to a higher level of certificate. The number of LEUs required for certification renewal is considered a floor. ISL would like to see all librarians strive to attain maximum professional growth by exceeding the minimum number of LEUs required to renew a 5-year certificate.

## GRANDFATHERED CERTIFICATES

### *What does “grandfathered” mean?*

On July 1, 2008, every library staff member who was employed in a professional position that required certification was grandfathered. A grandfathered staff member is exempt from the education and experience requirements for the position the staff member held on that date. A staff member retains his or her grandfathered status, as long as the staff member remains in the same library district and holds the same job classification. To remain grandfathered, any change in position must either be lateral (staying within the same job classification) or represent a move from a higher classification to a lower classification.

Library directors, employed as such before July 1, 2008, were required to meet the previous certification requirements in order to be considered grandfathered. Libraries employing directors who failed to meet certification requirements in 2007 and in 2008 were not in compliance with Indiana Library & Historical Board standards. Such libraries remain out of standards at least until the director meets certification requirements.

In order to keep a grandfathered certificate in good standing, a grandfathered staff member must obtain the number of LEUs required based on the person’s job classification and renew the grandfathered certificate every 5 years.

### *May I apply as a new applicant even though I was grandfathered in?*

Yes, a librarian who is grandfathered may apply for a new certificate by submitting an application form, the \$50 application fee, and any necessary college transcripts. The new certificate is not a "grandfathered" certificate and is not tied to a particular position in a particular library. The new certificate could, therefore, be transported to different positions and libraries. When an applicant receives a new certificate, a new 5-year education cycle starts. The applicant would begin to accumulate LEUs from the date of issue of the newest certificate.

## INTERIM DIRECTORS

### *What are the certification requirements for interim directors?*

An interim director who serves longer than 6 months and does not yet hold the required credentials for the position must apply for a temporary permit. An interim director who already holds the appropriate credentials for the position should obtain or maintain the person’s 5-year certificate.

A library can only keep an interim director who holds a temporary permit for 3 years. If the interim director does not intend to apply for the permanent director position and does not pursue the education required for a director of that library’s class size, the board of trustees should be actively seeking a permanent director who meets certification requirements.

## NON-COMPLIANCE

### *What are the consequences for not meeting certification requirements?*

Failure to comply with certification requirements is treated as a failure to comply with library standards. Libraries not meeting standards become ineligible to receive or make use of state and federal funding and programs.

## PAYING FOR CERTIFICATION & CONTINUING EDUCATION

### *Can a library pay for staff certificates?*

Per the State Board of Accounts, a library may not draw from its operating funds to pay for staff certification. If you submit a library check to pay for certification fees, please include a written statement from the library director indicating the check was drawn from an unrestricted gift fund and not from the library’s general fund. There are 3 options by which a library may pay for staff certifications:

1. Draw the money from an unrestricted gift fund
2. Increase the applicant’s salary to cover the cost of the required certificate (amounting to no more than \$0.20 per week)
3. A library friends groups may subsidize a portion or the full amount of a staff member’s certification fees.

### *Can a library pay for staff continuing education?*

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

## **PROMOTIONS & NEW POSITIONS**

### *If I am promoted to a higher job classification, what happens to my certificate and my LEUs?*

You must meet the certification requirements for your new job classification. You may need to upgrade your certificate. Please notify the certification program director of this change. In addition to keeping your record up to date, she can advise you what steps you will need to take in order to comply with the requirements of your new position.

If you are not on a grandfathered certificate and you already hold the certificate you need for the job into which you have been promoted, (or have a higher certificate level than what is required for your new job classification), you do not need to apply for a new certificate. If you already have the appropriate librarian certificate for your new position, the certification program director will simply modify the licensing database to reflect your new job classification. You will retain the LEUs you have earned in your current 5-year cycle. By the date your certificate expires, you must obtain the number of LEUs required for the job classification (i.e., professional assistant, branch/department head, or director) you held during the majority of your 5-year certificate.

If you hold a grandfathered certificate or you don't yet meet the criteria for your new job classification, you must apply for a temporary permit while you obtain the required education or years of experience. Within 6 months of starting your new position, you must apply for your first of 3 possible temporary permits. If you need a second or third temporary permit in order to complete the requirements, you must renew your temporary permit prior to its expiration date. When you complete the requirements for your new job classification you do not need to exhaust your remaining temporary permits. You may apply for a 5-year certificate as soon as you complete the requirements.

### *If I take a position at another library, what happens to my certificate and my LEUs?*

If you hold a grandfathered certificate, you must apply for a new certificate within 6 months of starting a position at a different library. If you do not meet the criteria for your job classification at your new library, you must apply for a temporary permit while you obtain the required education and years of experience. If you need a second or third temporary permit in order to complete the requirements, you must renew your temporary permit prior to its expiration date. When you complete the requirements for your new job classification you do not need to exhaust your remaining temporary permits. You may apply for a 5-year certificate as soon as you complete the requirements.

## A Detailed Summary of Indiana Public Librarian Certification Requirements

### WHO MUST BE CERTIFIED?

- Directors, assistant or associate directors, branch or department heads, and professional assistants
- *Other staff who spend at least half of their time on professional librarian work.*
- ***Certification requirements apply to all permanent (non-substitute) professional staff, whether they work full-time or part-time.***

### WHO IS NOT REQUIRED TO BE CERTIFIED?

- Archivists, conservators, clerks, pages, and circulation staff
- Business office and clerical staff (including administrative assistants and bookkeepers)
- Human resources, IT, marketing, and PR staff
- Substitute or temporary workers, volunteers, and maintenance workers

### NEWLY HIRED & NEWLY PROMOTED STAFF

Newly hired staff whose professional positions require certification have 6 months to apply for their first temporary permit or 5-year certificate. Individuals who have been promoted to a higher level position may also need to apply for a higher level certificate and have 6 months from the date of the promotion to do so. Individuals who have recently been promoted should contact the State Library to find out if they need to be working toward a higher level certificate.

### TEMPORARY PERMITS

A temporary permit lasts for a single year and is designed to allow a person who doesn't yet meet the certification requirements for a position to work in the position while they complete library science courses or accumulate years of experience required for full certification. A temporary permit may be renewed twice for a total maximum of 3 temporary permits per person per job classification level.

Beginning January 1, 2018, an individual applying to renew a temporary permit must submit each of the following:

- A completed Application for Certification of Public Librarians.
- A check or money order in the amount of \$10 made payable to the Indiana State Library.
- A statement of progress you have made in the past year toward qualifying for a 5-year certificate.
- LEU certificates to prove you have earned at least 10 LEUs during the period of your certificate.

### DEFINITIONS OF JOB CLASSIFICATIONS

- **Director:** There is one library director who is the administrative head of the library.
- **Branch or Department Head:** This classification includes but is not limited to staff classified as associate or assistant directors, branch managers, department heads, librarians, catalogers/copy catalogers, reader's advisors, and program or other coordinators. Branch or department heads devote more than half of their time on professional library work.
- **Professional Assistant:** This classification includes, but is not limited to, librarians, library assistants, paraprofessionals, catalogers/copy catalogers, reader's advisors, and program or other coordinators. Professional assistants devote more than half of their time to professional library work.

### LEU REQUIREMENTS BY JOB CLASSIFICATION

**Directors and Specialists 1, 2, and 3** must complete 100 LEUs during the 5-year education cycle.

**Branch/Department Heads and Specialists 4 and 5** must complete 75 LEUs during the 5-year education cycle.

**Professional Assistants** must complete 50 LEUs during the 5-year education cycle.

No matter what your job classification is a certain number of your total LEUs earned must be TLEUs as follows:

- At least 10 TLEUs for librarian certificates issued before January 1, 2017 (and that expire before January 1, 2022).
- At least 20 TLEUs for librarian certificates issued after January 1, 2017 (and that expire after January 1, 2022).

### CERTIFICATION REQUIREMENTS BASED ON LIBRARY DISTRICT SIZE

Library District Population	Director	Branch or Department Head	Professional Assistant
Class A (40,000 or more)	LC 1	LC 4	LC 5
Class B (10,001 to 39,999)	LC 2	LC 5	LC 6
Class C (3,001 to 10,000)	LC 4	LC 6	LC 6
Class C (3,000 or less)	LC 7		

### REQUIREMENTS FOR EACH CERTIFICATION LEVEL

LEVEL	EDUCATION	EXPERIENCE
LC 1	MLS +	10 years professional experience <b>OR</b> 6 years professional experience that includes 3 years administrative experience (i.e. director or supervisor of at least 2 staff with MLS degrees)
LC 2	MLS +	3 years professional experience
LC 3	MLS	
LC 4	Bachelor's degree +	15 hours of college level library science credit, taken before, during or after bachelor's degree  Courses must cover each of the following 5 topics: <ul style="list-style-type: none"> <li>• <i>Collection Development (aka Selection &amp; Evaluation of Materials)</i></li> <li>• <i>Reference and Information Sources</i></li> <li>• <i>Library Management and Administration</i></li> <li>• <i>Cataloging and Organization of Materials</i></li> <li>• <i>Children's Services (aka Materials for Youth)</i></li> </ul>
LC 5	60 hours of college course credit +	9 hours of college level library science credit  Courses must cover any 3 of the following 5 topics: <ul style="list-style-type: none"> <li>• <i>Collection Development (aka Selection &amp; Evaluation of Materials)</i></li> <li>• <i>Reference and Information Sources</i></li> <li>• <i>Library Management and Administration</i></li> <li>• <i>Cataloging and Organization of Materials</i></li> <li>• <i>Children's Services (aka Materials for Youth)</i></li> </ul>
LC 6	HS/GED/equivalent +	3 years of library experience <b>OR</b> 9 hours of college level Library Science credit (any 3 courses)
LC 7*	HS/GED/equivalent +	3 years of library experience <b>OR</b> 9 hours of college level Library Science credit (any 3 courses) <b>PLUS</b> Each of the first 3 years of employment must take 10 hours of ISL training for library administrators

\*Note: The LC 7 is only available to a new director of a library with a service population of 3,000 or less.

## Checklist for Submitting Librarian Certification Applications

### Reminders for ALL Applications:

- Completed application form** –verify that you have signed it, dated it, and checked the appropriate boxes.
- Transcript-** to be considered official a paper transcript must still be sealed in its original, unopened envelop or a digital or electronic transcript must be sent directly from the school to [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov).
- Payment – Note: SBOA doesn't allow us to accept payment from a library's general fund so if you pay with a library check the director must state in writing that the check is drawn from an unrestricted gift fund.**  
 Personal check or money order made payable to the Indiana State Library in the amount of:
  - \$10 for an initial temporary permit or renewal of a temporary permit
  - \$50 for an initial 5-year certificate, 5-year certificate renewal, or upgrade from one level to another
- Send to** Indiana State Library, Attn: Certification Program Director, 140 N. Senate Ave., Indianapolis, IN 46204

	First Temporary Permit	Second or Third Temporary Permit
Temporary Permit	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Payment of \$10</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Statement of progress toward becoming eligible for 5-year certificate.</li> <li><input type="checkbox"/> Certificates showing you've taken at least 10 LEUs during period of previous permit.</li> <li><input type="checkbox"/> *LC 7 only—certificates for 10 Administrative LEUs too</li> <li><input type="checkbox"/> Payment of \$10</li> </ul>
	Initial 5-Year Certificate or Upgrade	Renewal of 5-Year Certificate
LC 1	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Official transcript of MLS (unless you already have one on file at ISL)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>	Renew online or send: <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>
LC 2	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Official transcript of MLS (unless you already have one on file at ISL)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>	Renew online or send: <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>
LC 3	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Official transcript of MLS (unless you already have one on file at ISL)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>	Renew online or send: <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>
LC 4	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Official transcript of bachelor's degree</li> <li><input type="checkbox"/> Official transcript showing completion of the 5 required library science courses</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>	Renew online or send: <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>
LC 5	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Official college transcript(s) showing:               <ul style="list-style-type: none"> <li>○ at least 60 hours of college credit</li> <li>○ 3 required library science courses</li> </ul> </li> <li><input type="checkbox"/> Payment of \$50</li> </ul>	Renew online or send: <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>
LC 6	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Include high school completion info on the app form, even if you attended college</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>	Renew online or send: <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>
LC 7	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Include high school completion info on the app form, even if you attended college</li> <li><input type="checkbox"/> Proof of 10 Administrative LEUs</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>	Renew online or send: <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed App form (see reminders above)</li> <li><input type="checkbox"/> Payment of \$50</li> </ul>

# Access Your Record Online

Whether you are logging in to update your address or to renew your librarian certificate you will start at this webpage: <https://mylicense.in.gov/eGov/Login.aspx>.

## Who can renew online?

- Only 5-year certificates may be renewed online.
- Temporary permit renewals and upgrades require submission of a paper application by mail.
- Currently the system doesn't allow you to change your name, employer, or job classification online. Submit a paper application with the updated information or, if you have changes at a time when you are not renewing your certificate, please send this information to [ChHarris@library.in.gov](mailto:ChHarris@library.in.gov).

## Instructions

1. On the first login screen there are two fields: user id and password. If you recently registered on the website you can log in here using the user id and password that you created.
2. If you have not yet registered on the site, click the upper left hand menu item "Register a Person."



3. This brings up a second log in screen that has four fields: **License Number; Birth Date; SSN; and Registration Code.**
  - a. **Please ignore the fields that ask for birthdate or for SSN. We have not collected that information from you, so entering that information will not help to retrieve your record.** Instead you will want to use only the fields that ask for **your license number** and **your registration code**.
  - b. The instructions on that second log in screen may prompt you to create a new registration. **However, please note – you do not want to create a new registration!** You must access your existing record in order to renew your existing license.
4. **Finding your license number:** You can find your certificate number by looking yourself up on the Professional Licensing Agency's eVerification site [here](https://mylicense.in.gov/everification/Search.aspx). This site works best when you limit your query to just 3 variables: **Profession** (select librarian from the drop down menu), **First Name**, and **Last Name**. You don't need to use the other search fields. The web address is: <https://mylicense.in.gov/everification/Search.aspx>.
5. **Your registration code:** is listed on the renewal notice that we sent by US Mail to the mailing address we have on file for you. Renewal notices are usually sent out about two weeks into the quarter in which your certificate will expire. If you didn't get a renewal notice or have misplaced it, you'll need to contact Cheri Harris at [ChHarris@library.in.gov](mailto:ChHarris@library.in.gov) to get your registration code.
6. Once you have logged in choose **Renew License** or **Mailing Address Update** from the menu on the left.

**Thank you for making the effort to update your mailing address and renew your certificate online!**



## Chapter 6

### Required Reports and Statistical Sources

There are a number of reports, most of which are mandated by Indiana state law, that a public library director is required to complete. These reports include statistical reports, financial reports, and employee reports.

Reports due to the State Board of Accounts (SBOA) or Department of Local Government Finance (DLGF) are submitted electronically via a web portal called the Gateway. The Gateway is a tool both agencies use to collect and disseminate local government information.

#### Required Reports:

Please note: requesting agency is in *italics*.

#### A. Annual Report for Indiana Public Libraries (ISL)

Includes the following components:

- Annual Report (questionnaire/survey)
  - Annual PLAC Statistics Report
  - Statement of Compliance with Standards
  - Statement of Intent to Comply with Standards
  - Supplemental Questions
- Signature Page

Much of the data collected in this report is submitted for inclusion in the national [Public Libraries Survey](#).

The Annual Report is completed entirely online, excepting the signature page, which must be printed, signed, and mailed in. Instructions and login information for completing the report are emailed to all directors in December.

The Annual Report is currently due **March 1<sup>st</sup>** of each year, to coincide with the State Board of Accounts' Annual Financial Report.

Data collected by the State Library's Annual Report may vary slightly from year to year, but always includes:

- a. Library name, address, location and contact information, hours of operation
- b. 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 non-resident), ILL and circulation
- e. Operating income and expenditures by type
- f. Library holdings/collections
- g. Selected library services, including programs
- h. Type and speed of internet access and number of computers
- i. Staff job classifications and hours worked
- j. Salary and benefit information

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 may receive payment for the net loans. Please carefully review the number of loans reported, as this could result in a check for your library, and an error or failure to complete this section might result in 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 state or federal funding. This would include any State Technology Grant 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 to comply with standards. If a library does not adequately explain its intent or does not explain a "no" answer, it may be found out of compliance with standards.

Supplemental Questions This part of the report changes yearly and is intended to elicit information for the use of the Indiana State Library, Indiana librarians and other interested parties.

Signature Page This must be printed and returned via mail with original signatures.

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

Libraries receiving LSTA or other grants from the Indiana State Library should refer to their grant manual or guidelines. For LSTA grants, three brief quarterly evaluations, a final report, and a final financial report are required for each project. For more information, visit [www.in.gov/library/lsta.htm](http://www.in.gov/library/lsta.htm).

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

**Due the 25th of the month after the end of quarter** (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 numbered and are the financial responsibility of the library to which they are issued. The PLAC report form can be downloaded at <http://www.in.gov/library/plac.htm>.

**D. Report of Names and Compensation of Officers and Employees (Gateway 100R) (SBoA)**

To be filed through the Gateway **on or before January 31**.

Report the names and compensation of ALL people paid by the library. If they receive a W2, they should be listed on this report. 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. You must also sign and return an attestation page.

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

The statement must be completed and given to each employee by **January 31**.

<http://www.irs.gov>

**F. Annual Report to Indiana Department of Revenue (DOR)**

Information on state and county income tax withholdings is due in **January**.

<http://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**. <http://www.irs.gov>

**H. Outstanding Indebtedness Report (DLGF)**

[IC 5-1-18-9] Requires that each political subdivision report any outstanding bonds or leases to the Department, due **on or before March 1**. <http://www.in.gov/dlhf/9106.htm>

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

The LAR-1 is **due by March 1**. <https://gateway.ifionline.org/login.aspx>

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 receives it. The State Board of Accounts uses it as the basis for the library audit. SBoA has staff who can answer questions about it at 317-232-2513.

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; employees home addresses are 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 of the employee's principal office.

K. **Post Bond Sale/Post Lease Execution (DLGF)**

[IC 5-1-18-7 and 5-1-18-8] Requires that political subdivisions entering into bonds and leases during a calendar year report these obligations to the Department through the Gateway **on or before December 31.**

## **Selected Statistical Sources**

**Statistics of Indiana Public Libraries (ISL)** – Data on Indiana libraries from 1994 through previous calendar year. (Statistics from years prior to 1994 are available in print upon request.)  
<http://www.in.gov/library/plstats.htm>

**Public Libraries Survey (Federal)** – The Public Libraries Survey (PLS) provides statistics on the status of public libraries in the United States. Data is supplied annually by public libraries across the country.  
<http://www.ims.gov/research/public-libraries-in-the-united-states-survey.aspx>

**Indiana State Library State Data Center** – A resource for Census, federal, and state statistics.  
<http://www.in.gov/library/isdc.htm>

**National Center for Education Statistics – Library Statistics Program** – Provides academic library and school library media center data.  
<http://nces.ed.gov/surveys/libraries/>

**Library and Book Trade Almanac (formerly The Bowker Annual) Medford, N.J.:**  
Information Today, Inc.  
<http://books.infotoday.com/directories/Library-and-Book-Trade-Almanac.shtml>

**Library Journal – America’s Star Libraries**  
<https://www.libraryjournal.com/?subpage=Star%20Libraries>

**Public Library Data Service Statistical Report** – Similar to the PLS in content, the PLDS is a voluntary report, completed annually by 800+ public libraries in the U.S. and Canada. It was ended following the completion of the 2018 report, but past data is still currently available. Requires subscription to access.  
<http://www.ala.org/pla/publications/plds>

**STATS Indiana – Indiana University/Indiana Business Research Center**  
STATS Indiana provides easy, one-stop access to critical statistics for states, counties, cities and towns, townships, regions, census tracts, and more.  
<http://www.stats.indiana.edu/>

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

**U.S. Census Bureau**  
<https://data.census.gov>

## **Statistics Usage – Bibliography**

- Baird, B. J. (2004). *Library collection assessment through statistical sampling*. Lanham, Md., Scarecrow.
- Bertot, J. C. (2001). *Statistics and performance measures for public library networked services*. Chicago: American Library Association.
- Boss, R. W. (2006). Rethinking library statistics in a changing environment. Public Library Association (PLA). Retrieved from <http://www.ala.org/pla/tools/technotes/rethinkinglibrary> - members only
- Dando, Priscille. (2014). *Say it with data*. Chicago: ALA Editions.
- Farmer, L. S., & Safer, A. M. (2016) *Library improvement through data analytics*. New York: Neal-Schuman.
- Hernon, Peter, et. al. (2014). *Getting Started with Evaluation*. Chicago: ALA Editions.
- Hernon, Peter, et. al. (2015). *Managing with data: using ACRLMetrics and PLAMetrics*. Chicago: ALA Editions.
- Liu, Y. Q., & Zweizig, D. (2000). Public library use of statistics: A survey report. *Public Libraries*, 39 (2), 98-105.
- Orcutt, D. (2009). *Library data: Empowering practice and persuasion*. Santa Barbara, CA: Libraries Unlimited.
- Smith, M. (1996). *Collecting and using public library statistics: A how-to-do-it manual for librarians*. New York: Neal-Schuman.
- White, A. C., & Kamal, E. D. (2005) *E-metrics for library and information professionals: How to use data for managing and evaluating electronic resources*. New York: Neal-Schuman.

### **Also recommended:**

ALA page on statistics – [www.ala.org/tools/atoz/statistics-library](http://www.ala.org/tools/atoz/statistics-library)

RIPL – Research Institute for Public Libraries – <http://ripl.lrs.org>



## Chapter 7

# Resource Sharing



Evergreen Indiana is a growing consortium of more than 125 public, school and institutional libraries 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 other member libraries. The Evergreen Indiana catalog, the largest catalog in the state, may be viewed at:

[evergreen.lib.in.us/eg/opac/home](http://evergreen.lib.in.us/eg/opac/home).

The Evergreen Indiana project is funded by a combination of Library Services and Technology Act [LSTA] grant funds, state funds, and participant membership fees. 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.

The consortium is currently accepting applications from libraries seeking to migrate to Evergreen. Requests for membership are approved by the Executive Committee. Libraries interested in joining the consortium must have board approval and submit a completed Evergreen Indiana Membership Packet, which may be found at on the Evergreen blog:

[https://blog.evergreen.lib.in.us/?page\\_id=3084](https://blog.evergreen.lib.in.us/?page_id=3084).

Evergreen Indiana libraries are eligible to join the eIndiana Digital Consortium. These libraries have access to thousands of digital audiobooks, e-books, and videos through OverDrive.

For up-to-date information on participating libraries, including both a directory and a map of current members, visit [https://blog.evergreen.lib.in.us/?page\\_id=2558](https://blog.evergreen.lib.in.us/?page_id=2558).

For more information about Evergreen Indiana contact: Anna Goben, Evergreen Indiana Project Coordinator, at 317-234-6624, [agoben@library.in.gov](mailto:agoben@library.in.gov).



**InfoExpress** is the statewide library courier service managed by the Indiana State Library. Over 400 public library districts, school districts, academic, institutional and special libraries are connected by the InfoExpress courier system.

Fees for InfoExpress are based on the number of deliveries per week. Participants determine how many days a week (weekdays only) they need pick up and delivery, based on volume.

The daily rate for InfoExpress is \$910/day. In order to offer the lowest possible delivery service cost for all Indiana libraries, the State Library provides state taxpayer money to subsidize the cost of one delivery per week per library district. Member institutions within standards receive an upfront subsidy of \$610 for the 2019-2020 year. Additionally, these libraries can qualify for the Resource Sharing rate, which features an additional \$210 annual subsidy for a second day of service. To qualify for the Resource Sharing Rate, a library must meet one of the following criteria:

- Subscribe to 5-day-a-week InfoExpress service
- Subscribe to OCLC ILL System
- Participate as a member of Evergreen Indiana
- Participate in SRCS
- Is a net lender (# lends / # borrows >= 1.0)

The 2020-2021 year will include a further discount (due to additional subsidies made possible with CARES Act funds) for the following categories:

- Subsidized libraries will receive a further **20%** discount.
- Resource Sharing libraries will receive a further **20%** discount.

**2019-2020 Rates (Effective 1 July 2020)**

Frequency of Delivery	In Standards Rate	Out of Standards Rate
One Day	\$240	\$910
Two Day	\$968	\$1,820
Three Day	\$1,696	\$2,730
Four Day	\$2,424	\$3,640
Five Day	\$3,152	\$4,550

Participants use the InfoExpress website to create shipping labels and manifests, as well as to request related supplies (bags, zip ties). To learn more about how to use InfoExpress visit <https://digital.statelib.lib.in.us/infoexpress/>.

You may also contact InfoExpress staff at [infoexpress@library.in.gov](mailto:infoexpress@library.in.gov), or call 317-232-3699 or in-state toll-free at 877-835-0014.



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 ship the materials to requesting libraries via InfoExpress or library-rate postage.

To learn more about the program including how to submit requests and check item status, as well as a brief tutorial on using Indiana Share, please visit the Indiana Share website: <https://www.in.gov/library/ishare.htm>.

Contact the Indiana Share coordinator at [share@library.in.gov](mailto:share@library.in.gov). Phone 317-232-3699 or in-state toll-free 877-385-0014.



# Statewide Remote Circulation System

SRCS (pronounced “circs”), Indiana’s Statewide Remote Circulation Service, is Indiana’s latest and largest resource sharing tool. It links the catalogs of over 200 Indiana libraries into a single interface containing over 30 million items. Authorized users can search this combined catalog and request to have selected materials delivered to their home library using the InfoExpress courier, where they can check the out.

SRCS does not replace your local ILS; rather, it works with over 15 different ILS systems to provide this extended access and functionality. Participation in SRCS is strictly voluntary, and each library defines the materials they are willing to offer. However, there are a few rules and requirements, such as participating libraries must be willing to lend materials from at least part of their collection, and must subscribe to our statewide courier service. As of 2020, there is no fee for participation.

For more information, visit <https://www.in.gov/library/SRCS.htm> or contact [statewideservices@library.in.gov](mailto:statewideservices@library.in.gov) or in-state toll-free at 800-451-6028.

# Public Library Access Cards (PLAC)

## Front of PLAC Card

### PUBLIC LIBRARY ACCESS CARD

No. \_\_\_\_\_

**PUBLIC LIBRARY ACCESS CARD**

Name	Expiration date (month, day, year)
Name of Issuing Library	
Home Library, if different from Issuing Library	Last four digits of Home Library card
Address (number and street, city, state, and ZIP code)	

State Form 45680 (R3-7-20) Indiana Code 4-23-7.1-5.1

## Back of PLAC Card

**PUBLIC LIBRARY ACCESS CARD**

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](http://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. Use of e-books and e-audiobooks are often restricted or not available to PLAC borrowers, as vendor agreements may

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 **2020** is **\$65.00**.

## **PLAC WORKING GUIDELINES**

### **Issuance of 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 may be placed on the PLAC Quarterly Report Form (<https://www.in.gov/library/files/placqform04.pdf> ).
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. Cards are issued only to individuals, not to families or groups.

### **Definitions**

The **home public library** (590 IAC 3) is the public library where an individual is a resident or real property taxpayer in the taxing district of the library, or the library from which a nonresident has purchased a card.

The **issuing library** is where the PLAC is purchased, and may be any public library in the state, not just the home library. The card will show on its face the 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 236 public libraries in the state of Indiana qualifies to obtain a PLAC (I.C. 4-23-7.1-5.1). A law passed in 1996 allows an individual to obtain a PLAC at any public library in Indiana.

**Guideline (b):** "Good Standing" is defined at the local library level. Rules or guidelines used at the local library to determine eligibility for a local library card should also be applied when an individual requests to purchase a PLAC.

**Guideline (c):** A family PLAC will not 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 using a PLAC.

**Guideline (d):** A public library may choose to issue its own library card to an individual holding a PLAC in order to properly code the patron record for their 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.

3. **College/University Student PLAC.** Resident students are not required to have a PLAC to use the local public library in the college/university community. Local libraries should follow their existing policies for issuance of student cards to local college/university or other post-secondary school students.

If a college student wants to borrow materials from a public library other than their home library or the library in the college/university community where they reside, then the student will need to be issued a PLAC.

4. **Refunds.** No refunds for PLAC fees will be made under any circumstance.
5. **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 unchanged. 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**

6. **Payment for PLAC.** An individual may pay either by cash or by check when obtaining a PLAC; credit card payment is available at some libraries. Checks 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 ([http://www.in.gov/sboa/files/lib2014\\_003.pdf](http://www.in.gov/sboa/files/lib2014_003.pdf)).
7. **Submitting Fees to the Indiana State Library.** Collected PLAC fees 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**

8. Books.

Includes: hardbound print books, paperback print books, large print books and lap or board books. Physical books that normally circulate must be available for loan to PLAC cardholders.

E-books and e-audiobooks are often ineligible for PLAC loans due to vendor restrictions.

9. **Non-book Materials.**

Includes: 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.

10. **Annual Determination of Eligible Materials.** Each library will be required to annually determine what types of materials will be loaned to PLAC cardholders.

**Statistics & Recordkeeping**

11. **Required Statistics.** Each library will be required by the State Library to keep statistics recording the home library of each PLAC cardholder who borrows materials as well as the number of items borrowed by PLAC cardholders.

**Overdue & Lost Materials**

12. **Fees.** Each individual library will determine the daily overdue fee for library materials loaned to PLAC cardholders by policy set by the Board of Trustees of that library.

**Guideline (a):** It is recommended that this daily fee be the same that is charged to local residents and a separate fee scale for PLAC users not be established by libraries.

**Guideline (b):** In the spirit of cooperation, when feasible, libraries should alert other libraries to problem borrowers having PLAC privileges that have accrued sizable overdue fines or have lost an inordinate number of items borrowed through the program.

13. **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.

14. **Materials Returned to the Wrong Library.** The library to which the PLAC cardholder returns borrowed materials may determine if a fee will be charged to the PLAC cardholder if that library is not the lending library. If a fee is charged, the library to which the materials are returned is responsible for collecting the fee.

**Guideline:** PLAC users should be informed that they are expected to return materials borrowed using a PLAC to the lending library.

**Library Reporting Responsibilities**

15. **Statistics.** Each public library is expected to report all required borrowing statistics that have been kept on the Public Library Access Card Program as a part of the Annual Report. The Board President shall attest to the accuracy of the PLAC report.

16. **Eligible Materials for Loan.** Each public library will be required to annually file with the State Library a report detailing what library materials will be loaned to PLAC cardholders.
17. **Failure to Report.** Failure to submit a complete statistical report to the Indiana State Library by the deadline established will result in the following action taken: 1. withholding of funds due to the library as a result of loans made in the program; 2. determination that the library is in non-compliance with Minimum Standards for Public Libraries; 3. withholding of state and federal funds to the library by the Indiana State Library.

### **Local Agreements**

**Definition:** a local or regional agreement made between two or more libraries that residents of each library district may borrow items from a public library in the other district(s). (Another type of local agreement: 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.)

18. **Library Requirements.** All local agreements must be in writing and approved by the participating libraries' boards of trustees. (These are required to be placed on file at the State Library.)
19. **Loans Made.** Loans to individuals whose libraries have local agreements may not be counted and submitted as statistics for reimbursement as part of the statewide PLAC program.

### **Payment to Libraries**

20. **Net Loans.** Payments of funds for this program will be made on the basis of **net loans** (Indiana Code 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 the PLAC cardholders, and the resulting figure will be the per net loan figure paid to libraries. By August 1 of each year, each eligible public library will receive payment for its net loans made during the previous calendar year.

**Definition** of PLAC net loans: a greater number of loans made by a library to PLAC cardholders from outside its district than loans made by PLAC cardholders from within its district at other libraries.

21. **Requirements 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 PLAC Program. A library will need to complete and sign a voucher to complete the reimbursement process.

22. **Appeal Procedure.** A public library determined to be in non-compliance with the terms of the Public Library Access Card Program will have the option to appeal the decision at the first Indiana Library and Historical Board meeting following the notification to the public library of the judgment. The Indiana Library and Historical Board will render a final decision after hearing the library's appeal.



**PUBLIC LIBRARY ACCESS CARD  
(PLAC) QUARTERLY REPORT**

State Form 44289 (R2/2-04)

<i>Check time period covered:</i> Year _____	<i>Report Due:</i>
____ 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) <input type="checkbox"/>
Quantity of replacement cards sold at \$1.00		Total \$
<p>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.</p>		
Quantity of cards sold		Total \$
Quantity of voided cards (list card #'s in this space)		Total remitted \$
<b>Make check payable to the Indiana State Library</b>		
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:	<input type="text"/> 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.		

## Reciprocal Borrowing

### Statewide Reciprocal Borrowing

Participating libraries sign a statewide reciprocal borrowing covenant that allows users from any participating library to borrow books in person at public libraries all over Indiana. The reciprocal borrowing covenant is found online at [www.in.gov/library/ldoresources.htm](http://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 statewide 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 PUBLIC LIBRARY ACCESS CARD (PLAC)** if the patron's home library is on the Statewide Reciprocal Borrowing List and they are a taxed resident of that home library.

Any two 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 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 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 wanted 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.

### **Nonresident 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 236 library districts. The fee for a nonresident card is at minimum \$25.00, or the library's expenditure per capita (whichever is greater). A nonresident fee may be set higher than the library's operating fund expenditure per capita. The operating fund expenditure per capita for public libraries are found in latest published year of [Public Library Statistics](#) (Table 4).

\_\_\_\_\_ 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

<b>Statewide Reciprocal Borrowing Covenant Libraries</b>	<b>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)</b>
<b>As of 07/25/2019</b>	
AKRON CARNEGIE PUBLIC LIBRARY	8/2/2005
ALEXANDRIA-MONROE PUBLIC LIBRARY	8/8/2013
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
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
BOURBON PUBLIC LIBRARY	7/21/2016
BRAZIL PUBLIC LIBRARY	8/3/2005
BREMEN PUBLIC LIBRARY	8/4/2015
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

<b>Statewide Reciprocal Borrowing Covenant Libraries</b>	<b>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)</b>
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
FAYETTE COUNTY PUBLIC LIBRARY	5/14/2013
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
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

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)
JENNINGS COUNTY PUBLIC LIBRARY	5/10/2004
JOHNSON COUNTY PUBLIC LIBRARY	9/20/2016
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
LAKE COUNTY PUBLIC LIBRARY	8/28/2014
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
LOGANSPOUT-CASS COUNTY PUBLIC LIBRARY	11/20/2012
LOOGOOTE PUBLIC LIBRARY	6/13/1995
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
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
MORRISSON REEVES LIBRARY	4/20/2015
NAPPANEE PUBLIC LIBRARY	12/27/2012

<b>Statewide Reciprocal Borrowing Covenant Libraries</b>	<b>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)</b>
NEW ALBANY-FLOYD COUNTY PUBLIC LIBRARY	5/14/2018
NEW CARLISLE-OLIVE TOWNSHIP PUBLIC LIBRARY	2/20/2018
NEW CASTLE-HENRY COUNTY PUBLIC LIBRARY	8/17/1998
NEW HARMONY WORKINGMEN'S INSTITUTE	7/13/1995
NEWBURGH CHANDLER PUBLIC LIBRARY	7/10/1995
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
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
PARKE COUNTY PUBLIC LIBRARY	6/12/1995
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
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

<b>Statewide Reciprocal Borrowing Covenant Libraries</b>	<b>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)</b>
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
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; re-validated 8/1/2012



## Chapter 8

# LDO Calendar of Important Dates

The LDO calendar is located at: <http://indianastatelibrary.evanced.info/signup/calendar?ln=ALL>

### Disclaimer

The calendar is maintained on the server to enhance access to information. The calendar is continually updated as event dates become known. 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.

## Calendar 2020/2021

**New Hire Reporting** Pursuant to the federal Work Opportunity Reconciliation Act of 1996, all employees must report “new hires” to the Indiana Department of Workforce Development; see their webpage at <https://in-newhire.com/default>. The report must be filed within twenty (20) days after the hire date and contain the employee’s name, address, and social security number.

**INPRS is an online report and payment immediately after every paycheck.** INPRS online payment works with unit and the employer payment cycle.

Pursuant to [IC 5-10.3-7-12.5](#), the INPRS Board of Trustees has the authority to levy fines up to one hundred dollars (\$100) for each day the reports or payments are late, to be withheld under [IC 5-10.3-6-7](#). Additionally, if the employer is frequently late, as determined by the board, the board shall report the employer to the auditor of state for additional withholding under [IC 5-10.3-6-7](#).

### Monthly

Monthly engagement documents must be uploaded to Gateway by the 15<sup>th</sup> of the second month following the month they are for. For example, the July monthly files are due September 15. These uploads include the bank reconciliation, board minutes, and funds ledger. For more information on this, please see the Gateway User Guide:

<https://gateway.ifionline.org/userguides/engagementguide>

Report and make payment of state and county income tax withheld during previous month to the Department of State Revenue, Indianapolis. Monthly (early filers) make payment on 20<sup>th</sup> of month following end of liability period.

### Quarterly

<u>PLAC</u>	1st quarter, Jan.- Mar. April 25	2nd quarter, Apr.- June July 25	3rd quarter, July- Sept. Oct. 25	4th quarter, Oct.- Dec. Jan. 25
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### DOR Income Tax

Report and make payment of state and county income tax withheld during quarter to the Department of State Revenue, Indianapolis. Regular monthly filers make payment 30 days following end of liability period. If filing status is quarterly then make payment on the last day of month following end of liability period.

### IRS Taxes

Prepare **Form 941 – Employer's Quarterly Federal Tax Return**

### DWD Workmen's Compensation

Workmen's Compensation Quarterly payment (UC1 and UC5) to Department of Workforce Development.

# Calendar 2020/2021

## Annually

### September 2020

\*\*Holidays: Labor Day, September 7, 2020 State Offices Closed\*\*

### October 2020

\*\*Holidays: Columbus Day, October 12, 2020 State Offices Closed\*\*

### November 2020

\*\*General Election Day, November 3, 2020 State Offices Closed\*\*

\*\*Holidays: Veteran's Day, November 11, 2020, Thanksgiving November 26 & 27, 2020 State Offices Closed\*\*

### December 2020

- Reduce appropriations if needed; See the relevant January 24, 2020, April 1, 2020, and April 24, 2020 DLGF memos at <https://www.in.gov/dlgf/2444.htm>. Appropriation reductions in the current year have the effect of increasing fund balances available in the ensuing year
- Board approves year end appropriation transfers, LIRF Transfer, Rainy Day Fund Transfer, and encumbrances.
- Listing of all encumbered items are part of the minutes of the last business meeting of the year and a copy is mailed to Department of Local Government Finance by the last day of January of the succeeding year
- Deadline for certifying names and actual addresses of every library employee to the County Treasurer for the county where the employee works. [\[IC 6-1.1-22-14\]](#)
- Will receive Annual Report forms from the Indiana State Library. And State Board of Accounts announces when Annual Financial Report available in Gateway

\*\*Holidays: December 24, 2020 and December 25, 2020 State Offices Closed\*\*

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## Calendar 2020/2021

### January

- Bookkeeper carries balances forward from previous year for unpaid balances due on contracts or purchase orders. This opens ledger for New Year and prevents negative balances within appropriations
  - The local officers designated as members of the board of finance shall meet for the following reasons:
    - 1) To elect a president and secretary. [IC 5-13-7-6]
    - 2) To receive and review the investment officer's report on investments, which is required under IC 5-13-7-7 and to review the overall investment policy of the library. [IC 5-13-7-7]
    - 3) To designate the newspapers or qualified publications in which the library shall publish notice. [IC 5-3-1-4]
  - **Due January 31:** File Report of Names and Compensation of Officers and Employees (Form 100R). This report is filed in the Gateway.
  - Be sure you have gathered all of the information you need to verify your debt and submit your Annual Financial Report and Annual Report (for ISL) by March 1.
- \*\*Holidays: January 1, 2021 and Martin Luther King Day, January 18, 2021  
State Offices Closed\*\*

### February

- **IC 5-3-1-3.5 Budgets of \$300,000 or more.** Not later than sixty (60) days after the expiration of each calendar year, a political subdivision shall publish an annual report of the receipts and expenditures of the political subdivision during the preceding calendar year. This is a report that can be exported from the Annual Financial Report in the Gateway.
- **Indiana Code 5-1-18-9 (b)** requires all local taxing units to verify to the Department of Local Government Finance ("Department") that the list of indebtedness and related details in the department's database are current and accurate. **These must be annually reviewed and verified by March 1.** The indebtedness report and instructions are located on the Gateway. Even if you have no debt you need to complete the Gateway form to certify there is no debt. For more information go to <https://www.in.gov/dlqf/9106.htm>

### March

- **Due March 1:** File Annual Financial Report, Year End Bank Statement, Year End Outstanding Check List, Year End Investment Statements, Detail of Receipt Activity, Detail of Disbursement Activity, Current Year Salary Ordinance, and Annual Vendor History Report in the Gateway. For more information see: <https://www.in.gov/sboa/4450.htm>
- **Due March 1:** File Annual Report with Library Development Office,

## Calendar 2020/2021

Indiana State Library, 315 W. Ohio Street, Indianapolis, IN 46202. [IC 4-23-7.1-22]

- **Due March 1:** Submit information and data on retiree benefits and expenditures. IC 36-1-8-17.5 This is the Other Post-Employment Benefits report in Gateway; not required of all libraries.

### April

\*\*Holidays Good Friday, April 2, 2021 State Offices Closed\*\*

### May

- **On or before May 15:** In order to be able to collect property taxes for a Library Capital Projects Fund in 2022, the Library Board must;
  - 1) Hold a public hearing on a proposed plan.
  - 2) Pass a resolution to adopt a plan.
  - 3) Submit the plan for approval by the fiscal body.

\*\*Holidays: Primary Election Day 2021 and Memorial Day May 31, 2021 State Offices Closed\*\*

### June

- **June 1:** Deadline for certifying names and addresses of every library employee to the county treasurer for the county where the employee works. [IC 6-1.1-22-14]
- Annual Public Library Budget Workshop will be held early to mid June. This is onsite event and a webinar event.
- Mid-June begin preparation of public library's budget for ensuing year. The DLGF budget calendar issued as a memo earlier in the year. Latest budget calendar is at <https://www.in.gov/dlqf/files/200422%20-%20Van%20Dorp%20Memo%20-%202020%20-%202021%20Budget%20Calendar%20-%20Revised.pdf>

### July

- **July 1:** Last day for fiscal body to adopt a resolution subjecting a library to binding budget review for the 2022 budget. Last day to make Quarterly Report (UC1 and UC5) for second quarter (April, May, June) to Department of Workforce Development, Indianapolis

\*\*Holidays: Check our website for July 4 observance date - State Offices Closed\*\*

### August

- August 2021 New Director Workshop and Director's Refresher Workshop, by invitation or request invite from LDO if not taken within past three years

# Calendar 2020/2021

## September

- Consult DLGF Budget Calendar for publication requirements of proposed library budget. The DLGF calendar is found here <https://www.in.gov/dlgf/files/200422%20-%20Van%20Dorp%20Memo%20-%202020%20-%202021%20Budget%20Calendar%20-%20Revised.pdf>
- **LAST DATE** to file Library Capital Projects plan with the DLGF
- **September 3** is the last day for units with appointed boards, including certain libraries under IC 6-1.1-17-20.3, to submit proposed 2022 budgets, tax rates, and tax levies to county fiscal body or other appropriate fiscal body for binding adoption, as applicable.

\*\*Holidays: Labor Day, September 6, 2021 State Offices Closed\*\*

## October

- **October 11:** Last day to post notice to taxpayers of proposed 2022 budgets and net tax levies and public hearing (Budget Form 3) to Gateway (IC 6-1.1-17-3)
- **October 19:** Last date to file an excessive levy appeals with the Department of Local Government Finance. (IC 6-1.1-18.5-12(b))
- **October 21:** Last possible day for taxing units to hold a public hearing on their 2022 budgets. Public hearing must be held at least ten days before budget is adopted (IC 6-1.1-17-5)

\*\*Holidays: Columbus Day, October 11, 2021 State Offices Closed\*\*

## November

- Event of Library Annual Report and State Board of Accounts Bookkeeping Workshop occurs. Held twice and is available for onsite or online attendance.
- **November 1** for city/town or county fiscal body to review each budget and proposed tax levy and adopt a final budget and tax levy for the library. The fiscal body may reduce or modify but not increase the proposed budget or tax levy. [IC 6-1.1-17-5; -20]
- **November 1** Deadline for all taxing units to adopt 2022 budgets, tax rates, and tax levies (IC 6-1.1-17-5(a))
- **November 4** Last day for units to submit their 2022 budgets, tax rates, and tax levies to DLGF through Gateway

\*\*Holidays: General Election Day, November 2, 2021, Veteran's Day, November 11, 2020, Thanksgiving November 25 & 26, 2021 State Offices Closed\*\*

## December

## Calendar 2020/2021

- Reduce appropriations if needed; See the relevant January 24, 2020, April 1, 2020, and April 24, 2020 DLGF memos at <https://www.in.gov/dlgf/2444.htm>. Appropriation reductions in the current year have the effect of increasing fund balances available in the ensuing year.
- Board approves year end appropriation transfers, LIRF Transfer, Rainy Day Fund Transfer, and encumbrances.
- Listing of all encumbered items are part of the minutes of the last business meeting of the year submitted to Gateway by the last day of January of the succeeding year.
- Deadline for certifying names and actual addresses of every library employee to the County Treasurer for the county where the employee works. **[IC 6-1.1-22.14]**
- Annual Report through the State Library will be made available. State Board of Accounts announces when Annual Financial Report available in Gateway.

**\*\*Holidays: Check our website for holiday observances dates - State Offices Closed\*\***



## Chapter 9

# Employment Practices and 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 7<sup>th</sup> edition* published by Indiana Chamber in 2016 available for loan from Indiana State Library. To purchase the most recent edition go to <https://www.indianachamber.com/pubs/indiana-model-employee-policies/>

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

<https://www.in.gov/dol/index.htm>

##### **Department of Workforce Development**

For Employer Handbook of Unemployment Insurance go to:

[https://www.in.gov/dwd/files/Employer\\_Handbook.pdf](https://www.in.gov/dwd/files/Employer_Handbook.pdf)

##### **Unemployment Insurance Taxes**

General tax questions and employer assistance (800) 891-6499

8:00 AM to 4:30 PM ET Monday-Friday

To find WorkOne Center closest to your location visit online map at:

<https://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

<https://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

<https://www.dol.gov/>

**DOL Topics and Agency Offices:** On the <https://www.dol.gov/> web page, click on *Topics* (wages, health plans and benefits, unemployment insurance, etc). For a listing of offices, click on *Agencies*. This includes:

- **Bureau of Labor Statistics (BLS)**
- **Wage and Hour Division (WHD)**
- **Employment and Training Administration (ETA)**
- **Occupational Safety and Health Administration (OSHA)**
- **Veterans' Employment and Training Service (VETS)**
- **Women's Bureau (WB)**

## **B. Federal Laws Requiring Posting**

Included here are Federal laws required to be posted in the library -Department of Labor

<https://webapps.dol.gov/dolfaq/dolfaqbytopic.asp?topicID=17> .

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 elaws FirstStep Poster Advisor at <https://webapps.dol.gov/elaws/posters.html> or you can consult the State of Indiana website at <https://www.in.gov/dwd/2455.htm> for Required Employer Posters: State Posters and Federal Posters.

## **C. Wage and Hour Division (WHD)**

Wage and Hour Division, part of the Department of Labor, webpage at

<https://www.dol.gov/agencies/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)**

<https://www.dol.gov/general/topic/wages/minimumwage>

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 135 million workers, both full-time and part-time, in the private and public sectors.

The Act covers 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 threshold of \$500,000 in annual dollar volume of business applies to be covered (i.e., the Act does not cover enterprises with less than this amount of business).

In addition, 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 <https://www.dol.gov/general/topic/wages/overtimepay> and <https://webapps.dol.gov/elaws/elg/minwage.htm>

**Employee Polygraph Protection Act -(29 USC 2001)**

<https://www.dol.gov/agencies/whd/posters/employee-polygraph-protection-act>

Each employer shall post and maintain such notice in conspicuous places on its premises where notices to employees are customarily posted” (29 USC 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)**

<https://www.eeoc.gov/>

“Every employer has an obligation to keep posted in conspicuous places upon its premises notices describing the applicable provisions of Titles VII and I (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)**

<https://www.dol.gov/agencies/whd/fmla/index> This 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 in a 12 month period to ‘eligible’ employees for certain family and medical reasons. Please consult the Fact Sheet #28: The Family and Medical Leave Act of 1993 at <https://www.dol.gov/agencies/whd/fact-sheets/28-fmla>.

## **State Laws Requiring Posting**

Some state laws required to be posted in the library through the 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 <https://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)**

<http://iga.in.gov/legislative/laws/2019/ic/titles/022#22-2-2-8>

"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.

The poster for Indiana Minimum Wage Law is found here

[https://www.in.gov/dol/files/Indiana\\_2009\\_Minimum\\_Wage.pdf](https://www.in.gov/dol/files/Indiana_2009_Minimum_Wage.pdf)

### **Worker's Compensation Notice -(Ind. Code Ann. 22-3-2-22)**

<https://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)**

<http://iga.in.gov/legislative/laws/2019/ic/titles/022#22-9-5-25>

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 the Civil Rights Act of 1964. (42 USC SEC. 2000e-10 [Section 711]).

**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](mailto:icrc@crc.in.gov) **Website:**

<https://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)**

<http://iga.in.gov/legislative/laws/2019/ic/titles/022#22-4-17-1>

"(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**

[https://www.in.gov/dol/files/English\\_IOSHA\\_Poster.pdf](https://www.in.gov/dol/files/English_IOSHA_Poster.pdf)

This poster must be displayed prominently in the workplace.

<https://www.dol.gov/general/topic/safety-health> Workplace safety and health

<https://www.in.gov/dol/files/osha3165.pdf>

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## **D. Important Employment Laws**

1 **New Hire Reporting** Pursuant to the federal Work Opportunity Reconciliation Act of 1996, all employees must report “new hires” to the Indiana Department of Workforce Development; see their webpage at <https://www.in-newhire.com>. The report must be filed within twenty (20) days after the hire date and contain the employee’s name, address, and social security number.

2 **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).

3 **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. Please see the legislative updates, legal bulletins, and archived webinars at <https://www.in.gov/library/law.htm>.

4 **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.

5 **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.

6 **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.

7 **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. For more information consult the Indiana State Library e-Verify webpage at <https://www.in.gov/library/e-verify.htm>.

8 **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.

9 **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.

10 **Criminal Background Checks –state** Senate Enrolled Act 410 – Public Law 88 requires libraries to adopt policy regarding conducting criminal background checks for individuals aged 18+ who are: employed or perform volunteer work, or who apply for employment or volunteer services.

## **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 or immoral 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.

## Personnel Policies Checklist

(Possible topics to cover)

For examples of policies and procedures see the Indiana State Personnel Department webpage <https://www.in.gov/spd/2396.htm>.

1. **Employment-At-Will Disclaimer**
2. **Criminal Background Checks**
  - Required for individuals aged 18+ who are:
    - Employed or perform volunteer work, or
    - Who apply for employment or volunteer services
3. **Job Classifications**; full-time and part-time status
4. **Orientation/trial Period**
5. **Equal Employment Opportunity Statement**
6. **Sexual Harassment Policies**
7. **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
8. **Hours of Work, Layoff/Recall**
9. **Military Leave**
10. **Jury Service**
11. **Bereavement Leave**
12. **Attendance Policy**
13. **Vacation**
14. **Holidays**
15. **Personal Days**

16. **Sick Days**
17. **Union-Free Workplace Statement**
18. **Open Door Statement** (do not restrict employees from communicating with members of management other than their immediate supervisors)
19. **Bulletin Boards** — fosters communication between employees
20. **Substance Abuse Policy**
21. **Family and Medical Leave Act Policies**
22. **Smoking** – can prohibit in facility
23. **Dress Code**
24. **References** — prevents employer from releasing references that will cause it to be held liable for defamation
25. **Promotion/Transfer/Job Openings**
26. **Timekeeping Requirements**
27. **Health Insurance, Health Savings Accounts, Disability Benefits Programs, Deferred Compensation, and PERF**
28. **Confidential Information**
29. **Personal Belongings**
30. **Employment of Relatives**
31. **Safety and Health**
32. **Inclement Weather/Emergencies**
33. **Telephone** (for customer satisfaction and for employee's personal calls)
34. **Internet/E-mail**
35. **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 <https://www.irs.gov/pub/irs-pdf/p15b.pdf>. This resource answers many of the questions library directors and staff ask.

Some cases require more research. 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 could allocate an employee clothing allowance in their payroll check.



## Chapter 10

# **E-rate Services at Indiana State Library and the Public Library Internet Consortium**

Federal and state funding for Internet services is available to public libraries and schools in Indiana. The federal funding is from the FCC E-rate 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 E-rate services, a federal program, the ISL hires a broadband vendor/consultant and an E-rate application consultant. The broadband vendor/consultant and E-rate application consultant are selected through state procurement process. The ISL works with the procurement personnel at the Indiana Department of Administration (<https://www.in.gov/idoa/2928.htm>). The public library consultant is part of the team that reviews proposals. In addition, the broadband vendor is also selected with the FCC E-rate 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 two types of technology services eligible for E-rate funding: internet and internal connections. The ISL Consortium supports only internet connectivity and not filing for internal connections. Internet connectivity is known as Category 1 service. Category 1 service no longer requires a technology plan, though the ISL requires technology service responses to be included in the Long Range 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; please contact Library Development Office if you don't know your FSCS number.

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## Timeline for the support services

FCC program defines the E-rate 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 E-rate services.

### I. Planning for the Next Year Begins in Late July

E-rate packets are prepared for all public libraries in Indiana in July. 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 emailed in July includes an email message from the Library Development Office E-rate Coordinator at the Indiana State Library. The letter declares the end of past E-rate year, start of current E-rate 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 E-rate; the forms allow the E-rate 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 join or continue in the consortium

**Timeline for the E-rate year**

Forms and information may also be found on the E-rate page of the Indiana State Library's website <https://www.in.gov/library/erate.htm>

Please consider needs as outlined in the library's long range 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.

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 documents. Even if library completed forms the year before, new ones are completed and copies filed with Indiana State Library for the new E-rate 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 join or continue in the consortium

Signed documents one through three are returned to E-rate consultant in the Library Development Office in mid-October. The libraries retain copies for audit purposes.

4. Letter and data sheet from AdTec

The library assesses broadband capacity for current year and determines if additional service capacity needs to be ordered. The data sheet obtained from AdTec is completed and sent by the end of November to AdTec in Centerville, IN.

5. Request for Services Form

Document five is completed after meeting with broadband consultant, selected through state procurement process; library fills in the data.

6. Tentative timeline for your E-rate Year 2021-2022

Document six is informational with deadlines for submitting the documents.

The tentative dates for planning year 2021-2022 are:

**Timeline for Your E-Rate Year 24  
(July 1, 2021-June 30, 2022)**

<b>10/19/2020</b>	Board Resolution to Join the Indiana State Library Consortium for Public Library Internet Access— <i>Signed document must be received in ISL by this date</i>  Form 479 (CIPA compliance)— <i>Signed document must be received in ISL by this date</i>  Letter of Agency— <i>Signed document must be received in ISL by this date</i>
<b>11/30/2020</b>	Deadline for the AdTec Data Sheet (including budget pages) for current Consortium members. Individual emails with attachment to current Consortium members will be sent out by AdTec in September. <i>Submit completed document to AdTec offices in Centerville and not to Indiana State Library.</i>
<b>1/31/2021</b>	Service Level Checklist Form— <i>Document is handled on or before this date by eRate service provider</i>
<b>12/2021-2/2021</b>	Target window for Form 471 (Description of Services Ordered and Certification Form)—The exact dates are announced by USAC by the New Year.
<b>7/01/2021</b>	Service year begins
<b>7/2021-10/2021</b>	Target window for Form 486 (Receipt of Services Confirmation)
<b>6/30/2022</b>	Service Year ends

## II. Current E-rate 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 E-rate year of non-E-rate 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 E-rate consultant fee.

## III. Closing Out the Previous Year

### Retention Schedule for E-rate 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 10 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.

## Consider Category 2 Application in 2021/2022

Consider applying for Category 2 in the coming year to upgrade your broadband internal connections for broadband connectivity with the library. Support is limited to the internal connections necessary to bring broadband into, and provide it throughout the library; these are broadband connections within the library. It includes maintenance of these connections, as well as services that manage and operate owned or leased broadband internal connections (e.g. managed internal broadband services or managed Wi-Fi). Further details are provided below:

### Eligible Broadband Internal Connections

- Antennas, connectors, and related components used for internal broadband connections
- Cabling
- Caching
- Firewall services and firewall components separate from basic firewall protection provided as a standard component of a vendor's Internet access service
- Racks
- Routers
- Switches
- Uninterruptible Power Supply (UPS)/Battery Backup
- Access points used in a local area network (LAN) or wireless local area network (WLAN) environment (such as wireless access points)
- Wireless controller systems
- Software supporting the components on this list used to distribute high-speed broadband throughout school buildings and libraries (applicants should request software in the same category as the associated service being obtained or installed)

Notes: (1) Functionalities listed above that can be virtualized in the cloud, and equipment that combines eligible functionalities, like routing and switching, are also eligible.

(2) A manufacturer's multi-year warranty for a period up to three years that is provided as an integral part of an eligible component, without a separately identifiable cost, may be included in the cost of the component.

(3) Caching is defined as a method that stores recently accessed information. Caching stores information locally so that the information is accessible more quickly than if transmitted across a network from a distance. A caching service or equipment that provides caching, including servers necessary for the provision of caching, is eligible for funding.

### **Eligible Managed Internal Broadband Services**

- Services provided by a third party for the operation, management, and monitoring of eligible broadband internal connections are eligible managed internal broadband services (e.g., managed Wi-Fi).
- E-rate support is limited to eligible expenses or portions of expenses that directly support and are necessary for the broadband connectivity within schools and libraries. Eligible expenses include the management and operation of the LAN/WLAN, including installation, activation and initial configuration of eligible components, and on-site training on the use of eligible equipment.
- In some eligible managed internal broadband services models, the third-party manager owns and installs the equipment and school and library applicants lease the equipment as part of the managed services contract. In other cases, the school or library may own the equipment, but have a third party manage it for them.

### **Basic Maintenance of Eligible Broadband Internal Connections**

E-rate support is available for basic maintenance and technical support appropriate to maintain reliable operation when provided for eligible broadband internal connections.

The following basic maintenance services are eligible:

- Repair and upkeep of eligible hardware
- Wire and cable maintenance
- Configuration changes
- Basic technical support including online and telephone-based technical support
- Software upgrades and patches including bug fixes and security patches

Take the future into consideration to plan and prepare your application when thinking about Category 2 applications. ENA and AdTec are available to consult you.

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 restricting minors’ access to materials harmful to them.
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 Hayley Trefun 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 <https://www.ena.com/myena/>. Call customer support to obtain username and password.

Universal Service Administrative Corporation <https://www.usac.org/e-rate/>

- To receive notice of weekly funding commitments from E-rate 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 Office of Public Policy and Advocacy  
<http://www.ala.org/aboutala/offices/ppa>



## Chapter 11

# Department of Local Government Finance (DLGF) and the Budgeting Process

### Department of Local Government Finance

Budget Field Representatives

Map with contact information: [https://www.in.gov/dlgf/files/Budget\\_Field\\_Reps.pdf](https://www.in.gov/dlgf/files/Budget_Field_Reps.pdf)  
<https://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. A review doesn't give them official oversight or a final say on a recommendation unless they exceed the growth quotient.

The budget may be *adopted* by County or City/Town council if library exceeds growth quotient. Otherwise it is adopted by the library's governing body, the library board.

- As of July 1, 2020 with SEA 410 – P.L.252-2019, the council of the city, town, or

county (whichever applies according to IC 6-1.1-17-20.3(c)) may choose to adopt a resolution requiring the library to submit its proposed budget and property tax levy to said fiscal body for binding review and approval, ONLY IF on December 31, as reported in the public library's annual report under IC 5-11-1-4, the cash balance of all funds of the public library derived from tax revenue is greater than one hundred fifty percent (150%) of the public library's certified budget for the ensuing year. This is only in effect while that cash balance is 150% or greater.

This is voluntary on the part of the fiscal body; they may choose to not adopt such a resolution if they have no interest in taking on the additional responsibilities. If they do choose to adopt this resolution, they must notify libraries at least 30 days in advance. DLGF has an excellent memo explaining this new law here: <https://www.in.gov/dlgf/files/pdf/200619%20-%20Bennett%20Memo%20-%20New%20Legislation%20Concerning%20Public%20Libraries.pdf>

- 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; please check with your local DLGF representative:

[https://www.in.gov/dlgf/files/Budget\\_Field\\_Reps.pdf](https://www.in.gov/dlgf/files/Budget_Field_Reps.pdf)

The Budget Workshop for Public Libraries 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 deadline to adopt budget through Gateway for the year 2021 is November 2, 2020.** You have 7 days to submit paperwork to DLGF through Gateway.

For up to date information, see 2020/2021 Budget Calendar of the Department of Local Government Finance website <https://www.in.gov/dlgf/files/200422%20-%20Van%20Dorp%20Memo%20-%202020%20-%202021%20Budget%20Calendar%20-%20Revised.pdf>. All libraries are encouraged to attend the budget workshop, usually held in June. In past years the budget calendar followed the general timeframe as follows:

### **2020 - 2021 Budget Calendar**

#### **May 15**

Last day for library boards to hold a public hearing on a Library Capital Projects Fund plan, adopt a LCPF plan, and submit the plan to the appropriate fiscal body.  
IC 36-12-12-3

#### **June**

Budget Workshops, usually held 2 times via webinar and in person. These workshops are presented by the State Board of Accounts, the Department of Local Government Finance, and the Indiana State Library.

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.

The Department of Local Government Finance posts reports, such as the estimated max levy report under County-specific information on their website at <https://www.in.gov/dlgf/2339.htm>. Often you do not have this information available and must estimate using previous year maximum permissible levy listed on the 1782 notice. At the end of June, State Budget Agency (SBA) provides Maximum Levy Growth Quotient (MLGQ) to civil taxing units.

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.

**July 1**

Last day for fiscal body (county, city, or town) to adopt a resolution to make a library a binding unit. Once adopted, the resolution remains in effect until rescinded or until library no longer meets criteria.

**July 31**

DLGF provides estimate of circuit breakers.

**August**

At the first meeting of the county fiscal body in August, the county fiscal body shall review the estimated levy limits and estimated circuit breaker impacts provided by the DLGF (IC 6-1.1-17-3.6(a)).

The county fiscal body may request that representatives from the taxing units in the county attend the meeting (IC 6-1.1-17-3.6(b))

The county fiscal body must allow a representative of a taxing unit to comment on the taxing unit's proposed budgets, levies, and tax rates. (IC 6-1.1-17-3.6 (c)).

**September 1**

Last day for units, including certain libraries under IC 6-1.1-17-20.3, to submit proposed 2021 budgets, tax rates, and tax levies (as applicable) to county fiscal body or other appropriate fiscal body for review and recommendation or binding adoption, as applicable. (IC 6-1.1-17-20, IC 6-1.1-17-20.3)

**September**

Submit notice to taxpayers of proposed 2021 budgets and tax levies and notice to taxpayers of public hearing (Budget Form 3) to the Department through Gateway. (At least ten days before the public hearing, but no later October 2.) IC 6-1.1-17-3

**October 12**

Last day to post notice to taxpayers (Budget Form 3) of proposed 2021 budgets and net tax levies and public hearing to Gateway (at least 10 days before hearing).

**October 19**

Last date for units to file excessive levy appeals for annexation/consolidation/extension of services, three (3) year growth factor, emergency levy appeal and correction of error with DLGF. IC 6-1.1-18.5-12; IC 6-1.1-18.5-

13(1), (3); IC 6-1.1-18.5-14.

**October 22**

Last day for taxing units to hold a public hearing on the 2021 budget IC 6-1.1-17-5. Must be at least 10 days before adoption meeting.

**October 29**

Last possible day ten (10) or more taxpayers may object to a 2021 budget, tax rate, or tax levy of a political subdivision (must occur not more than seven (7) days after the hearing). THIS DEADLINE IS SUBJECT TO THE SCHEDULING OF THE ADOPTION HEARING. IC 6-1.1-17-5(b)

**November 2**

Deadline for all taxing units to adopt 2021 budgets, rates, and levies IC 6-1.1-17-5(a).

If a taxpayer objection petition is filed, the appropriate fiscal body shall adopt with its 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 2021 budget. IC 6-1.1-17-5(a). Note that November 2 is the last date for adoption of the budget.

**November 9**

Last day to submit 2021 adopted budgets, tax rates and tax levies to DLGF through Gateway (5 days after required adoption deadline).

**December 31**

Deadline for DLGF to certify 2021 budgets, tax rates, and tax levies unless a taxing unit in a county is issuing debt after December 1 in the year preceding the budget year or intends to file a shortfall appeal. See January 15.

**January 1, 2021**

Date by which annexation must become effective so that reorganized unit can seek adjusted max levy for 2021.

Deadline for establishing new taxing units seeking a maximum levy for 2021. IC 6-1.1-18.5-7

**January 15, 2021**

Deadline for DLGF to certify budgets, tax rates, and tax levies if a taxing unit in a county is issuing debt after December 1 in the year preceding the budget year. See December 31.

**January 31, 2021**

Units file 2020 Annual Salary Report (100R) with SBOA. The 100R must be filed before the Department can approve a 2020 budget or additional appropriations for a taxing unit. IC 5-11-13-1

**February 28, 2021**

Units file 2020 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 for each political subdivision to submit annual report to the Department in Debt Management of any outstanding bonds or leases (as of January 1). IC 5-1-18-9.

Last day for political subdivisions to report to the Department information and data on its retiree benefits and expenditures. IC 36-1-8-17.5

## **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 with your Department of Local Government Finance representative at your July/August meeting

### ***Budget Advertisement Form 3 on the Gateway***

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 certified 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.

### **Resources:**

**Budget Calendar** <https://www.in.gov/dlhf/files/200422%20-%20Van%20Dorp%20Memo%20-%202020%20-%202021%20Budget%20Calendar%20-%20Revised.pdf>

**Budget Field Representatives** [https://www.in.gov/dlhf/files/Budget\\_Field\\_Reps.pdf](https://www.in.gov/dlhf/files/Budget_Field_Reps.pdf)

### **Online Advertisement**

Online advertisement of the Notice to Taxpayers is to be submitted at least 10 days before the public hearing but no later than October 12, 2020. Online advertisement will be completed by submitting the Form 3 from the Budget Form Menu in Gateway. Once submitted, notices will be available online at <https://www.budgetnotices.in.gov/> or by calling (888)739-9826.

**SEE APPENDIX for Financial Glossary of Terms to Know**

This form is an example that would be filled out and submitted online through the Gateway.

Budget Form 4-B  
 Prescribed by the Department of Local Government Finance  
 Approved by the State Board of Accounts

**Budget Estimate- Financial Statement-Proposed Tax Rate**

**Taxing Unit:** 9983 - DLGF City 1  
**Fund Name:** 0101 - GENERAL  
**County:** 95 - Gateway1 County  
**Year:** 2021

July to December - 2020	
<b>Cash Balance and Revenues</b>	
1. June 30th Cash Balance	\$0
2. Property Taxes To be Collected	\$0
3. Miscellaneous Revenue	\$0
<b>4. Total Cash and Revenues</b>	<b>\$0</b>
<b>Expenses</b>	
5. Necessary Expenditures	\$0
6. Additional Appropriations	\$0
7. Outstanding Temporary Loans and Transfers	
7a). Transfers Out and Outstanding Temporary Loans	\$0
7b). Reserved	0
7c). School Transfers	
<b>8. Total Expenses required</b>	<b>\$0</b>
<b>9. Estimated December 31st 2020 Cash Balance (Line 4 - 8)</b>	<b>\$0</b>

Budget Year - 2021		
Revenues	Advised Amount	Adopted Amount
10. Reserved for DLGF Application of Levy Excess		
11. Property Tax Levy		
12. Property Tax Cap Impact		
13. Miscellaneous	\$0	\$0
<b>14. Budget Year Total Revenue</b>		<b>\$0</b>
Expenses	Advised Amount	Adopted Amount
15. 2021 Budget Estimate	\$0	0.0000
16. Outstanding Temporary Loans and Transfers	\$0	
16a). Transfers Out and Outstanding Temporary Loans	\$0	0.0000
16b). Reserved	0	0
16c). School Transfers		

<b>17. Total 2021 Expenses</b>		0.0000
<b>18. Operating Balance - Estimated December 31st 2021 Cash Balance (Line 9 + 14 - 17)</b>	\$0	0.0000

	<i>Adopted Amount</i>	<i>Adopted Amount</i>
Net Assessed Value		
Property Tax Rate		

### Form Signature

**NAME**

**TITLE**

**SIGNATURE/PIN**

**DATE**

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.

## Budget Form 2 - Estimate of Miscellaneous Revenue

Year: 2021 County: Gateway1 Unit: 9983 - Dlgf City 1

Fund	Revenue Code	Revenue Name	July 1 - December 31, 2020	January 1 - December 31, 2021
0061 - RAINY DAY	R105	Local Income Tax (LIT) for Levy Freeze	\$0	\$0
<b>RAINY DAY</b>			<b>\$0</b>	<b>\$0</b>
0101 - GENERAL	R105	Local Income Tax (LIT) for Levy Freeze	\$0	\$0
0101 - GENERAL	R111	Cigarette Tax Distribution	\$0	\$0
0101 - GENERAL	R114	Vehicle/Aircraft Excise Tax Distribution	\$0	\$0
0101 - GENERAL	R135	Commercial Vehicle Excise Tax Distribution (CVET)	\$0	\$0
0101 - GENERAL	R136	ABC Gallonage Tax Distribution	\$0	\$0
0101 - GENERAL	R138	Local Income Tax (LIT) Certified Shares	\$0	\$0
<b>GENERAL</b>			<b>\$0</b>	<b>\$0</b>
0706 - LOCAL ROAD & STREET	R113	Local Road and Street Distribution	\$0	\$0
<b>LOCAL ROAD &amp; STREET</b>			<b>\$0</b>	<b>\$0</b>
0708 - MOTOR VEHICLE HIGHWAY	R116	Motor Vehicle Highway Distribution	\$0	\$0
<b>MOTOR VEHICLE HIGHWAY</b>			<b>\$0</b>	<b>\$0</b>
2379 - CUMULATIVE CAPITAL IMP (CIG TAX)	R111	Cigarette Tax Distribution	\$0	\$0
<b>CUMULATIVE CAPITAL IMP (CIG TAX)</b>			<b>\$0</b>	<b>\$0</b>
2402 - ECONOMIC DEVELOPMENT	R140	Local Income Tax (LIT) for Economic Development	\$0	\$0
<b>ECONOMIC DEVELOPMENT</b>			<b>\$0</b>	<b>\$0</b>
<b>9983 - DLGF City 1 Total</b>			<b>\$0</b>	<b>\$0</b>

## **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 February 28. 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 <https://gateway.ifionline.org/userguides/dmguide>

## **Form 3: BUDGET NOTICE TO TAXPAYERS**

The library board as required by law pursuant to IC 6-1.1-17-3 shall submit this information to the department's (Department of Local Government Finance) computer gateway at least ten (10) days before the public hearing required by this subsection in the manner prescribed by the department. The following is submitted:

- (1) The estimated budget.
- (2) The estimated maximum permissible levy, as provided by the department under [IC 6-1.1-18.5-24](#).
- (3) The current and proposed tax levies of each fund.
- (4) The percentage change between the current and proposed tax levies of each fund.
- (5) The amount by which the political subdivision's distribution of property taxes may be reduced by credits granted under [IC 6-1.1-20.6](#), as estimated by the department of local government finance under [IC 6-1.1-20.6-11](#).
- (6) The amounts of excessive levy appeals to be requested.
- (7) The time and place at which the political subdivision or appropriate fiscal body will hold a public hearing on the items described in subdivisions (1) through (6).
- (8) The time and place at which the political subdivision or appropriate fiscal body will meet to fix the budget, tax rate, and level under section 5.

The political subdivision or appropriate fiscal body shall submit this information to the department's computer gateway at least ten (10) days before the public hearing required by this subsection in the manner prescribed by the department. The department shall make this information available to taxpayers, at least ten (10) days before the public hearing, through its computer gateway and provide a telephone number through which taxpayers may request mailed copies of a political subdivision's information under this subsection. The department's computer gateway must allow a taxpayer to search for the information under this subsection by the taxpayer's address.

Your budget estimate is broken down into different sections. Here are some ideas for how to build it.

## **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; Updated 6-2020

<b>SUGGESTED BUDGET CLASSIFICATIONS FOR POSTING TO LIBRARY FINANCIAL LEDGER</b>			
IF YOU USE A DIFFERENT SYSTEM, THAT IS FINE. BEING CONSISTENT IS IMPORTANT TO REMEMBER.			
			Revised 12-29-2015
		Employee Benefits (continued)	
<b>1. Personal Services</b>		Tuition Reimbursement	1.26
		Other Personal Services	1.3
Salary and Wages	1.1	Substitutes	1.31
Salary of Librarian	1.11	Other Compensation	1.32
Salary of Assistants	1.12		
Clerical Wages	1.13	<b>2. Supplies</b>	
Wages of Janitors	1.14	Office Supplies	2.1
College Clerks	1.15	Official Records	2.11
Pages	1.16	Stationary & Supplies	2.12
Employee Benefits	1.2	Other Office Supplies	2.13
Employer's Share-FICA & Medicare	1.21	Operating Supplies	2.2
Unemployment Compensation	1.22	Cleaning & Sanitation Supplies	2.21
Employer's Contribution-PERF	1.23	Fuel, Oil, & Lubricants	2.22
Employer's Contribution-Group. Insurance	1.24	Other Operating Supplies	2.23

Other Repair & Maintenance Supplies	2.34	Professional Meetings	3.24
Other Supplies	2.4	Freight & Express	3.25
		Printing and Advertising	3.3
<b>3. Other Services and Charges</b>		Advertising & Public Notices	3.31
		Printing, Other than Office	3.32
Professional Services	3.1	Insurance	3.4
Consulting Services	3.11	Official Bonds	3.41
Engineering & Architectural	3.12	Other Insurance	3.42
Legal Services	3.13	Utility Services	3.5
Other Professional Services	3.14	Gas	3.51
Databases Subscriptions, public	3.145	Electricity	3.52
eBooks	3.146	Water	3.53
Evergreen Membership	3.147	Waste Disposal Services	3.54
		Fire Protection	3.55
Communications and Transportation	3.2	Repairs and Maintenance	3.6
Telephone	3.21	Repair & Maintenance Bldg & Structures	3.61
Postage	3.22	Repair Equipment	3.62
Traveling Expense	3.23		

Rentals	3.7	<b>4. Capital Outlays</b>	
Rental Real Estate	3.71	Land	4.1
Rental Equipment	3.72	Buildings	4.2
Debt Service	3.8	Improvements Other Than Buildings	4.3
Payment of Bonds	3.81	Furniture and Equipment	4.4
Interest - Bonds	3.82	Adult Books	4.51
Other	3.9	Children's Books	4.52
Dues and Membership	3.91	Young Adult Books	4.53
Interest on Temporary Loans	3.92	Reference	4.54
Transfer from Construction Fund	3.927	Reference Reserve	4.55
Taxes and Assessments	3.93	Periodicals and Newspapers	4.6
Transfer to LIRF	3.94	Nonprinted Materials	4.7
		Educational Video	4.71
		Adult Entertainment Video	4.72
		Children's Entertainment Video	4.73
		DVD	4.74
		Compact Discs (Audio)	4.75

Nonprinted Materials continued		<b>5. Other Financing Uses</b>	
Talking Books	4.76	Interfund Transfers	5.1
Music Cassettes-Adult	4.77	Transfer to Operating Fund	5.11
Books/Cassettes-Children	4.78	Transfer to LIRF	5.12
Nonprint Materials-Other	4.8	Transfer to Gift Fund	5.13
Microforms	4.81	Transfer to Building Fund	5.14
Art Prints and Posters	4.82	Transfer to Bond and Interest	5.16
Realia	4.83	Transfer to Excess Levy	5.17
Computer Software-Administration	4.84	<b>6. Non Budgeted Item</b>	
Computer Software-Public	4.85	Temporary Loans	6.1
CD Rom Computer Disc	4.86	Bank Loan Principal	6.11
Park Pass for DNR	4.9	Temporary Loan from Operating Fund	6.12
		Temporary Loan from LIRF	6.13
		Temporary Loan from Gift Fund	6.14
		Temporary Loan from Other Fund	6.15
		Purchase of Investments	6.2
		Other	6.3

<p>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.</p>			

## Alphabetical Listing of Suggested Classification Numbers

Acid Free boxes	2.13	AV carts	4.4
Acid Free paper	2.13	Awnings	4.4
Adapters	4.4	Bank deposit box rental	3.72
Adding machine	4.4	Barcode labels	2.4
Adding machine paper	2.13	Barcode reader	4.4
Addressing machine	4.4	Baskets (desk-metal)	2.13
Adhesive tape	2.13	Baskets, Waste	4.4
Advertising	3.31	Batteries	2.23
Air conditioner (window or central)	4.4	Benches	4.4
Air conditioning from utility	3.52	Bills (statements)	2.12
Air filter	2.31	Binders (loose-leaf)	2.13
Airborne Express Service	3.23	Binding (Books, etc.)	2.4
Airline fares	3.23	Binding (magazines & newspapers)	2.4
Anti-freeze	2.22	Binding supplies	2.4
Application cards	2.12	Blackboards	4.4
Art gum	2.13	Blades (X-Acto, knife, scalpel)	2.23
Art prints	4.82	Bleach	2.21
Art supplies	2.4	Blinds	4.4
Assessments	3.14	Blotter holders	2.13
Association membership dues	3.91	Blotters	2.13
Atlas stand	4.4	Blowers, Built in	4.4
Atlases	4.54	Blueprint cabinets	4.4
Attorney's fees	3.13	Blueprint copies	3.14
Audiocassette Duplicator	4.4	Boiler insurance	3.42
Audiocassette Player	4.4	Boilers	4.4
Audiovisual equipment	4.77	Bolts	2.33
Automobile lease or rental	3.72	Bonds (debt payments)	3.81
Automobile repairs	3.62	Book cards	2.4
Automobiles	4.4	Book charger	4.4

Book drop box	4.4	Box (safe deposit) rental, Bank	3.72
Book holders	4.4	Boxes, pamphlet	2.4
Book Jackets	2.4	Brass Polish	2.21
Book lacquer	2.4	Brooms	2.23
Book pockets	2.4	Brushes, Paint (maintenance)	2.32
Book processing (commercial)	3.14	Brushes, Paint (programming)	2.4
Book racks	4.4	Brushes, Typewriter	2.13
Book repair	3.14	Buckets	2.21
Book repair press	4.4	Budget forms	2.11
Book repair tape	2.4	Building material	2.31
Book rests	4.4	Buildings	4.2
Book return	4.4	Bulbs, electric light	2.23
Book security system	4.4	Bulletin board	4.4
Book shellac	2.4	Bus fares	3.23
Book trucks	4.4	Button Maker	4.4
Bookcases	4.4	Button maker buttons	2.4
Bookends	4.4	Cabinets, Medicine	4.4
Bookmobiles	4.4	Cabinets, Wall	4.4
Bookplates	2.4	Cables, Computer	4.4
Books on tape	4.76	Calculators	4.4
Books, Adult	4.51	Calendars, Desk	2.13
Books, Children's	4.52	Cameras	4.4
Books, Record	2.13	Canopies	4.4
Books, Reference	4.54	Cans, Garbage	4.4
Books, Reference Reserve	4.55	Carbon paper	2.13
Books, Registration	2.13	Card catalog cabinets	4.4
Books, Scrap	2.4	Card daters	2.4
Books, Young Adult	4.53	Card sorters	2.4
Borrowers' cards	2.4	Card trays	4.4
Borrowers' registers	2.4	Cardboard	2.4
Box (rental) Post office	3.72	Cards, Application	2.4

Cards, Book	2.4	Chairs	4.4
Cards, Borrowers'	2.4	Chalk, Blackboard	2.4
Cards, Date	2.4	Charts	2.4
Cards, Guide	2.4	Check blanks	2.11
Cards, Identification	2.4	Cheesecloth	2.21
Cards, Index	2.13	Chinaware	4.4
Cards, Periodical record	2.4	Chisels	2.33
Cards, Reserve	2.4	Christmas decorations	2.4
Cards, Shelflist	2.4	Christmas trees, Artificial	2.4
Carpet sweepers	4.4	Christmas trees, Fresh	2.4
Carpets	4.4	Circulation statistics forms and books	2.4
Cases, Book	4.4	Claim blanks	2.11
Cases, Show	4.4	Cleaners (all kinds)	2.21
Cash boxes	4.4	Cleaning carpet service	3.61
Cassette boxes	2.4	Cleaning service	3.61
Cassette cases	4.4	Clipboards	2.13
Cassettes, Audio (blank)	2.4	Clipping service	3.14
Cassettes, Audio (music, adult)	4.77	Clips, Paper	2.13
Catalog cards (blank)	2.4	Clocks	4.4
Catalog cards (Commercially printed)	2.4	Clothes hangers	4.4
CD players	4.4	Clothes lockers	4.4
CD ROM cases	4.4	Clothes trees	4.4
CD ROM hardware	4.4	Cloths, Dust	2.21
CD ROM software	4.87	Coffee urn or pot	4.4
CD ROM tower	4.4	Collating machine	4.4
CD-ROM lease	3.72	Compact Disc equipment	4.4
CD's-music	4.75	Compact Disc lease	3.72
Cement	2.31	Compact Disc software	4.87
Cement, Rubber	2.13	Computer cables	4.4
Certificates (summer reading)	2.4	Computer CPU	4.4
Chair tips or glides	2.33	Computer disk cases	4.4

Computer disks (blank)	2.13	Consultant fees	3.11
Computer dust cover	2.13	Contractual agreement for library service	3.14
Computer equipment locks	4.4	Cooking utensils	4.4
Computer hard drive security	4.4	Coolers, Water	4.4
Computer hardware lease	3.72	Copying machine	4.4
Computer keyboard	4.4	Copying machine rental	3.72
Computer line charges	3.21	Cord, Picture	2.33
Computer maintenance agreement	3.61	Cords, Electric	2.4
Computer monitor	4.4	Cords, Window sash	2.33
Computer mouse	4.4	Cork Board	4.4
Computer mousepad	2.13	Correction fluid	2.13
Computer printer ink cartridges	2.13	Couches	4.4
Computer printer paper	2.13	Crayons	2.4
Computer printers	4.4	Cupboards	4.4
Computer repairs	3.62	Cups, Glass	4.4
Computer scanner	4.4	Cups, Paper	2.4
Computer security drive locks	4.4	Curtain rods and poles	4.4
Computer software license fees	3.14	Curtains	4.4
Computer software upgrades	4.84	Cutlery	4.4
Computer software-Administration	4.84	Daily record slips	2.11
Computer software-Public	4.85	Data projector	4.4
Computer supplies	2.13	Data switches	4.4
Computer support fees	3.11	Database Equipment	4.4
Computer terminals	4.4	Database subscriptions. public	3.145
Computer toner cartridges	2.13	Date cards	2.4
Computer training (workshops)	3.24	Date holders	2.4
Computer training on-site	3.11	Date slips	2.4
Computer upgrade	4.4	Dating stamps	2.4
Computer workstations	4.4	Delivery service	3.25
Computerized payroll service	3.13	Delivery van lease or rental	3.72
Conduit	2.31	Deodorizers	2.21

Deposit box rental (banks)	3.72	eBooks	3.146
Desk lamps	4.4	Electric carts (wheelchair)	4.4
Desk organizers	2.13	Electric current	3.52
Desk pads	2.13	Electric fans	4.4
Desks	4.4	Electric lamps (desk, floor, table)	4.4
Dictating machines	4.4	Electric light bulbs	2.34
Digital camera	4.4	Electric motors (repair part)	2.34
Dishes, China	4.4	Electric pencil sharpeners	4.4
Dishes, Paper	2.4	Electric staplers	4.4
Door knobs	2.31	Electrician	3.61
Door mats	4.4	Electricity	3.52
Door stops	2.31	Electronic database service	3.14
Drafting equipment	4.4	Electronic security system	4.4
Drafting supplies	2.13	Electronic tool kit	2.34
Draperies	4.4	Embossing stamps	4.4
Drawing paper	2.4	Employer's portion of employee insurance	1.24
Drills	4.4	Envelopes, Bubble	2.12
Drinking cups, paper	2.4	Envelopes, Clipping	2.12
Drinking fountains	4.4	Envelopes, Mailing	2.12
Dry cleaning	3.61	Envelopes, Picture	2.12
Dry markers	2.13	Equipment, Fixed	3.61
Due Date machines	4.4	Equipment, Office	4.4
Due Date tape	2.4	Erasers	2.13
Dues (state and national)	3.91	Evergreen Membership	3.147
Duplicating equipment	4.4	Express	3.25
Duplicating materials	2.13	Extension cord	2.34
Dust cloths	2.21	Extinguisher (fire) refills	2.23
Dust pans	2.21	Extinguishers, Fire	4.4
DVD	4.74	Fabric Boards	4.4
DVD Players	4.4	Fans, Electric	4.4
Easels	4.4	Fax machine	4.4

Fax switching device	4.4	Fluorescent bulbs	2.34
Federal Express Service	3.25	Fluorescent fixtures	4.4
Fees, Professional	3.14	Fly spray	2.23
Fertilizer	2.31	Fly swatters	2.23
File folders	2.13	Folders (file and manuscript)	2.13
Filing cabinets	4.4	Folding chairs	4.4
Film cases	2.4	Folding machines	4.4
Film developing	3.14	Folding tables	4.4
Financial record forms	2.11	Forks (cutlery)	4.4
Fine slips	2.4	Form, Legal	2.11
Fines/Fees	3.95	Freight (other)	3.25
Fire extinguishers	4.4	Fuel (gasoline)	2.22
Fire extinguishers refills	2.23	Fuel oil	2.22
Fire insurance	3.42	Furnaces	4.4
Fire proof safe	4.4	Furniture polish	2.21
Flags (bunting and decoration)	4.4	Furniture upholstery	3.14
Flannel board	4.4	Fuses	2.34
Flannel board characters	2.4	Garbage can	4.4
Flashlight	4.4	Garbage collection	3.54
Flashlight batteries	2.34	Garden equipment	4.4
Flashlight bulbs	2.34	Garden supplies	2.23
Flip chart paper	2.13	Gas from utility	3.51
Flip charts	4.4	Gasoline	2.22
Floodlights	4.4	Generator	4.4
Floor polishers	4.4	Generator repair	3.62
Floor wax	2.21	Glare filters	2.13
Florist's supplies	2.4	Glass, Window	2.33
Flower pots (landscape)	2.34	Glasses, Magnifying	2.4
Flowers (landscape)	2.34	Glides, Chair	2.33
Flue cleaners	2.23	Globes for lights	2.33
Fluid, Correction	2.13	Glue	2.13

Grass Seed	2.31	Ink, marking	2.13
Gravel	2.31	Ink, Mimeograph	2.13
Grease, Lubricating	2.22	Insecticides	2.34
Guide cards	2.13	Insurance	3.42
Hall mats	4.4	Intercoms	4.4
Hammers	4.4	Interest on loans	3.92
Hangers, Clothes	4.4	Interlibrary loan fees	3.14
Hardware lease, Computer	3.72	Internet provider	3.21
Hardware, Computer	4.4	Irons, Electric	4.4
Hatchets	4.4	Janitor supplies	2.21
Hauling	3.14	Jewel Cases, Compact Disc	2.4
Headphones	4.4	Jiffy bags	2.4
Heat from utility	3.52	Keyboard	4.4
Heat tape	2.34	Keyboard drawer	4.4
Highlighters	2.13	Keys	2.34
Hinges	2.31	Knives	4.4
Holdings, Label	2.4	Label holders	2.13
Holdings, Pen	2.13	Labels	2.13
Hose racks	4.4	Lacquer	2.32
Hose, Garden	4.4	Lacquer thinner	2.32
Hot plate	4.4	Lacquer, Book	2.4
Hotel and motel charges on trips	3.23	Ladders	4.4
Identification cards	2.4	Laminate cutters/trimmers	4.4
Implements, Agricultural and garden	4.4	Laminating supplies	2.4
Index cards	2.13	Laminator	4.4
Index tabs	2.13	Lamp globes	2.33
INfoExpress	3.25	Lamp shades	2.33
Ink	2.13	Lamps (floor, table)	4.4
Ink eradicator	2.13	Lamps, Desk	4.4
Ink jet cartridges	2.13	Land (real estate)	4.1
Ink pads	2.13	Landscaping on contract	3.14

Laptop Computer	4.4	Meetings	3.24
Laser printer cartridges	2.13	Memberships (Institutional only)	3.91
Laundry service	3.14	Mending supplies	2.4
Lawn mower parts	2.33	Metal polish	2.21
Lawn mowers	4.4	Microfiche readers and/or printers	4.4
Leather upholstery	3.14	Microfilm readers and/or printers	4.4
Ledger sheets	2.11	Microfilming	3.14
Legal fees	3.13	Microforms	4.81
Legal notices	3.31	Microforms, equipment	4.4
Library cards	2.4	Microphone	4.4
Library Improvement Reserve Fund	3.94	Microphone for computer	4.4
Library supplies	2.4	Microwave	4.4
Lighting fixtures	4.4	Mileage on trips	3.23
Lime for fertilizing	2.31	Mirrors	4.4
Line charges	3.21	Modem	4.4
Linen service	3.14	Moisteners	2.13
Locks	2.31	Monitors	4.4
Lodging on trips	3.23	Mop heads, sticks	2.21
Lubricating grease or oil for motor vehicles	2.22	Motel charges	3.23
Lumber (rough and finished)	2.31	Motor vehicle tires	2.33
Machine service contracts	3.61	Motor vehicles	4.4
Machines, adding and calculators	4.4	Motor vehicles, repairs	3.62
Magazine binders and holders	2.4	Mounting paper	2.4
Magazine racks	4.4	Mouse and rat traps	2.31
Magazine subscriptions	4.6	Mouse pad	2.4
Mailing wrappers and jiffy bags	2.13	Mouse tray	4.4
Marker boards	4.4	Mouse, Computer	4.4
Material	2.31	Mowers, Lawn	4.4
Mats, Door	4.4	Mulch	2.31
Meals on trips	3.23	Newspapers	4.6
Medicare Tax (Employer portion)	1.21	Notary fees	3.14

Notebooks	2.13	Paper fasteners	2.13
Nuts and bolts	2.31	Paper punch	2.13
OASI-Employer's share	1.21	Paper shredder	4.4
OCLC First Search	3.14	Paper towels	2.21
Office equipment	4.4	Paper, Adding Machine	2.13
Office signs	2.13	Paper, Carbon	2.13
Office supplies	2.12/2.13	Paper, Mounting	2.4
Official records	2.11	Paper, Poster	2.4
Oil (Automobile)	2.22	Paper, Sand	2.31
On-line database charges	3.145	Paper, Toilet	2.21
Opaque projector	4.4	Paper, Transfer	2.13
Order cards	2.4	Paper, Typewriter	2.13
Overhead projector	4.4	Paper, Waxed	2.4
Overhead transparency film	2.13	Paper, Wrapping	2.4
Padlocks	4.4	Paper, Writing	2.13
Pads, Calendar	2.13	Paper-cutting machines	4.4
Pads, Mimeograph	2.13	Paper-weights	2.13
Pads, Scratch	2.13	Paste brushes for programs	2.4
Pads, Stamp	2.13	Paste brushes for wallpaper	2.31
Pails	2.21	Paste for children's programs	2.4
Paint brushes (maintenance)	2.32	Paste, Wallpaper	2.31
Paint removers	2.32	Patron counter	4.4
Painting (building) service	3.61	Pencil date holder	2.13
Paints	2.32	Pencil sharpeners	2.13
Pamphlet binders	2.4	Pencils	2.13
Pamphlet boxes	2.4	Penholders	2.13
Pamphlets	4.6	Pens	2.13
Pans, Dust	2.21	Pensions (employer's share)	1.23
Paper (blank)	2.13	Periodical racks	4.4
Paper bags	2.4	Periodical record cards	2.4
Paper clips	2.13	Periodicals and magazines	4.6

Phonograph record holders	2.4	Poster Board	2.4
Phonograph records	4.74	Pots (coffee and tea)	4.4
Photocopies	3.32	Pots, Flower (programming)	2.4
Photocopying equipment (rental)	3.62	Power surge strips	4.4
Photographic service	3.14	Presses, Book repair	4.4
Photographs	3.14	Printer paper	2.13
Photostatting	3.14	Printer ribbons	2.13
Piano	4.4	Printer stand	4.4
Piano stools	4.4	Printers, Computer	4.4
Picture envelopes	2.4	Printing (other than office supplies)	3.32
Picture frames	4.4	Processing, Books (professional)	3.14
Picture wire	2.4	Professional meeting	3.24
Pictures	4.82	Projectors	4.4
Pins, Household	2.4	Publication of notices	3.31
Plant spray	2.31	Punches, Paper	2.13
Plants, Garden	2.4	Puppets	2.4
Plaster	2.31	Purchase order forms	2.11
Plaster molds	2.4	Putty	2.31
Plastic book jackets	2.4	Putty, Molding	2.4
Plastic trash bags	2.21	Racks, Clothes	4.4
Pliers	4.4	Racks, Magazine	4.4
Plugs and cords, Electric	2.4	Racks, Towel	4.4
Plumber	3.61	Radio parts	2.33
Plumbing repairs (done in-house)	2.33	Radio repair	3.62
Pockets, Book	2.4	Radios	4.4
Polish, Furniture	2.21	Rags, Wiping	2.21
Polish, Metal	2.21	Rakes	4.4
Post office box rent	3.72	Ranges	4.4
Postage	3.22	Reader-printers, Microfilm and Microfiche	4.4
Postage meter rental	3.72	Real estate	4.1
Postal cards, prestamped	3.22	Rebinding books	3.14

Receipt books	2.13	Rulers, Office	2.13
Record books	2.13	Safe deposit box rent	3.72
Record sheets (Printed)	2.13	Safes	4.4
Records, Official	2.11	Safety deposit box	4.4
Records, Phonograph	4.74	Salt	2.21
Refrigerators	4.4	Sand (construction)	2.31
Registered mail fee	3.22	Sand paper	2.31
Registration book and sheets	2.4	Saws	4.4
Remote control	4.4	Scaffolds	4.4
Rent of buildings	3.71	Scales	4.4
Rent of computer equipment	3.72	Scanner, Color	4.4
Rent of land	3.71	Scanner, Weapon Detector	4.4
Rent of motor vehicle equipment	3.72	Scissors or shears	2.13
Rent of office	3.71	Scotch tape	2.13
Rent of office equipment	3.72	Scouring powder	2.21
Rent of safe deposit and post office boxes	3.72	Scrap books	2.4
Repair of books	3.14	Scratch pads and paper	2.13
Repair of buildings and structures	3.61	Screen Enlarger, Computer Monitor	4.4
Repair of equipment	3.62	Screens, Door and window	4.4
Repair parts	2.33	Screens, Projector	4.4
Reserve cards	2.4	Screw drivers	4.4
Retirement fund (PERF, employer)	1.23	Screws	2.31
Rhythm band instruments	4.4	Scrub brushes	2.21
Ribbons, Typewriter	2.13	Seal-Official	2.13
Roof repairs	3.61	Security Cases	4.4
Rope	2.31	Security System	4.4
Router	4.4	Service contracts	3.11/3.14
Rubber bands	2.13	Service contracts (maintenance)	3.61
Rubber cement (book repair)	2.4	Shades, Window	4.4
Rubber stamps	2.13	Sharpener, Pencil	2.13
Rugs	4.4	Sheet protectors	2.4

Shellac	2.32	Staples, Copier	2.13
Shellac, Book	2.4	Staples, Paper	2.13
Shelving	4.4	Stationery	2.12
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## Chapter 12

# State Board of Accounts/Bookkeeping Process and Prescribed Forms

### State Board of Accounts

302 W. Washington Street, E418 Indianapolis, Indiana 317-232-2513

<https://www.in.gov/sboa/4450.htm>

[libraries@sboa.in.gov](mailto:libraries@sboa.in.gov)

### 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 was revised in 2019.

- This manual is now on the web and can be viewed at:  
<https://www.in.gov/sboa/files/RegulatoryManual20191.pdf>

The manual includes important information about library board and employee responsibilities, revenue sources, allowable expenditures, budgeting, operating procedures, and uniform compliance guidelines. Also the Appendix list the various prescribed forms.

### **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: Forms Approval Process**

- The library board not required to have a computerized bookkeeping system approved by State Board of Accounts.
- Your forms need to be in compliance with forms found in the Appendix of the State Board of Accounts Accounting and Uniform Compliance Guidelines Manual for Libraries. A library can consult Table 14 of the 2018 statistics (<https://www.in.gov/library/5719.htm>) to identify automated bookkeeping software in use by other libraries.

### **Annual Library Audit Checklist**

An audit checklist is 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 1-317-232-2513. Their website is <https://www.in.gov/sboa/4450.htm>. Or send an email to [libraries@sboa.in.gov](mailto:libraries@sboa.in.gov).

### **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]

The system must contain written standards that an entity subject to audit must observe.

### **Forms Approved Previously**

All forms previously approved by State Board of Accounts either by:

- Form Approval letter from SBOA; or
- Resolution of the Library

Remain approved for use by the library under the conditions in the original approval. No further action by a library is needed.

**Exact Replicas**

An exact replica of a prescribed form is the equivalent of the prescribed form and requires no action for a library to install the form.

**FORMS FOR USE BY LIBRARIES**

Forms and systems installed are subject to review and/or recommendations during audits of a library to ensure compliance with current statutes and Uniform Compliance Guidelines.

Many of the forms are found in the Appendix of State Board of Accounts Uniform Compliance Guidelines Manual for Libraries.

**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 Capital Asset Ledger

### **Other Forms Used in Lieu of Prescribed Formats**

- Prescribed forms and forma approvals are discussed in Chapter One of the Accounting and Uniform Compliance Guidelines Manual for Libraries.
- Library officials remain responsible to make sure the system and forms installed:
  - Meet the IT services controls; see <https://www.in.gov/sboa/4450.htm> under **Manuals**, then **Information Technology Manual**.
  - Along with manual processes, provide adequate internal controls over financial information, safeguarding of assets, and compliance with laws and regulations. For more information on internal controls the State Board of Accounts website at <https://www.in.gov/sboa/4450.htm>, select drop down menu for **Internal Control Standards**.
  - Comply with record retention and public access laws.

### **How to Get Ready for an Audit**

Auditing is a set of procedures performed to express an opinion as to whether the financial statements present fairly, in all material respects, the financial position and related changes for the year regarding the Public Library.

Confidential working papers are sent to public libraries by State Board of Accounts in advance of audit. Below is a brief list of items to consider before the audit. You will need knowledge of the following:

- General information about the library, including the structure and governance. This will include the primary activities, programs and services the library offers.
- Details on the makeup of the library board; names, board position term and background.
- Designation of principal members of operating and executive branch of the library.
- Describe division of governance and management duties of board and library director.
- Describe any external factors that affect the library such as economy, politics or social conditions.
- Besides property taxes describe the library's major sources of revenues and receipts
- Understand the major expenditures of the library including payroll
- Be prepared to describe the investment policy
- Be prepared to describe funds accounting as it applies to the library's budgeting; understand financial statements as they relate to expenditures and disbursements.
- Be prepared to share appropriate accounting and financial documentation
- Know about library borrowing in order to meet expenses. What are your sources for this financing e.g. short term borrowing, line of credit, or long term debt or leasing?

- Describe how the director, financial officer and library board work together in the budget process.
- Be able to describe hiring process, and compensation methods
- Be able to describe types of computer equipment used, personnel involved, software and how it is reviewed and kept up to date.
- Describe the library's accounting and financial reporting policies
- Library board has fiscal control and some financial decisions require a board resolution. Make sure that resolutions are on file.
- Review the previous audit and note any exceptions that remain or have been corrected

### **Library Internal Controls**

The State Board of Accounts webpage <https://www.in.gov/sboa/4450.htm> has link to information on **Internal Control Standards** and there is reference to a YouTube video <https://youtu.be/LON80PBbPHQ>. Public libraries are required to have an internal control policy and to certify that staff has been trained on the policy. Also Indiana State Library has a short webinar that is found on the Trustee Information webpage at <https://www.in.gov/library/trustee.htm>. See the heading for **Internal Controls for Public Libraries**.

### **Corrective Action Plan**

If you have the same audit exception, repeat findings, in back to back audits, then IC 5-11-5-1.5 requires a Corrective Action Plan. When creating a corrective action plan, include the following:

1. State the Issue
2. List the requirements that were not followed
3. The unit or library responds whether they are in agreement or they don't agree.
4. Identify the root cause of the issue and the steps to take to correct
5. Include a timetable when the corrections will be in place
6. Summary on how the Public Library plans to correct the issue.

For more information consult the State Board of Accounts webpage here <https://www.in.gov/sboa/4450.htm> see heading for **Corrective Action Plan (CAP – Repeat Findings)** for more resources.

Please submit any questions you have related to this process to [CAP@sboa.in.gov](mailto:CAP@sboa.in.gov).

### **Bulletins**

The State Board of Accounts issues library bulletins focusing on specific issues in library bookkeeping, upcoming training, and relevant changes in legislation. These can be found on the State Board of Accounts webpage at <https://www.in.gov/sboa/4450.htm> then Uniform Compliance Guidelines, then Bulletins. The most recent are:

[March 2020](#)

[June 2020](#)



## Chapter 13

# Additional Appropriation and Transfer Procedures

An additional appropriation is pursued when a unit needs to spend more from a fund than the certified budget allows. The Department of Local Government Finance is responsible for the review and approving the submissions from all units.

### IMPORTANT NOTICE

The DLGF has updated their submission procedures for additional appropriations. All units are required to submit additional appropriations through an application in Gateway. Additionally, The Department has released updated memos about the updated procedures change. Updated memos can be found at <https://www.in.gov/dlgf/2444.htm>.

- Online Additional Appropriation Application Now Available  
<https://www.in.gov/dlgf/files/pdf/200406%20-%20Van%20Dorp%20Memo%20-%20Online%20Additional%20Appropriation%20Application%20Now%20Available.pdf>
- Additional Appropriation and Transfer Procedures  
<https://www.in.gov/dlgf/files/pdf/200124%20-%20Van%20Dorp%20Memo%20-%20Additional%20Appropriation%20and%20Transfer%20Procedures%20.pdf>
- Additional Appropriations – Supplemental Information  
<https://www.in.gov/dlgf/files/pdf/200124%20-%20Van%20Dorp%20Memo%20-%20Additional%20Appropriations%20-%20Supplemental.pdf>

The additional appropriation process is used to appropriate money in excess of the Department's certified appropriations for a unit for the current budget year. Although the fiscal body of a unit and the Department must act on all additional appropriations, approval by the Department is only required for (this is not a complete list, only a sample):

1. Funds that receive revenue from property taxes levied under IC 6-1.1
2. Motor Vehicle Highway ("MVH") Fund (IC 8-14-1-1)
3. Local Road and Street ("LRS") Fund (IC 8-14-2-4)
4. Library Improvement Reserve Fund ("LIRF") (IC 36-12-3)
5. School Education Fund IC 20-40-2
6. Rainy Day Fund (IC 36-1-8-5.1)

For the purposes of additional appropriation requests, all other funds are classified as

“reporting only funds”. Section 49 of HEA 1427, effective July 1, 2019, clarifies (d) a political subdivision may make an additional appropriation without the approval of the Department if the additional appropriation is made from a fund that is not described above. The fiscal officer of the political subdivision still must report the additional appropriation to the Department, but units will receive an official response for only those funds that the Department reviews and approves (i.e. funds that are on your Budget Order).

All additional appropriations must be submitted to the Department in a timely manner. The deadline for additional appropriation submissions for the 2020 Budget is December 16, 2020.

If you have any questions, please email [AdditionalAppropriationRequests@dlgf.IN.gov](mailto:AdditionalAppropriationRequests@dlgf.IN.gov) or contact [your Budget Field Representative](#).

State Board of Accounts recommends appropriating all grants. If grant monies are received into a previously established fund requiring appropriation, the unit must follow the additional appropriation procedures for that fund as outlined herein. If the grant monies are provided by the state or federal government as a reimbursement of an expense made by the unit (IC 6-1.1-18-7.5), the grant monies do not need to be appropriated or reported to the Department by the taxing unit in order to make expenditures. Grant monies must be expended in accordance with the grant budget.

#### **Transfer of Funds to and From the Rainy Day Fund**

The Rainy Day Fund is subject to the same appropriation process as other funds that receive property or income tax money.

To establish the Rainy Day Fund requires a resolution. There is an example resolution found on the LDO website at <https://www.in.gov/library/3289.htm>.

Under IC 36-1-8-5.1, a county, city, or town may at any time, by ordinance or resolution, transfer to its General Fund or any other appropriated funds money that has been deposited in its Rainy Day Fund. Transfers to or from the Rainy Day Fund must be reported to the Department. Units must submit to the Department the resolution/ordinance from the fiscal body approving the transfer. The resolution/ordinance must include the name of each fund and the amount being transferred out of each fund to the Rainy Day Fund. The Department may not reduce the actual or maximum permissible levy of a unit as a result of a balance in the Rainy Day Fund of the unit.

A taxing unit can transfer unused and unencumbered funds from its General Fund or other property tax levy funds (excluding debt service and other dedicated funds) to the Rainy Day Fund. In addition, other unobligated cash balances from any fiscal year (excluding debt service and other dedicated funds) may also be transferred to the Rainy Day Fund pursuant to an ordinance or resolution that authorizes and identifies the amount, which cannot exceed 10% of the taxing unit’s total annual budget for that fiscal year.

SBOA has advised that transfers to the Rainy Day Fund are prohibited from funds receiving dedicated revenues for specific projects or purposes, such as MVH and LRS. Moreover, a balance in a cumulative fund may be transferred to the Rainy Day Fund only if the purpose of

the cumulative fund has been fulfilled. In an audit, SBOA would expect the unit to be able to show that the cumulative fund's purpose has been fulfilled. A unit's transfer of funds from a cumulative fund to its Rainy Day Fund would indicate to the Department that the property tax rate for that cumulative fund was no longer needed. Before making an appropriation from the Rainy Day Fund, the fiscal body shall make a finding that the proposed use of the Rainy Day Fund is consistent with the expressed intent of the fund.

Further procedures for Rainy Day Fund are outlined in the State Board of Accounts Manual of Accounting for Public Libraries found online at

[https://www.in.gov/sboa/files/Library%20Manual%20-%20Chapter%204%20\(2013\).pdf](https://www.in.gov/sboa/files/Library%20Manual%20-%20Chapter%204%20(2013).pdf).

## 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 IC 6-3.6-9-15; 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

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ATTEST:

\_\_\_\_\_  
Secretary

### **Transfer of Funds to Library Improvement Reserve Fund (LIRF)**

For procedures on transferring funds to Library Improvement Reserve Fund (LIRF) see Chapter 4 found online. To navigate to Chapter 4 visit this webpage at <https://www.in.gov/sboa/4450.htm>. Then select **Manuals** dropdown and go to **Uniform Compliance Guidelines Manual** and choose Chapter 4 Financial Accounting and Record Keeping Procedures and go to page 4-3 to find LIRF procedures.

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.

*Note: These samples assume that the governing body of the taxing unit seeking the additional appropriation or reduction is responsible for the approval of the additional appropriation or reduction. If a unit is subject to binding adoption by a separate fiscal body, the following resolution/ordinance and notice samples should be modified to reflect the proper fiscal body taking action.*

**SAMPLE**

**ADDITIONAL APPROPRIATION RESOLUTION/ORDINANCE**

Whereas, it has been determined that it is now necessary to appropriate more money than was originally appropriated in the annual budget; now, therefore:

Sec. 1. Be it ordained (resolved) by the \_\_\_\_\_

(Governing Body)

of \_\_\_\_\_, \_\_\_\_\_ County, that for the expenses of the

(Taxing Unit)

(County)

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:

Fund Name: _____	AMOUNT REQUESTED	AMOUNT APPROVED BY FISCAL BODY
------------------	---------------------	-----------------------------------

Major Budget Classification:

Personal Services	\$ _____	\$ _____
Supplies	\$ _____	\$ _____
Other Services & Charges	\$ _____	\$ _____
Township Assistance	\$ _____	\$ _____
Debt Service	\$ _____	\$ _____
Capital Outlays	\$ _____	\$ _____
<b>TOTAL for _____ Fund:</b>	<b>\$ _____</b>	<b>\$ _____</b>

(Repeat for any other funds.)

\*\*\*\*\*

Adopted this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

NAY

AYE

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\_\_\_\_\_

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ATTEST:

\_\_\_\_\_

Secretary of Governing Body

**Note: This resolution is only to be used when appropriations are being reduced and you are showing an amount on line D of the Certified Copy.**

**SAMPLE**

**APPROPRIATION REDUCTION RESOLUTION/ORDINANCE**

Whereas, it has been shown that certain existing appropriations now have unobligated balances that will not be needed for the purposes for which appropriated; now, therefore:

Sec. 1. Be it ordained (resolved) by the \_\_\_\_\_

(Governing Body)

of \_\_\_\_\_, \_\_\_\_\_ County, that the following

(Taxing Unit)

(County)

existing appropriations be reduced in the following amounts:

	AMOUNT OF REDUCTION REQUESTED	AMOUNT OF REDUCTION APPROVED BY FISCAL BODY
Fund Name: _____		
Major Budget Classification:		
Personal Services	\$ _____	\$ _____
Supplies	\$ _____	\$ _____
Other Services & Charges	\$ _____	\$ _____
Township Assistance	\$ _____	\$ _____
Debt Service	\$ _____	\$ _____
Capital Outlays	\$ _____	\$ _____
<b>TOTAL for _____ Fund:</b>	<b>\$ _____</b>	<b>\$ _____</b>

(Repeat for any other funds.)

\*\*\*\*\*

Adopted this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

NAY

AYE

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\_\_\_\_\_

ATTEST:

\_\_\_\_\_

Secretary of Governing Body

**SAMPLE**

**ADDITIONAL APPROPRIATION & REDUCTION RESOLUTION/ORDINANCE**

Whereas, it has been determined that it is now necessary to appropriate more money than was originally appropriated in the annual budget; now, therefore:

Sec. 1. Be it ordained (resolved) by the \_\_\_\_\_ of \_\_\_\_\_,  
(Governing Body) (Taxing Unit)

\_\_\_\_\_ County, that for the expenses of the taxing unit, the following additional sums of  
(County)

money are hereby appropriated out of the funds named and for the purposes specified, subject to laws governing the same:

Fund Name: _____	AMOUNT REQUESTED	AMOUNT APPROVED BY FISCAL BODY
Major Budget Classification:		
Personal Services	\$ _____	\$ _____
Supplies	\$ _____	\$ _____
Other Services & Charges	\$ _____	\$ _____
Township Assistance	\$ _____	\$ _____
Debt Service	\$ _____	\$ _____
Capital Outlays	\$ _____	\$ _____
TOTAL for _____ Fund:	\$ _____	\$ _____

Sec. 2. Whereas, it has been shown that certain existing appropriations now have unobligated balances that will not be needed for the purposes for which appropriated, it is further ordained (resolved) that the following existing appropriations be reduced in the following amounts:

Fund Name: _____	AMOUNT OF REDUCTION REQUESTED	AMOUNT OF REDUCTION APPROVED BY FISCAL BODY
------------------	-------------------------------------	---

Major Budget Classification:

Personal Services	\$ _____	\$ _____
Supplies	\$ _____	\$ _____
Other Services & Charges	\$ _____	\$ _____
Township Assistance	\$ _____	\$ _____
Debt Service	\$ _____	\$ _____
Capital Outlays	\$ _____	\$ _____

TOTAL for \_\_\_\_\_ Fund:                      \$ \_\_\_\_\_                      \$ \_\_\_\_\_

(Repeat for any other funds.)

\*\*\*\*\*  
\*\*\*\*\*

Adopted this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

NAY

AYE

_____	_____
_____	_____
_____	_____
_____	_____

ATTEST:

\_\_\_\_\_

Secretary of Governing Body

**SAMPLE**

**NOTICE TO TAXPAYERS OF ADDITIONAL APPROPRIATIONS**

Notice is hereby given to the taxpayers of \_\_\_\_\_, \_\_\_\_\_ County,  
(Name of Taxing Unit) (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 \_\_\_\_\_, at  
(Location)

\_\_\_ o'clock \_\_\_.m., on the \_\_\_ day of \_\_\_\_\_, 20\_\_.

Fund Name: _____	AMOUNT
Major Budget Classification:	
Personal Services	\$ _____
Supplies	\$ _____
Other Services & Charges	\$ _____
Township Assistance	\$ _____
Debt Service	\$ _____
Capital Outlays	\$ _____
TOTAL for _____ Fund:	\$ _____

(Repeat for any other funds.)

Taxpayers appearing at the meeting shall have a right to be heard. The additional appropriations as finally made will be referred to the Department of Local Government Finance (Department). The Department will make a written determination as to the sufficiency of funds to support the appropriations within fifteen (15) days of receipt of a Certified Copy of the action taken.

Dated \_\_\_\_\_

\_\_\_\_\_

(Fiscal Officer)

---

Do not publish the following Instructional Note.

**Appropriations to be reduced should be named in the published notice, set out separately, and not co-mingled with the additional appropriations being requested. The resolution/ordinance adopted by the governing body must separately list each appropriation by fund and classification.**



## Chapter 14 **Public Library Records Retention**

### **Public Libraries Retention Schedule and County/Local General Retention Schedule**

The Public Libraries Retention Schedule and the County/Local General Retention Schedule were adopted in 2015 and updated in 2016. All public libraries in Indiana must follow the same general retention schedule.

Any records not on the approved list cannot be destroyed without the permission of your county commission on public records and the Indiana Archives and Records Administration (IARA).

Information on the preservation and destruction of public records – including general rules and definitions - as it pertains to the Indiana Code is detailed on the State Board of Accounts webpage on libraries (<https://www.in.gov/sboa/4450.htm>); once there, scroll down the page to see the drop down menu for Indiana Codes, and select Public Records. The Public Libraries Retention Schedule and the County/Local General Retention Schedule are available at the IARA webpage on Records Retention Schedule Help (<https://www.in.gov/iara/3266.htm>), as well as at the direct links listed below.

#### **Records Retention FAQs**

**Q1)** How long should we keep past insurance policies/coverage that have been replaced with new policies/coverage?

A1) Insurance paperwork is 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 than personnel records, 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

**Q5)** How long should we keep emails?

A5) Treat emails as you would print correspondence regarding a particular issue. They are public records.

## **Retention Schedules**

- Public Libraries Retention Schedule (LIB):  
[http://www.state.in.us/iara/files/county\\_library.pdf](http://www.state.in.us/iara/files/county_library.pdf)
- County/Local General Retention Schedule (GEN):  
[http://www.state.in.us/iara/files/county\\_general.pdf](http://www.state.in.us/iara/files/county_general.pdf)



Public Libraries Retention Schedule (LIB)  
Indiana Commission on Public Records – County Records Management

DATE APPROVED BY THE OVERSIGHT COMMITTEE ON PUBLIC RECORDS:  January 21, 2015	DIRECTOR/STATE ARCHIVIST, INDIANA COMMISSION ON PUBLIC RECORDS  SIGNATURE
<p><b>Instructions:</b></p> <ol style="list-style-type: none"><li><b>1. Officials should first reference this office-specific retention schedule.</b> If the form/record series you're looking for is not listed, refer to the County/Local General Retention Schedule (GEN).</li><li>Nonpermanent records listed on this retention schedule may be destroyed, in accordance with the form's instructions, thirty (30) days after completion and submission of a <a href="#">Notice of Destruction, State Form 44905</a>. The notice must be sent to the secretary of the county commission of public records as determined by IC 5-15-6-1(c) (county clerk or recorder) and to the Indiana Commission on Public Records, <a href="mailto:cty@icpr.IN.gov">cty@icpr.IN.gov</a>, 402 West Washington Street W472, Indianapolis, IN 46204.</li><li>All permanent records or records <b>not listed</b> on these approved retention schedules can be destroyed or transferred only by completing a <a href="#">Request for Permission to Destroy or Transfer Certain Public Records (PR-1), State Form 30505</a>, and by obtaining approval of the County Commission of Public Records and written approval from the Indiana Commission on Public Records.</li><li>Destruction of all records must be delayed pursuant to an applicable legal hold.</li></ol> <p><b>GUIDELINES:</b></p> <p>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).</p> <p>Microfilmed records may be deposited or transferred according to the retention period outlined for that record.</p> <p>Security/original rolls of microfilm must be stored offsite in a secure location. Duplicate rolls may be used in office.</p> <p>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.</p> <p>Any STATE BOARD OF ACCOUNTS forms approved for use in lieu of prescribed forms are subject to the same retention requirements.</p>	

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. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and 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.
LIB 11-1	Meeting/Conference Room Agreements  Includes no-fee agreements for use of library meeting and/or conference rooms. If fees are collected for use of meeting and/or conference room, see GEN 10-25.	DESTROY after three (3) calendar years.



County/Local General Retention Schedule (GEN)  
Indiana Commission on Public Records – County Records Management

DATE APPROVED BY THE OVERSIGHT COMMITTEE ON PUBLIC RECORDS: 9/21/2016	DIRECTOR/STATE ARCHIVIST, INDIANA COMMISSION ON PUBLIC RECORDS  SIGNATURE 
<p><b>Instructions:</b></p> <ol style="list-style-type: none"><li>1. Officials should first reference their office-specific retention schedule. If the form/record series you're looking for is not listed, refer to this County/Local General Retention Schedule (GEN).</li><li>2. Nonpermanent records listed on this retention schedule may be destroyed, in accordance with the form's instructions, thirty (30) days after completion and submission of a <u>Notice of Destruction, State Form 44905</u>. The notice must be sent to the secretary of the county commission of public records as determined by IC 5-15-6-1(c) (county clerk or recorder) and to the Indiana Commission on Public Records, <a href="mailto:cty@icpr.IN.gov">cty@icpr.IN.gov</a>, 402 West Washington Street W472, Indianapolis, IN 46204.</li><li>3. All permanent records or records <b>not listed</b> on these approved retention schedules can be destroyed or transferred only by completing a <u>Request for Permission to Destroy or Transfer Certain Public Records (PR-1), State Form 30505</u>, and by obtaining approval of the County Commission of Public Records and written approval from the Indiana Commission on Public Records.</li><li>4. Destruction of all records must be delayed pursuant to an applicable legal hold.</li></ol> <p><b>GUIDELINES:</b></p> <p>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).</p> <p>Microfilmed records may be deposited or transferred according to the retention period outlined for that record.</p> <p>Security/original rolls of microfilm must be stored offsite in a secure location. Duplicate rolls may be used in office.</p> <p>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.</p> <p>Any STATE BOARD OF ACCOUNTS forms approved for use in lieu of prescribed forms are subject to the same retention requirements.</p>	

RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
<b>ADMINISTRATIVE</b>		
GEN 10-1	<p>MINUTES</p> <p>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]</p>	PERMANENT. Microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as record no longer has official value but has historical value.
GEN 10-2	<p>COUNTY/LOCAL AGENCY, BOARD OR COMMISSION MEETING RECORDINGS</p> <p>For offices, boards or commissions that record their meetings and use the recordings to complete the minutes of the meetings.</p>	ERASE or DESTROY after official minutes derived from them are approved.
GEN 10-3	<p>POLICY FILES – OFFICE HOLDERS, DEPUTIES, AND DIVISION DIRECTORS.</p> <p>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]</p>	PERMANENT. Microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as record no longer has official value but has historical value.
GEN 10-4	<p>GENERAL FILES</p> <p>Office records that are not related to policy implementation. This series includes correspondence, memos, and routine staff files.</p>	DESTROY after three (3) calendar years.
GEN 10-5	<p>LEGAL FILES</p> <p>(Also called Litigation Files.) All records pertaining to litigation with the county/local government and all supporting documentation. Also includes investigation files and reports from agencies who investigate civil violations (including housing and employment discrimination). This includes the Notice of Tort Claim for Property Damage and/or Personal Injury, SF 54668, if a claim is brought against the political subdivision. (See GEN 14-1 if no claim is brought.) Disclosure of these records may be affected by IC 5-14-34(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, IC 35-414-2(a), and IC 34-11-2-4.</p>	RETAIN in office five (5) calendar years after exhaustion of litigation. Evaluate and transfer to the Indiana State Archives, pursuant to IC 5-15-6-6, only those files that have been determined to have historical significance.
GEN 10-6	<p>ORDINANCES AND RESOLUTIONS</p> <p>Includes records created by a county/local agency related to the legislature's review of proposed laws or adoption of administrative rule(s). THIS IS A CRITICAL RECORD. Disclosure of these records may be affected by the discretion of a public agency, IC 5-14-34(b)(6).</p>	PERMANENT. Microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as record no longer has official value but has historical value.

GEN 10-8	<p>DISASTER RECOVERY AND CONTINUITY PLANS</p> <p>The copy of all Disaster Recovery/Continuity Plans, including those 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).</p>	<p>TRANSFER one copy of each plan to the Indiana State Archives for permanent archival 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.</p>
GEN 10-9	<p>NOTICES &amp; CERTIFICATES</p> <p>Excludes SD 10-8, Form 100R – Certified Report of Names, Addresses, Duties and Compensation of Employees [PERMANENT]</p>	<p>DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
GEN 14-1	<p>NOTICE OF TORT CLAIM FOR PROPERTY DAMAGE AND/OR PERSONAL INJURY, SF 54668</p> <p>This form is included in GEN 10-5, Legal Files, if a claim is brought against the political subdivision. Retention based on IC 34-11-2-4.</p>	<p>DESTROY after three (3) calendar years if a claim is not brought against the political subdivision within the statute of limitations.</p>
GEN 14-2	<p>CONFLICT OF INTEREST DISCLOSURES</p> <p>Includes records related to the disclosure of potential conflicts of interest. May be referred to as and/or include the Uniform Conflict of Interest Ethics Disclosure Statement, economic statement of interest, or similar records.</p>	<p>TRANSFER to the Indiana State Archives for evaluation, sampling, or weeding pursuant to archival principles ten (10) years after the year of filing with the political subdivision.</p>
GEN 16-2	<p>BUSINESS APPLICATION LICENSES</p> <p>Includes all applications for licenses to operate specific categories of business, as determined by the county, city or town.</p>	<p>DESTROY three (3) years after the date of license expiration.</p>
<b>ACCOUNTING &amp; FINANCE</b>		
GEN 10-10	<p>RECEIPTS/QUIETUS/RECEIPT REGISTER/QUIETUS REGISTER</p> <p>Retention based on IC 34-11-2-6.</p>	<p>DESTROY after six (6) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>

GEN 10-11	<p>VOUCHERS/CLAIMS &amp; PURCHASE ORDERS- ORIGINAL</p> <p>Includes all claims and requisitions submitted by all county offices and departments, including all supporting documentation submitted to the county auditor's office. Supporting documentation may include all documentation that provides the basis for payment of the claim, including but not limited to: invoices, bank or credit card statements, and any additional documentation that is attached to the claim when submitted for payment. Retention based on IC 34-11-1-2.</p>	<p>DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
GEN 16-3	<p>VOUCHERS/CLAIMS &amp; PURCHASE ORDERS- COPIES</p> <p>Includes copies of all claims and requisitions submitted by all county offices and departments, including all supporting documentation submitted to the county auditor's office retained in the originating office. Supporting documentation may include all documentation that provides the basis for payment of the claim, including but not limited to: invoices, bank or credit card statements, and any additional documentation that is attached to the claim when submitted for payment. Retention based on IC 3411-1-2.</p>	<p>DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
GEN 10-12	<p>POOR RELIEF VOUCHERS/CLAIMS</p> <p>Retention based on IC 34-11-1-2.</p>	<p>DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
GEN 10-13	<p>REGISTER OF POOR RELIEF CLAIMS</p>	<p>DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
GEN 10-14	<p>CANCELLED CHECKS/WARRANTS</p> <p>Retention based on IC 34-11-1-2.</p>	<p>DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p> <p>-OR-</p> <p>DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges if GEN 10-19, Bank Statements, includes scanned copies of checks and bank retains physical check copies for ten (10) or more calendar years.</p>
GEN 10-15	<p>CHECK REGISTER/WARRANT REGISTER</p> <p>Retention based on IC 34-11-1-2</p>	<p>DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>

GEN 10-16	PAYROLL RECORDS  Applies to Forms 99A, 99B and 99C	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Archives and Records Administration.
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. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Archives and Records Administration.

GEN 10-25	<p>BONDS, BIDS, CONTRACTS AND LEASES</p> <p>All contracts, including grants, 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. Retention based on IC 34-13-1-1.</p>	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	<p>AS-SUBMITTED BUDGETS</p> <p>Includes new programs requested, justifications, breakdown of money requested, estimates, reports, and public notice.</p>	DESTROY after five (5) calendar years.
GEN 12-1	<p>PAPER CHECKS &amp; REMOTE-CAPTURE CHECKS</p> <p>Checks deposited with a bank by a governmental entity through the regular deposit process or the digital remote-capture process. Disclosure of these records may be affected by IC 5-14-3-4(a)(5) and IC 5-14-3-4(a)(12). Retention based on IC 34-11-2-6.</p>	DESTROY paper upon receipt of deposit report from bank acknowledging the bank's acceptance. RETAIN digital image locally or through bank-provided access for six (6) years and until receipt of STATE BOARD OF ACCOUNTS audit report and satisfaction of unsettled charges.
GEN 15-2	<p>INTERNAL REVENUE SERVICE FORMS</p> <p>Includes the governmental entity's original copy of forms filed with or issued by the United States Internal Revenue Service.</p>	RETAIN for period required by federal law, but for not less than six (6) years. DESTROY upon fulfillment of this retention period.
GEN 16-4	<p>REAL ESTATE TRANSACTIONS</p> <p>Includes records of real estate transactions involving county or local government. Excludes permanent official recorded transactions contained in the County Recorder (RE) retention schedule</p>	DESTROY after TEN (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 16-5	<p>ANIMAL CARE AND CONTROL RECORDS</p> <p>Includes, but is not limited to: intake, animal adoptions, surrenders, and any other records related to the care of animals in the facility.</p>	DESTROY after three (3) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
<b>PERSONNEL</b>		
GEN 10-27	<p>PERSONNEL FILES</p> <p>Personnel records containing documentation of the employee's working career and application for employment with the county/local government unit. Employment application shall include examination records. Personnel files shall be created and maintained for full-time, part-time, and temporary employees, as well as paid and unpaid interns. May include copies of employee tax documents and benefit elections. Disclosure of these records may be affected by the discretion of a public agency, IC 5-14-34(b)(2)(3)(4) and (6), and IC 5-14-3-4(b)(8).</p>	DESTROY 75 years after employee is no longer employed by the county/local government unit.

GEN 10-28	<p><b>EMPLOYEE MEDICAL RECORDS</b></p> <p>Typical record series could include Employer's Report of Injury, Report of Attending Physician, other medical information used to document work-related illnesses or injuries, and drug test results. 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 5-14-34(b)(8) and 29 CFR 1630.14(b)(1).</p>	DESTROY seven (7) years after the employee leaves county/local government.
GEN 10-30	<p><b>FAMILY AND MEDICAL LEAVE ACT OF 1993 RECORDS</b></p> <p>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).</p>	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	<p><b>EMPLOYMENT APPLICATIONS-NOT HIRED</b></p> <p>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, drug test results, 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).</p>	DESTROY three (3) calendar years after the decision not to hire.
GEN 10-32	<p><b>EMPLOYEE HAZARDOUS EXPOSURE RECORDS</b></p> <p>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).</p>	DESTROY Thirty-five (35) calendar years after employee termination.

<p>GEN 10-33</p>	<p>LOG OF WORK-RELATED INJURIES AND ILLNESSES, OSHA FORM 300 (REVISED 01/2004)</p> <p>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.</p> <p>SUMMARY OF WORK-RELATED INJURIES AND ILLNESSES, OSHA FORM 300A (REVISED 01/2004)</p> <p>All establishments covered by 29 CFR 1904 must complete this summary page. Retention based on 29 CFR 1904.33.</p> <p>INJURY AND ILLNESS INCIDENT REPORT, OSHA FORM 301</p> <p>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.</p>	<p>DESTROY five (5) years after the end of the calendar year that the records cover.</p>
<p><b>PUBLICATIONS &amp; REPORTS</b></p>		
<p>GEN 10-34</p>	<p>OVERSIGHT COMMITTEE ON PUBLIC RECORDS APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULES</p> <p>Contains a description of all records maintained by a county/local office, and specifies when and how they may dispose of their records.</p>	<p>DESTROY after replaced by revised schedule.</p>
<p>GEN 10-35</p>	<p>STATUTE AND ADMINISTRATIVE RULE RECORDS</p> <p>Documents created by a county/local government entity related to the State Legislature's review of proposed laws, amendments to existing statutes, or adoption of administrative rules.</p>	<p>DESTROY two (2) calendar years after amendments, adoptions, or proposal of final administrative rule was published in the Indiana Register.</p>

GEN 10-36	<p><b>MATERIAL SAFETY DATA SHEETS (MSDS)</b></p> <p>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).</p>	DESTROY thirty (30) years after the year of conclusion of the worker's employment.
GEN 10-37	STATE BOARD OF ACCOUNTS AUDIT REPORTS	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Archives and Records Administration.
GEN 10-38	<p><b>REPORTS</b></p> <p>Excludes Form 100R – Certified Report of Names, Addresses, Duties and Compensation of Employees [PERMANENT]</p>	DESTROY after six (6) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GEN 10-39	INDIANA PUBLIC RETIREMENT SYSTEM (INPRS) QUARTERLY REPORT	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Archives and Records Administration.
<b>AUDIO, VIDEO &amp; GENERAL MEDIA</b>		
GEN 10-40	<p><b>MICROFILM DOCUMENTATION FILE</b></p> <p>A written documentation list created and maintained for the microfilm based on the approved retention schedule (60 IAC 2-23). See 60 IAC 2 for required contents of the file.</p>	PERMANENT. Transfer copy to the Indiana State Archives.
GEN 10-41	<p><b>PHOTOGRAPHS, VIDEO RECORDINGS, FILMS</b></p> <p>Typically consists of photographs of special events and activities of the office, general circulation or special purpose periodicals, intraoffice news, or other still photographs.</p>	TRANSFER to the Indiana State Archives for evaluation, sampling, or weeding pursuant to archival principles one (1) calendar year after the date of the event or activity.

<p>GEN 10-43</p>	<p>ROUTINE SURVEILLANCE RECORDINGS</p> <p>Disclosure of these records may be affected by IC 5-14-3-4(a) and the discretion of a public agency per IC 5-14-3-4(b) (1) &amp; (6).</p>	<p>DESTROY after 30 days without the necessity of filing a Notice of Destruction unless one of the following conditions occurs before that time period elapses:</p> <p>(1) If the agency receives notice, actual or constructive, that evidence of illegal activity was captured, TRANSFER records to Record Series GEN 16-1 and follow the appropriate listed retention.</p> <p>(2) If the agency receives notice, actual or constructive, that evidence was captured resulting in a timely notice of tort claim under IC 34-13-3-8, DESTROY three (3) calendar years after action accrues.</p> <p>(3) If litigation occurs for which the record is admitted into evidence, the record becomes the responsibility of the court and is subject to Indiana Rules of Court, Administrative Rule 7.</p>
<p>GEN 10-46</p>	<p>PROTECTED CRITICAL INFRASTRUCTURE INFORMATION</p> <p>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 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.</p>	<p>DESTROY when outdated or replaced by subsequent records received from the Indiana Department of Homeland Security and/or the US Department of Homeland Security.</p>

<p>GEN 10-47</p>	<p>CRITICAL INFRASTRUCTURE INFORMATION</p> <p>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.</p>	<p>DESTROY when outdated or replaced.</p>
<p><b>Obsolete Records</b></p>		
<p>GEN 10-44</p>	<p>PERMANENT OBSOLETE RECORDS</p> <p>Chattel Mortgage Record [to 6/30/1935]  Index to Chattel Mortgage Record [to 6/30/1935]  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 &amp; long forms)  SD Form 329A/B – Sewage Utility Voucher Register (short &amp; long forms)  County Clerk’s copy of Coroner’s Inquest Verdict and Written Report of Death (copy sent to County Clerk prior to 7/1/1994)</p>	<p>PERMANENT. DO NOT LAMINATE. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Archives and Records Administration.</p>

<p>GEN 10-45</p>	<p>NON-PERMANENT OBSOLETE RECORDS</p> <p>Chattel Mortgage Minute Book [1 July 1935 – 30 June 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 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</p>	<p>DESTROY.</p>
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## Chapter 15 Grant Sources



There are numerous sources of grants for libraries. The following list is a sampling of available funding sources, both private and public.

Please notify us of any new grant opportunities that may be of interest to Indiana libraries by contacting Angela Fox at [anfox@library.in.gov](mailto:anfox@library.in.gov) or (317) 234-6550.

### **LSTA Grants**

[in.gov/library/lsta.htm](http://in.gov/library/lsta.htm)

The first source you consider as a library in Indiana should be LSTA sub-grants. Funding is made possible by the Institute of Museum and Library Services (IMLS), which 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.

### Community Foundations

<https://www.tgci.com/funding-sources/IN/community>

Many counties in Indiana have a community foundation that collects and invests money for local agencies and returns the interest earned to them. The Grantsmanship Center offers a directory of community foundations in the state on its website.

## STATE

### Heritage Support Grants

<https://www.indianahistory.org/across-indiana/heritage-support-grants>

The Indiana Historical Society, with funding from Lilly Endowment Inc., offers Heritage Support Grants for a wide variety of projects to help Indiana's local organizations meet high-priority needs in areas of collections stewardship, diversity, equity, access and inclusion, sustainability, and planning. In addition to the grant awards, IHS also offers [fundraising education workshops](#), ongoing coaching for grant applicants and opportunities to serve on [grant award selection committees](#).

### Indiana Humanities

<https://indianahumanities.org/about-grants>

Indiana Humanities oversees a number of grant programs that provide Indiana nonprofit organizations with funds to develop and implement in-depth public humanities programming. Eligible programs can include public workshops, film screenings, lectures and panels, creation of exhibits, reading/discussion programs, and any number of other formats, provided they're open to the public and utilize the humanities as a tool for engagement.

### Community Development Block Grants

<https://www.in.gov/ocra/2375.htm>

These federally funded grants come from the Indiana Office of Community and Rural Affairs. Unlike LSTA grants, construction is an allowable cost. Libraries are invited to apply for Public Facilities Program grants to enhance the lives of community members. Libraries should contact their local Community Liaison to discuss grant opportunities. The map of liaisons can be found on their website at: <http://www.in.gov/ocra/2330.htm>

## **Indiana Historic Preservation Fund Grants**

<https://www.in.gov/dnr/historic/3671.htm>

The Indiana Department of Natural Resources – Division of Historical Preservation and Archaeology oversees the annual, federally funded Historic Preservation Fund grant program. The HPF Program helps to promote historic preservation and archaeology in Indiana by providing assistance to projects that will aid the State in meeting its goals for cultural resource management. Grants can be used for preservation and rehabilitation of historic library buildings, or to present educational programs about preservation.

## **FEDERAL**

### **Institute for Museum and Library Services (IMLS)**

<https://www.imls.gov/grants/grant-programs>

The mission of IMLS is to advance, support, and empower America’s museums, libraries, and related organizations through grantmaking, research, and policy development. The Institute works at the national level and in coordination with state and local organizations to promote lifelong learning, build capacity, increase public awareness, and achieve excellence.

In addition to the LSTA grants available through the Indiana State Library, libraries can apply directly to IMLS for grant opportunities such as National Leadership Grants or the Laura Bush 21<sup>st</sup> Century Librarian Program.

### **National Endowment for the Humanities (NEH)**

<https://www.neh.gov/grants>

The National Endowment for the Humanities (NEH) is an independent federal agency dedicated to supporting research, education, preservation, and public programs in the humanities. They offer a variety of grants that aim to provide opportunities for lifelong learning and preserve and provide access to cultural and educational resources.

## FOUNDATIONS/CORPORATE

Tip: Try consulting local banks, real estate brokers, convention and visitor bureaus, etc., for possible funding or sponsorships.

### **American Honda Foundation**

<https://www.honda.com/community/applying-for-a-grant>

The American Honda Foundation awards grants for imaginative, creative, youthful, forward-thinking, scientific, humanistic and innovative projects. They emphasize youth education with a specific focus on the STEM (science, technology, engineering and mathematics) subjects in addition to the environment. Grants range from \$20,000 to \$75,000, and libraries must obtain 501(c)(3) status to apply.

### **Bank of America**

<https://about.bankofamerica.com/en-us/global-impact/charitable-foundation-funding.html>

The Bank of America Charitable Foundation partners with local nonprofits that are removing barriers to economic success for vulnerable populations, including youth, working families, and those with barriers to employment, including the formerly incarcerated. Grant amounts vary by market and organization size.

### **Barnes & Noble**

<http://www.barnesandnobleinc.com/about-bn/sponsorships-charitable-donations/>

At a local level, the Barnes & Noble Community Business Development Program supports pre-K-12 schools and not-for-profit arts and literacy organizations. They also consider sponsorships and donations to organizations that focus their core businesses on higher learning, literacy and the arts. Barnes & Noble does **not** have grant program; for information on sponsorships or how to request a donation, inquire at your local store.

### **Dekko Foundation**

<http://www.dekkofoundation.org/grant-making/grantseeker-support/dekko-foundation-101/>

The Dekko Foundation accepts grant applications from community organizations that build a foundation of economic freedom for young people. A major focus is early childhood development programming. Applicants must be located in the following counties of northeast Indiana: DeKalb, LaGrange, Kosciusko, Noble, Steuben and Whitley.

## **Dollar General Literacy Foundation**

<https://www.dgliteracy.org/grant-programs/>

Dollar General offers a number of grant programs for literacy service providers, including Summer Reading grants and Adult, Youth, and Family Literacy grants. Many Indiana public libraries have received these grants.

## **Lois Lenski Covey Foundation**

<https://www.loislenski Covey.org/bookmobile-grants/>

The Lois Lenski Covey Foundation awards grants to organizations that operate a lending bookmobile that travels into neighborhoods populated by underserved youth. The grants are for purchasing books published for young people preschool through grade 8.

## **REMC**

(check your local REMC website)

Operation Roundup grants provides financial support to nonprofit organizations within the seven counties served by REMC. Organizations within a regional REMC's service area are eligible to apply for up to \$10,000.

## **Walmart**

<https://walmart.org/how-we-give/local-community-grants>

Through the Local Community Grant Program, the Walmart Foundation awards grants ranging from \$250 to \$5,000. The grants are designed to address the unique needs of the local communities and to support organizations with goals that align with one of eight areas of funding, including quality of life, education, and community and economic development.

## Additional Resources to Locate Grants

### Grants.gov

<https://www.grants.gov/>

Grants.gov is a central storehouse for information on over 1,000 grant programs and access to more than \$500 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.

### Candid.org

<https://candid.org/>

Candid (formed when Foundation Center and GuideStar merged), is an independent nonprofit information clearinghouse, maintaining comprehensive databases on grants and grantmakers, as well as offering education and training programs and publishing research on trends in foundation giving. Their mission is to strengthen the social sector by advancing knowledge about philanthropy in the U.S. and around the world. Although the online funding database is subscription only, Candid provides free access and funding information through more than 400 Funding Information Network locations. Find your nearest FIN location at:

<http://foundationcenter.org/find-us>

## Sources of Grants for Indiana Libraries (2017)

Library Name	Grant(s) received
ADAMS PUBLIC LIBRARY SYSTEM	Adams County Community Foundation - enhancements to Geneva Children's Services; United Way of Adams County - 1000 Books before Kindergarten
ALEXANDRIA-MONROE PUBLIC LIBRARY	LSTA grant - kids coding club
ALLEN COUNTY PUBLIC LIBRARY	Auer Foundation via ACPLF  Foellinger  Friends of the ACPL  ACPLF  Foellinger via ACPLF  Friends of Lincoln  PNC Bank Foundation                  Allen County/City of Fort Wayne
ANDERSON PUBLIC LIBRARY	South Madison Community Foundation - purchase books for SRP.
ARGOS PUBLIC LIBRARY	Marshall County REMC Operation Round Up Grant - to develop skills through programing, building, and manipulating robots in grades PreK - 6th grade following STEAM curricula
ATTICA PUBLIC LIBRARY	Attica Community Foundation - puppet program, new chairs
AURORA PUBLIC LIBRARY DISTRICT	People's Federal Savings Bank - to be used in the Youth Services Department
AVON-WASHINGTON TOWNSHIP PUBLIC LIBRARY	Indiana Technology Grant
BARTHOLOMEW COUNTY PUBLIC LIBRARY	Heritage Fund of Bartholomew County
BENTON COUNTY PUBLIC LIBRARY	Benton Community Foundation - to pay for our guest speaker fees for Summer Reading
BERNE PUBLIC LIBRARY	United Way - used for the Summer Reading Program; Adams County Community Foundation - used to help fund our 1000 Books B4 Kindergarten program.

BOSWELL-GRANT TOWNSHIP PUBLIC LIBRARY	IBM matching grant - used for a Reading Camp during Summer Reading
BREMEN PUBLIC LIBRARY	Marshall County Community Foundation - Audio Recording Studio; LSTA Grant - building a digital lab
BROOK-IROQUOIS-WASHINGTON TOWNSHIP PUBLIC LIBRARY	Newton County Community Foundation Grant - purchase 4 AWE Learning Computers
BROOKSTON-PRAIRIE TOWNSHIP PUBLIC LIBRARY	Women Giving Together of Community Foundation of White County - for Children's programming and books
BROWN COUNTY PUBLIC LIBRARY	Indiana Humanities Frankenstein
BROWNSBURG PUBLIC LIBRARY	Duke Energy Foundation - Storywalk
BUTLER PUBLIC LIBRARY	LSTA - purchase a poster printer for our Makerspace
CAMDEN-JACKSON TOWNSHIP PUBLIC LIBRARY	Carroll White REMC - new staff computers; Carroll County Community Foundation - update to technologically compatible furniture
CHARLESTOWN CLARK COUNTY PUBLIC LIBRARY	Indiana Arts Commission - art programs for the Summer Reading Program
CHURUBUSCO PUBLIC LIBRARY	Community Foundation of Whitley County - summer concerts
DANVILLE-CENTER TOWNSHIP PUBLIC LIBRARY	Local Tri Kappa organization - furniture in the children's department
DARLINGTON PUBLIC LIBRARY	Montgomery Co. Community Foundation - \$1000 grant for large print books
DELPHI PUBLIC LIBRARY	Tippecanoe Arts Federation - visiting artist grant; Indiana Humanities - Frankenstein Community Reads; Indiana Humanities - author visit
EAST CHICAGO PUBLIC LIBRARY	Foundations of East Chicago
ECKHART PUBLIC LIBRARY	LSTA grant - Digitization of Eckhart and MacIntosh Collection; DeKalb County United Way - Learning Through Play Lab; ALA - Vietnam War materials; Mother Goose on the Loose Literacy Giving Circle - materials for emerging readers
ELKHART PUBLIC LIBRARY	ALA - NASA@MyLibrary
EVANSVILLE-VANDEBURGH PUBLIC LIBRARY	PLA - Inclusive Internship Initiative
FARMLAND PUBLIC LIBRARY	Old National Foundation
FLORA-MONROE TOWNSHIP PUBLIC LIBRARY	Indiana Arts Commission - summer art classes; Carroll Co. Community Foundation - video equipment
FRANCESVILLE-SALEM TOWNSHIP PUBLIC LIBRARY	PACE Grant - salary for summer reading program coordinator and books

FRANKFORT COMMUNITY PUBLIC LIBRARY-CLINTON COUNTY CONTRACTUAL PUBLIC LIBRARY	Frankfort Rotary - robotics program; Tippecanoe Arts Federation - visiting artists program
GOSHEN PUBLIC LIBRARY	STAR_Net Eclipse Education Kit (with 1000 eclipse glasses) for the total solar eclipse
GREENSBURG-DECATUR COUNTY CONTRACTUAL PUBLIC LIBRARY	Local Tri-Kappa - a program titled Eating On \$4 a Day; Honda - youth services summer reading program and books for the Children's room in general
HAMMOND PUBLIC LIBRARY	Indiana State Library - community outreach of online resources
HARRISON COUNTY PUBLIC LIBRARY	StarNet for solar eclipse glasses
HARTFORD CITY PUBLIC LIBRARY	Blackford County Community Foundation -- early literacy park
HUSSEY-MAYFIELD MEMORIAL PUBLIC LIBRARY	HMMPL Foundation - grants to support library programs; Friends of the Library - grants to support library programs
JACKSON COUNTY PUBLIC LIBRARY	Greater Seymour Trust Fund - green screen and video equipment; Community Foundation of Jackson County - branch outdoor bulletin boards
JASPER COUNTY PUBLIC LIBRARY	REMC Grant - summer reading prizes; Wal-Mart Grant - Maker Space supplies/equipment; Rensselaer Giving Circle - materials for meeting room chair rail
JASPER-DUBOIS COUNTY CONTRACTUAL PUBLIC LIBRARY	Community Foundation Grant - STEM camps at libraries
JEFFERSONVILLE TOWNSHIP PUBLIC LIBRARY	Clark County Youth Coalition - Youth Services programs; Bales Foundation - Youth Services programs
KEWANNA-UNION TOWNSHIP PUBLIC LIBRARY	Community Foundation - sound system
KIRKLIN PUBLIC LIBRARY	Clinton County Community Foundation - tree house in the children's area
KNOX COUNTY PUBLIC LIBRARY	LSTA grant - Technology Services for Young Adults; Heritage Support grant from the Indiana Historical Society - digitization of historic Knox County court records from the late 1700s and early 1800s
KOKOMO-HOWARD COUNTY PUBLIC LIBRARY	ALA - for Spheros; National Engineers Week Foundation - Discover Tech exhibit; LSTA - for Hot Spots
LA GRANGE COUNTY PUBLIC LIBRARY	LaGrange County Community Foundation and the DEKKO Foundation - books and programs
LA PORTE COUNTY PUBLIC LIBRARY	Unity Foundation for two grants - (1)Lego Education WeDo kits and (2) lendable STEAM kits
LADOGA-CLARK TOWNSHIP PUBLIC LIBRARY	MCCF - low vision

LAKE COUNTY PUBLIC LIBRARY	Indiana Humanities - Frankenstein One State/One Story
LAWRENCEBURG PUBLIC LIBRARY	Lawrenceburg Resources and Services Foundation - enhance programs
LINDEN CARNEGIE PUBLIC LIBRARY	MCCF - to be spent on something to help visually impaired people
LOOGOOTEE PUBLIC LIBRARY	Martin County Community Foundation - \$1000 for makerspace technology
MARION PUBLIC LIBRARY	Novel Conversations grant from Indiana Humanities - have Philip Gulley come to our library
MELTON PUBLIC LIBRARY	Orange County Community Foundation
MISHAWAKA-PENN-HARRIS PUBLIC LIBRARY	LSTA Technology Sub-Grant - purchase startling word counters to use in programming with parents, aimed at closing the 30 million word gap
MONON TOWN & TOWNSHIP PUBLIC LIBRARY	White County Community Foundation Women Giving Together - children's programming and books
MONROE COUNTY PUBLIC LIBRARY	Wahl Family Charitable Trust - STEM-related learning tools; Tri-Kappa Alpha Chapter - collaborative STEM programming; WTTS Rock to Read - in support of Summer Reading; Indiana Library Federation Marketing Award - to promote events and programs at the library
MONTEZUMA PUBLIC LIBRARY	Parke County Community Foundation - \$2,500 help pay for outside library sign
MONTPELIER-HARRISON TOWNSHIP PUBLIC LIBRARY	Blackford County Community Foundation - children's programs, computers, and furniture
MORGAN COUNTY PUBLIC LIBRARY	Community Foundation of Morgan County - service for mobile hotspots for patron checkout; RSQT for No Smoking Signs; Barry Schroeder Memorial Fund - Indy Hula family hula
MORRISSON REEVES LIBRARY	LSTA - purchase tablets and hotspots for circulation
MUNCIE-CENTER TOWNSHIP PUBLIC LIBRARY	Lowes Revitalization Grant - enhancement of the community garden at the Maring Hunt library location; Best Buy Grant - the summer film school; George and Frances Ball Foundation - innovative technology learning focusing on adult populations; 21st Century...
NAPPANEE PUBLIC LIBRARY	Rural Gateway Grant - for an adult book club; LSTA - newspaper digitization

NEW CASTLE-HENRY COUNTY PUBLIC LIBRARY	Henry County Community Foundation - teen area renovations; Indiana Humanities - Frankenstein grant
NEW HARMONY WORKINGMEN'S INSTITUTE	Efroymsen Family Fund - \$28,000 for a design charrette, \$25,000 for Special Projects; Community Foundation Alliance - \$1,796.52 unspecified donation; GE Foundation - \$250.00 unspecified donation.
NEWTON COUNTY PUBLIC LIBRARY	Newton County Community Foundation - costume play stations for children's areas
NOBLE COUNTY PUBLIC LIBRARY	Local Bank - \$500 for a functional skills program; Community Foundation - \$500 for programming
NORTH MANCHESTER PUBLIC LIBRARY	LSTA
OAKLAND CITY-COLUMBIA TOWNSHIP PUBLIC LIBRARY	Community Foundation - Books to Movies
ODON WINKELPLECK PUBLIC LIBRARY	Duke energy that - magic show; Daviess County Community Foundation - fund OverDrive
OHIO COUNTY PUBLIC LIBRARY	Ohio County Community Foundation - books and prizes for summer reading prizes; City of Rising Sun - sponsored the pool party to celebrate those who completed the Summer Reading Program
ORLEANS TOWN & TOWNSHIP PUBLIC LIBRARY	Orange County Community Foundation - furniture and programming
OSGOOD PUBLIC LIBRARY	Ripley County Community Foundation - new furnishings; Reynolds Foundation - building maintenance; Tarter/Crum - Summer Reading
OTTERBEIN PUBLIC LIBRARY	Indiana Humanities in collaboration with 92Y - for Ben Franklin Circles
OWEN COUNTY PUBLIC LIBRARY	Owen County Community Foundation - install technology in new meeting rooms
OWENSVILLE CARNEGIE PUBLIC LIBRARY	TMMI - childrens services
OXFORD PUBLIC LIBRARY	Nipsco Foundation Grant - Summer Reading Program
PAOLI PUBLIC LIBRARY	Grant made by Philip Gulley to help pay for patrons living outside of Paoli and Paoli township; Sol Strauss grant - buying children's books; Larry Holland Grant Fund - programs, books, and supplies
PEABODY PUBLIC LIBRARY	\$700.00 HANDS, Community Foundation of Whitley County \$1000.00 Community Foundation of Whitley County - from the Peabody Library Fund. Both grants funded Battle of the Books

PENDLETON COMMUNITY PUBLIC LIBRARY	Educational grant from the Kroger Company - fund Mission 595, a STEAM program for 7-12 year olds
PERRY COUNTY PUBLIC LIBRARY	ILF - technology aimed at kids; Indiana Humanities grant - Frankenfest and Community Read
PERU PUBLIC LIBRARY	\$1,500 local foundation grant - purchase robots
PRINCETON PUBLIC LIBRARY	Toyota & Duke - summer reading program prizes
PUTNAM COUNTY PUBLIC LIBRARY	Indianapolis Public Library Foundation Glick Grant for Diversity and Community Engagement; Putnam County 100 Women Who Care for Adult Literacy Program
REMINGTON-CARPENTER TOWNSHIP PUBLIC LIBRARY	Remington Woman's Giving Circle - programs; Walmart - toys and games for children
ROYAL CENTER-BOONE TOWNSHIP PUBLIC LIBRARY	Cass County Community Fund - updated computer software
SALEM-WASHINGTON TOWNSHIP PUBLIC LIBRARY	Washington County Community Foundation - general support of the library and for our adult literacy program
SHELBY COUNTY PUBLIC LIBRARY	Indiana Humanities - Quantum Leap STEAM activities; Blue River Community Foundation - Plaza development, fountain and stage; NASA - STEM activities; Blue River Foundation - help pay for Foundation Center Database- to get funding for individuals and groups
SHOALS PUBLIC LIBRARY	Martin County Community Foundation - STEM programming; Daviess Martin REMC Community Fund - copy machine
SOUTH WHITLEY COMMUNITY PUBLIC LIBRARY	Dollar General Literacy Foundation - Summer Reading; Community Foundation of Whitley County - Summer Concert Series
SPEEDWAY PUBLIC LIBRARY	LSTA grant - STEM programming
SPENCER COUNTY PUBLIC LIBRARY	LSTA - Lego Mindstorm robots
ST JOSEPH COUNTY PUBLIC LIBRARY	St. Joseph County Community Foundation - Arts Everywhere
STARKE COUNTY PUBLIC LIBRARY SYSTEM	LSTA grant - DLITE 3D-Printers
SYRACUSE-TURKEY CREEK TOWNSHIP PUBLIC LIBRARY	Rural Gateways Grant - STEM programming; LSTA grant - digitizing historical materials; MCLS grant - creating a new strategic plan
THORNTOWN PUBLIC LIBRARY	Dollar General - summer reading programming and incentives for youth
TIPTON COUNTY PUBLIC LIBRARY	Tippecanoe Arts Federation - Spring Break Art Camp

TYSON LIBRARY ASSOCIATION, INC	Ripley County Community Foundation - tables and chairs for preschool program
UNION COUNTY PUBLIC LIBRARY	Union County Foundation - summer reading program
VIGO COUNTY PUBLIC LIBRARY	National Endowment for the Arts - the Big Read.
WABASH CARNEGIE PUBLIC LIBRARY	Community Foundation of Wabash County - Makerspace
WANATAH PUBLIC LIBRARY	LSTA Indiana Memory - newspaper digitization
WATERLOO-GRANT TOWNSHIP PUBLIC LIBRARY	Star_Net ( <a href="http://www.starnetlibraries.org">www.starnetlibraries.org</a> ) - eclipse-viewing glasses for our eclipse program
WELLS COUNTY PUBLIC LIBRARY	Wells County Foundation - local yearly grant that supports our teen programming budget.
WEST LAFAYETTE PUBLIC LIBRARY	Indiana Arts Commission - for artists taking part in annual Family Fun Day at the Library/Morton Community Center
WESTFIELD-WASHINGTON PUBLIC LIBRARY	LSTA grant - STEM/STEAM programming, purchase charging stations and purchase 2 databases for Children grades k-6
WESTVILLE-NEW DURHAM TOWNSHIP PUBLIC LIBRARY	LSTA grant - purchase tablets for our AR program
WOLCOTT COMMUNITY PUBLIC LIBRARY	Women Giving Together from the Community Foundation of White County - books and programming in Children's Department

## 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 to brainstorm for ideas, 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 grantmaking organizations with goals that match your project. Using the 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 often make two common mistakes. One is including too little detail about the proposed project and giving insufficient justification for the significance of the need. The other 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 regularly offers a course on grant writing. Please contact the School of Informatics and Computing for more information. <http://ils.indiana.edu>

### Professional Organizations

The Lilly Family School of Philanthropy at Indiana University <https://philanthropy.iupui.edu/professional-development/fundraisingschool/index.html> offers professional development in the area of funding. The Fund Raising School offers courses such as “Proposal Writing and Grant Management” for a fee; courses can be taken online or in-person.

Candid Learning

<https://learning.candid.org/training/courses/>

Candid (formerly Foundation Center) offers a variety of webinars and training courses on fundraising and proposal writing. Once you select a format (live, on-demand), you can filter for free classes.

LYRASIS

<https://www.lyrasis.org/services/Pages/Classes.aspx>

LYRASIS regularly offers classes on grant writing. Past classes have included Grant Writing for Digitization and Preservation Projects and Grant Writing Secrets for Librarians. The site allows you to filter for free classes.

## 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, 2014.

*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.](#)

Carlson, Mim. *Winning grants step by step: the complete workbook for planning, developing, writing, successful proposals*. 2<sup>nd</sup> 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: effective grantsmanship*. 3rd ed., Thousand Oaks, CA: Sage Publications, 2000.

*Directory of Indiana grantmakers*. Indianapolis, Indiana: Grantmakers Alliance, 2006.

Geever, Jane C. *The Foundation Center's guide to proposal writing*. NY: Foundation Center, 1997.

Hall-Ellis, Sylvia D. *Grants for school libraries*. Westport, Conn.: Libraries Unlimited, 2003.

Hall-Ellis, Sylvia D., et. al. *Librarian's handbook for seeking, writing, and managing grants*. Westport, Conn.: Libraries Unlimited, 2011.

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## Online Resources

### **Shaping Outcomes – Online course in Outcomes Based Evaluation**

<http://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**

<http://librarygrants.blogspot.com>

Grant experts/librarians Stephanie Gerding and Pam MacKellar frequently update this blog with new grant opportunities.

### **Minnesota Council on Foundations**

<https://www.mcf.org/sites/default/files/files/pages/writingagrantproposal.pdf>

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?”



## Chapter 16

# 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)

**I.C. 6-1.1-17-20.5 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 likely 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 likely be the county council. The library should discuss the appropriate approving entity with bond counsel, especially if more than 50% of the parcels of real estate in the library district are located outside of the city or town limits. Note, that the approving entity for bond approval purposes may be different than for budget or operating balance purposes.**

**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.**

The material in this chapter is intended for general information purposes only and does not constitute legal advice. The library board should consult, bond counsel or local legal counsel to determine how laws apply to specific situations.

## **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**

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.

Due to the cost of the building, many libraries in Indiana 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) an amount equal to the result of the assessed value growth quotient (AVGQ) for the year multiplied by the amount for the preceding calendar year. The threshold amount is published by DLGF in the Indiana Register not more than sixty (60) days after the agency released the growth quotient for the ensuing year. 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 process. The library will still need to follow the lease or general obligation bond process, as applicable.

For example, for a project in 2020, the threshold described in 2(b) above is \$5,350,950. If a library district has a gross assessed valuation of between \$100,000,000 and \$535,095,000, the library maximum threshold for a non-controlled project would be

1% of the library's gross assessed valuation. If the library's assessed valuation is greater than \$535,095,000, then as long as the total cost of the project does not exceed \$5,350,950, the project is non-controlled.

Under current law, the non-controlled threshold will change each year based on the AVGQ. In 2021, it is expected to increase by 4.2% to \$5,575,689.

**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 (b) an amount equal to the result of the AVGQ for the year multiplied by the threshold amount for the preceding calendar year (the threshold amount is published by DLGF in the Indiana Register not more than sixty (60) days after the agency released the AVGQ for the ensuing year), 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 two hearings 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 two hearings 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 the lesser of [A] 500 voters and taxpayers or [B] 5% of registered voters 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 *(must have at least 525 signers that are registered voters or taxpayers to force a petition/remonstrance race)* 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
- f. Publish and mail notice of the applicability of the petition/ remonstrance process. IC 61.1-20-3.2 *(publication date determines timing of race)*
- g. Race period occurs beginning from the 30<sup>th</sup> day ending on the 60<sup>th</sup> 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. Referendum Process (IC 6-1.1-20-3.5):**

If the library's Controlled Project exceeds the lesser of (a) 1% of the total gross assessed valuation of the library district or (b) the threshold amount equal to the result of the AVGQ for the year multiplied by the threshold amount for the preceding calendar year (the threshold amount is published by DLGF in the Indiana Register not more than sixty (60) days after the agency releases the AVGQ for the ensuing year), 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 two hearings on a preliminary determination to issue bonds. IC 61.1-20-3.5 (*10 day notice*)
- b. Meeting of Board of Trustees to hold two hearings 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 the lesser of [A] 500 voters and taxpayers or [B] 5% of registered voters 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 500 property tax owners or voters or 5% of the 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. The project is placed on the ballot of a scheduled election if the question is certified by the Auditor seventy-four (74) days before a primary election or August 1 before the general or municipal election. Otherwise the question will be placed on the ballot of a special election. The certification must occur not later than seventy-four (74) days before a special election to be held in May, or August 1 if the special election is to be held in November.
- 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.

TABLE OF THRESHOLDS TO DETERMINE VOTER/TAXPAYER PROCESS		
Non-Controlled (No formal power to oppose)	Subject to possible Petition – Remonstrance Process	Subject to possible Referendum Process
If total cost is lesser of:	More than the Non-controlled threshold up to the lesser of:	More than the lesser of:
i) \$5,350,950* or	i) \$16,052,850* or	i) \$16,052,850* or
ii) 1% gross AV but not less than \$1,000,000	ii) 1% of gross AV	ii) 1% of gross AV

\* Will change each year based on growth quotient, these thresholds are for 2020.

## **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. Discuss with bond counsel the timing.**

1. Meeting of Board of Trustees to adopt the bond resolution. IC 6-1.1-20-9
2. Publish notice of determination. (Publish twice, one week apart; and post in three locations within the library district.)
3. Publish notice of hearing on appropriation of bond proceeds. (Publish twice, one week apart; first publication at least 10 days prior to hearing.)
4. Meeting of Board of Trustees to hold hearing on appropriation of bond proceeds and adopt appropriation resolution and final bond resolution. IC 6-1.1-18-5
5. A copy of the additional appropriation proceedings is certified by the secretary to the Department of Government Finance.
6. 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 Indiana Business Journal. If the bonds are to be rated, the rating should be applied for by this time.
7. 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. There should be a due diligence conference call of the bond team to discuss the official statement.
8. 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.
9. 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.
10. 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 hearings
Day 11	Board of Trustees meeting to hold first preliminary determination hearing
Day 12	Board of Trustees meeting to hold second 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 ( <i>first publication</i> )
Day 20	Publish notice of preliminary determination to issue bonds ( <i>second publication</i> )
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 ( <i>first publication</i> )
Day 154	Publish bond sale notice ( <i>second publication</i> )
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 hearings
- Day 11 Board of Trustees meeting to hold first preliminary determination hearing
- Day 12 Board of Trustees meeting to hold second 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
- 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 first preliminary determination
Day 12	Board of Trustees meeting to hold second preliminary determination hearing and adopt preliminary determination resolution
Day 13	Post, publish and mail notice of preliminary determination to issue bonds ( <i>first publication</i> )
Day 20	Publish notice of preliminary determination to issue bonds ( <i>second publication</i> )
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 ( <i>first publication</i> )
Day 62	Publish bond sale notice ( <i>second publication</i> )
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 ( <i>first publication</i> ) Day 9 Publish notice of additional appropriation hearing ( <i>second publication</i> )
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 ( <i>first publication</i> )
Day 22	Publish bond sale notice ( <i>second publication</i> )
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 two public hearings following notice and after meeting publishes notice of determination to enter into lease
- 500 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 two public hearings following notice and after meeting publishes notice of determination to enter into lease.
- 500 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 first preliminary determination hearing
Day 13	Board of Trustees meeting to hold second 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 ( <i>if no application of petition and remonstrance process or referendum is filed</i> ) 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 ( <i>first publication</i> )
Day 149	Publish notice of construction bids ( <i>second publication</i> )
Day 165	Publish Bond Sale Notice ( <i>first publication</i> )
Day 171	Receive construction bids
Day 172	Publish Bond Sale Notice ( <i>second publication</i> )
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 first preliminary determination hearing
Day 13	Library Board meeting to hold second 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 first preliminary determination hearing
- Day 13 Library Board meeting to hold second 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 than 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 after 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.

## **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 on the date of the sale 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. 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.

- 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

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 – <https://www.in.gov/ocra/2375.htm>

USDA Rural Development -<https://www.rd.usda.gov/>

USDA Rural Development-Housing Program-<https://www.rd.usda.gov/about-rd/agencies/rural-housing-service>

## 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 meet present and future needs. Is the space for shelving, seating, and the staff becoming crowded?
  - B. Is rearrangement needed?
    1. 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?*
  - C. 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 non-library 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 of 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.

**For the most recent data on Indiana Public Library Facilities and Construction Status see [Table 13](#) and [Table 13s](#) of the 2018 Indiana Public Library Statistics at <https://www.in.gov/library/5719.htm>.**



## Chapter 17

# **PUBLIC PURCHASES, PURCHASE OF LAND OR STRUCTURES AND INVENTORY OF FIXED ASSETS**

This content is found on the Indiana State Board of Accounts website. The website for Libraries is found here <https://www.in.gov/sboa/4450.htm>. Choose the drop down menu under **Indiana Codes**, then **Public Purchasing Law**. There you will find the definitions and corresponding Indiana Codes.

**State Board of Accounts has always taken the position that libraries are subject to the Public Purchasing Law 5-22-1-2**

### General Rules

The Public Purchasing Law, IC 5-22, applies to every expenditure of public funds by a governmental body to purchase equipment, goods, or materials, unless specifically exempted by law, IC 5-22-1-1.

If the item to be purchased (equipment, goods, or materials, a “supply”, IC 5-22-2-38) has a cost equal to or above \$150,000, then the purchasing agent must follow the competitive bidding procedures of IC 5-22-7.

If the item to be purchased costs less than \$50,000, then the purchasing agent may purchase in accordance with the small purchase policies established by the purchasing agency or under rules adopted by the governmental body, IC 5-22-8-2.

If the item to be purchased costs between \$50,000 and \$150,000, the purchasing agent may purchase supplies by inviting quotes from at least three (3) persons known to deal in the supplies to be purchased, IC 5-22-8-3.

Purchases and purchase requirements may not be artificially divided so as to constitute a small purchase under IC 5-22-8, IC 5-22-8-1(b).

A governmental body may adopt rules to regulate purchases of the governmental body. IC 5-22-3-3

### Small Purchase Policy

For example of small purchasing policy, governing those items costing less than \$50,000, see the Public Library Policies page at <https://www.in.gov/library/3290.htm>. Entry for Small Purchase Policy has sample policy.

### Special Purchasing Methods

The website for Libraries is found here <https://www.in.gov/sboa/4450.htm>. Choose the drop down menu under **Indiana Codes** then **Public Purchasing Law** and locate **Special Purchasing Methods**. Of particular interest to public libraries are auctions, IC 5-22-10-6. Under the heading **Other Special Purchasing Situations** are online reverse auctions, IC 5-22-7.5 (e.g. eBay etc.).

Public purchases less than \$50,000 may be made in accordance with the local purchase policy. Also, special purchasing methods are contained in IC 5-22-10. Specifically IC 5-22-10-4 deals with emergency conditions; and IC 5-22-10-9 is entitled “purchasing method impairs functioning of the agency.”

### Special Savings to Governmental Body IC 5-22-10-5

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.

### Emergency Purchases

#### **IC 5-22-10-4 Emergency conditions**

Sec. 4. (a) A purchasing agent may make a special purchase when there exists, under emergency conditions, a threat to public health, welfare, or safety.

(b) The governor’s security council established by IC 10-19-8.1-2 may make a purchase under this section to preserve security or act in an emergency as determined by the governor.

As added by P.L.49-1997, SEC.1. Amended by P.L.123-2002, SEC.9; P.L.22-2005, SEC.3; P.L.249-2019, SEC.2.

### Purchase of Land or Structures

For information on purchase of land or structures go to <https://www.in.gov/sboa/4450.htm>. Choose the drop down menu under **Indiana Codes** then **Purchase of Land or Structures**. Here you find the Indiana Code governing these purchases.

### Capital Assets Ledger – General Form No. 369

This form is an account for all capital assets owned by the library. It is used to record additions and deletions in capital assets owned by the library. A complete inventory should be taken at least once every two (2) years for good internal control and for verifying account balances carried in the accounting records.

The Capital Assets Ledger, General Form No. 369, can be found in State Board of Accounts

manual that is now on the web; it can be viewed at: <https://www.in.gov/sboa/4450.htm>. Under **Uniform Compliance Guidelines** select Manuals from drop down menu and see Uniform Compliance Guidelines Manual. To find the ledger select “Appendix.”

Public libraries set (by resolution) the threshold amount in determining which items are recorded.



## Chapter 18

# PUBLIC WORKS LAW

This content is found on the Indiana State Board of Accounts website. The website for Libraries is found here <https://www.in.gov/sboa/4450.htm>. Choose the drop down menu for **Indiana Codes** then **Public Works Law**.

### General Rules:

Projects estimated to cost at least \$150,000, [IC 36-1-12-4](#): When the cost of a public work will be at least \$150,000, the board shall comply with the procedure set forth in [IC 36-1-12-4](#) including but not limited to the preparation of plans and specifications, filing such in a location accessible to the public, and publishing notice of the public work and the date for the meeting to receive bids on the project. The board shall hold a meeting for receiving bids that is open to the public. At such meeting, bids shall be opened, read aloud, and the board shall award the contract to the lowest responsible and responsive bidder or reject all bids. See [IC 36-1-12-4](#) for additional details.

The political subdivision or agency 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 \$200,000; and 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 \$200,000. Bond requirements are set forth in [IC 36-1-12-4.5](#).

Except as provided in [IC 36-1-12-6\(b\), \(c\)](#) (use of bonds to finance construction), the board shall award the contract and shall provide the successful bidder with written notice to proceed within 60 days after the date on which bids are opened. If the successful bidder elects to reject the contract and withdraw its bid, notice of that election must be given to the board in writing within 15 days of the 60 day expiration date or any other extension date, [IC 36-1-12-6](#).

Projects estimated to cost between \$50,000 and \$150,000, [IC 36-1-12-4.7](#): Whenever a public work project is estimated to cost at least \$50,000 and less than \$150,000, the board shall invite quotes from at least 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 a specified office. The board shall hold a meeting for receiving quotes that 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. The board shall award the contract for the public work to the lowest responsible and responsive quoter. The board may reject all quotes submitted. See [IC 36-1-12-4.7](#) for additional details.

Projects estimated to cost less than \$50,000, [IC 36-1-12-5](#): A board may proceed under [IC 36-1-12-4](#) or under the following procedure: The board shall invite quotes from at least 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 a specified office. The notice must be mailed not less than 7 days before the time fixed for receiving quotes.

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. The board shall award the contract for the public work to the lowest responsible and responsive quoter. 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. See [IC 36-1-12-5](#) for additional details.

### **Prohibition Against Dividing Project**

Prohibition against dividing project, [IC 36-1-12-19](#): The cost of a single public work project may not be divided into 2 or more projects for the purpose of avoiding the requirement to solicit bids. A bidder or quoter or a person who is a party to a public work contract who knowingly violates this law commits a Class A infraction and may not be a party to or benefit from any contract for two 2 years from the date of the conviction. Any board member or officer of a political subdivision who knowingly violates this law commits a Class A infraction.

The cost of a public work project includes the cost of materials, labor, equipment rental, and all other expenses incidental to the performance of the project.

Contract void, [IC 36-1-12-16](#): 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](#).

In all cases please consult current statutes for up to date information.

**IC 36-1-12-9 Emergencies; contracts by invitation**

Sec. 9. (a) The board, upon a declaration of emergency, may contract for a public work project without advertising for bids if bids or quotes are invited from at least two (2) persons known to deal in the public work required to be done.

(b) The minutes of the board must show the declaration of emergency and the names of the persons invited to bid or provide quotes.

*As added by Acts 1981, P.L.57, SEC.38. Amended by P.L. 329-1985, SEC.21.*



## Chapter 19

# Friends and Foundations

### Friends of the Library

- Every library needs friends.
- In 2014, two-thirds of Indiana's public libraries had an active Friends group.
- 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.

### **Working with your Friends**

#### **1. How to Organize a Friends Group**

- Determine the purpose of and need for the group. This should be done with the director 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.
- Optional- Join ALA's United for Libraries: <http://www.ala.org/united/friends>
- Work on obtaining Federal tax-exempt status [501(c)(3)]. Here is some general information about the 501c designation.
  - [en.wikipedia.org/wiki/501\(c\)3](http://en.wikipedia.org/wiki/501(c)3)
  - [www.501c3.org/what-is-a-501c3/](http://www.501c3.org/what-is-a-501c3/)
- The following IRS URLs will provide helpful information.
  - <http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations>
  - [www.irs.gov/publications/p557/index.html](http://www.irs.gov/publications/p557/index.html)
- State tax-exempt status at
  - [www.in.gov/sos/business/2426.htm](http://www.in.gov/sos/business/2426.htm)

- Many organizations use a lawyer's services. The 501(c)(3) 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.
- Create and publish a membership brochure or website.
- 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.

## **2. Formal Operating Agreement Between the Friends and the Library**

The relationship between Friends and the library can be doomed by misunderstandings about how money and time of the Friends group is spent. Establish a good working relationship to continue to keep members of the Friends group and the library in the loop. A Friends executive board member should always attend a library board meeting; and the library director or an appointed designee should attend Friends executive board meetings. In addition the Friends should be invited to participate in the library's planning process. Being part of the process, understanding the library goals allows the friends to align with those of the library helping reduce conflicts on how resources are employed.

Work out how and who will make decisions regarding the friends' efforts. Ideally it would be a mutual agreement. Ultimately, the authority to accept or reject a gift to the library belongs to the library administration. Perhaps organize an annual meeting to make known the library's wish list with priority order and justification for the request. Of course the Friends have the authority to determine what areas of the wish list to support.

Consider the following for the operating agreement:

- How will the Friends be incorporated into the library's planning process?
- Are friends authorized to spend their funds on organizations, agencies, programs or projects that are not directly linked to the library? If so, under what conditions? Include this in the mission and bylaws of the Friends group. Sometimes spending on other items can be a point of contention.
- What support will the library give to the friends in terms of publicity, mailings, labor for book sale, space for book sale, office space, office staff support, etc.

- Will the friends engage in advocacy campaigns on behalf of the library? If so, who is involved in the design and message of those campaigns?
- Does the Friends have a role or authority for developing and implementing programs?

A sample Memorandum of Understanding is available at the United for Libraries' website at: <http://www.ala.org/united/friends/orgtools>.

### **3. 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 United for Libraries provides?
- 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.

## Resources for Friends

### 1. Indiana Library Federation (ILF)

<https://www.ilfonline.org/>

- Indiana Library Federation leads, educates and advocates to advance library services for the benefit of Indiana residents.
- While the Friends of Indiana Libraries (FOIL) division is not currently active, Friends groups may join to support Indiana Libraries and receive access to the information shared by ILF for a small annual fee.

### 2. United for Libraries

<http://www.ala.org/united/>

109 South 13<sup>th</sup> Street

Suite 117B

Philadelphia, PA 19107

(800) 545-2433, ext. 2161

(312) 280-2161

[united@ala.org](mailto:united@ala.org)

- The mission of United for Libraries is to support citizens who govern, promote, advocate, and fundraise for all types of libraries.
- United for Libraries has the specific responsibility for:
  - 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.

- **United for Libraries Listserv**
  - To join, send an email to [sympa@ala.org](mailto:sympa@ala.org). In the subject line of your message type: subscribe friends Firstname Lastname
  - Insert your own first name and last name as indicated. Leave the body of the message blank (remove any signature that is automatically included). Send the message. In a few minutes you will receive a welcome message and you can then email the listserv.

## **Public Library Foundations**

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. As of 2014, only about one in nine public libraries in Indiana had a foundation.

### **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.

### **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
- Raffles
- ...Any other creative fund-raising idea that is legal!

**Other resources:**

- Indiana Libraries with Foundations and Endowments (updated 2015):
  - [http://www.in.gov/library/files/AR\\_2014\\_Supplemental\\_Questions\\_Friends\\_Foundations\\_and\\_Outreach.xls](http://www.in.gov/library/files/AR_2014_Supplemental_Questions_Friends_Foundations_and_Outreach.xls)
- Indiana Nonprofits: <https://nonprofit.indiana.edu/>
- Serve Indiana: <https://www.in.gov/serveindiana/2336.htm>
- Indiana Counties: Tax Exempt/NonProfit Organizations:
  - [www.taxexemptworld.com/organizations/indiana-counties.asp](http://www.taxexemptworld.com/organizations/indiana-counties.asp)

## Appendix A: Contact Directory

Library Contacts at Indiana State Library	
<b>Indiana State Library</b>	<a href="http://www.in.gov/library">http://www.in.gov/library</a> (317) 232-3675 Toll free (866) 683-0008
<b>Indiana Historical Bureau</b> (State Marker Program and Digitization)	<a href="http://www.in.gov/history/">www.in.gov/history/</a> (317) 232-2535
State Data Center/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 (800) 683-0008
Talking Books & Braille	(317) 232-6384
<b>Library Development Office</b>	Toll free (800) 451-6028 (317) 232-3697 Fax (317) 232-0002 <a href="mailto:statewideservices@library.in.gov">statewideservices@library.in.gov</a>
Public Library Consultants: Hayley Trefun (Budgets, E-Rate) Angela Fox (LSTA, Annual Report)	(317) 232-1938 (317) 234-6550
Indiana Share	<a href="http://www.in.gov/library/ishare.htm">www.in.gov/library/ishare.htm</a> <a href="mailto:share@library.in.gov">share@library.in.gov</a>
InfoExpress: Nicole Brock, Resource Sharing Coordinator	1(877) 835-0014
Book discussion kits	<a href="http://www.in.gov/library/kits.htm">www.in.gov/library/kits.htm</a>

<b>Library Contacts at Indiana State Library (continued)</b>	
<b>Professional Development Office</b>	Toll free (800) 451-6028 (317) 234-5650 Fax (317) 232-3713 statewideservices@library.in.gov
Evergreen Indiana	Anna Goben, <a href="mailto:agoben@library.in.gov">agoben@library.in.gov</a> (317) 234-6624
Certification	Cheri Harris chharris@library.in.gov (317) 234-6217
Children's Services Consultant	Beth Yates byates@library.in.gov (317) 234-5649
Collaborative Summer Library Program	<a href="http://www.csipreads.org">www.csipreads.org</a>
Storytime Kits	<a href="http://www.in.gov/library/3369.htm">www.in.gov/library/3369.htm</a>
<b>Public Library Directory</b>	<a href="http://www.in.gov/library/pldirectory.htm">www.in.gov/library/pldirectory.htm</a>
<b>Public Library Statistics</b>	<a href="http://www.in.gov/library/plstats.htm">www.in.gov/library/plstats.htm</a>
<b>State Agency Contacts</b>	
<b>Department of Local Government and Finance</b>	
Fred Van Dorp	<a href="mailto:FVandorp@dlgf.in.gov">FVandorp@dlgf.in.gov</a> (317) 234-3937
Gateway	<a href="mailto:gateway@dlgf.in.gov">gateway@dlgf.in.gov</a> (317) 232-3777
Additional Appropriations	<a href="mailto:AdditionalAppropriationRequests@dlgf.in.gov">AdditionalAppropriationRequests@dlgf.in.gov</a>

<b>State Agency Contacts</b>	
<b>State Department of Workforce Development</b>	
Employer Handbook Unemployment Insurance	<a href="http://www.in.gov/dwd/files/Employer_Handbook.pdf">www.in.gov/dwd/files/Employer_Handbook.pdf</a>
DWD Contact Information General	(800) 891-6499
<b>State Board of Accounts</b>	
Main Office	<a href="mailto:libraries@sboa.in.gov">libraries@sboa.in.gov</a> <a href="http://www.in.gov/sboa">www.in.gov/sboa</a> (317) 232-2507
Accounting & Uniform Compliance Guidelines Manual for Libraries	<a href="http://www.in.gov/sboa/4450.htm">www.in.gov/sboa/4450.htm</a>
<b>Indiana Archives and Records Administration (IARA)</b>	<a href="http://www.IN.gov/iara">www.IN.gov/iara</a>
Retention & Disposition of Public Records	<a href="http://www.in.gov/iara/3266.htm">http://www.in.gov/iara/3266.htm</a>
<b>Indiana Bond Bank</b>	<a href="http://www.in.gov/bond/">www.in.gov/bond/</a> (317) 233-0888
<b>Indiana Board of Depositories</b>	<a href="http://www.in.gov/deposit">www.in.gov/deposit</a> (317) 232-5257
List of approved depositories	<a href="http://www.in.gov/tos/deposit/2377.htm">www.in.gov/tos/deposit/2377.htm</a>
<b>Indiana Department of Labor</b>	<a href="http://www.in.gov/dol/">www.in.gov/dol/</a> (317) 232-2655 Contact form: <a href="https://www.in.gov/dol/2911.htm">https://www.in.gov/dol/2911.htm</a>
<b>Indiana Department of Revenue</b>	<a href="http://www.in.gov/dor">www.in.gov/dor</a>
<b>Indiana State Department of Health</b>	<a href="http://www.in.gov/isdh">www.in.gov/isdh</a> (317) 233-1325 Contact form: <a href="http://www.in.gov/isdh/23556.htm">www.in.gov/isdh/23556.htm</a>

<b>State Agency Contacts</b>	
<b>Public Access Counselor</b>	<a href="https://www.in.gov/pac/">https://www.in.gov/pac/</a> (317) 234-0906
Counselor	(800) 228-6013
Open Door Law	<a href="https://www.in.gov/pac/files/PAC%20Handbook%202017.pdf">https://www.in.gov/pac/files/PAC%20Handbook%202017.pdf</a>
<b>Indiana Public Retirement System (INPRS) -Public Employment Retirement Fund (PERF)</b>	<a href="http://www.in.gov/inprs/">www.in.gov/inprs/</a> (844) GO-INPRS
<b>State of Indiana Deferred Compensation Plan</b>	<a href="https://www.in.gov/auditor/hoosierstart/index.html">https://www.in.gov/auditor/hoosierstart/index.html</a>
<b>Other Important Contacts</b>	
<b>American Library Association</b>	<a href="http://www.ala.org">www.ala.org</a> (800) 545-2433
<b>Association for Rural and Small Libraries (ARSL)</b>	<a href="http://www.arsl.info">www.arsl.info</a>
<b>ENA Help Desk Support</b>	(888) 612-2880 or <a href="mailto:support@ena.com">support@ena.com</a> <a href="https://www.ena.com/contact-us/">https://www.ena.com/contact-us/</a>
<b>Internal Revenue Service</b>	Government entities can request a governmental information letter by calling 1-877-829-5500 <a href="http://www.irs.gov">www.irs.gov</a>
<b>Provider of Prescribed Forms:</b>	
A.E. Boyce, Muncie, Indiana <a href="http://www.boycesystems.com/">http://www.boycesystems.com/</a>	

## 2020 Indiana Public Library Directors Contact Information (As of 7/27/2020)

<b>Library</b>	<b>Full Name</b>	<b>Email</b>
Adams County Public Library	Kelly Ehinger	<a href="mailto:ehinger@apls.lib.in.us">ehinger@apls.lib.in.us</a>
Akron Carnegie Public Library	Janet Hawley	<a href="mailto:Akronadm@akron.lib.in.us">Akronadm@akron.lib.in.us</a>
Alexandria-Monroe Public Library	Sarah J. Wallace	<a href="mailto:swallace@alexlibrary.net">swallace@alexlibrary.net</a>
Alexandrian Public Library	Marissa Priddis	<a href="mailto:theloudlibrarian@yahoo.com">theloudlibrarian@yahoo.com</a>
Allen County Public Library	Greta Southard	<a href="mailto:gsouthard@acpl.lib.in.us">gsouthard@acpl.lib.in.us</a>
Anderson Public Library	Sarah Later	<a href="mailto:slater@andersonlibrary.net">slater@andersonlibrary.net</a>
Andrews-Dallas Township Public Library	Nancy Anderson Disbro	<a href="mailto:andrewsdirector@gmail.com">andrewsdirector@gmail.com</a>
Argos Public Library	Jane Hall	<a href="mailto:jehall@argoslib.onmicrosoft.com">jehall@argoslib.onmicrosoft.com</a>
Attica Public Library	Brittany Hays	<a href="mailto:a.library@comcast.net">a.library@comcast.net</a>
Aurora Public Library District	Peggy Dean	<a href="mailto:peggy@eapld.org">peggy@eapld.org</a>
Avon-Washington Township Public Library	Laurel Setser	<a href="mailto:lsetser@avonlibrary.net">lsetser@avonlibrary.net</a>
Bartholomew County Public Library	Jason Hatton	<a href="mailto:jhatton@barth.lib.in.us">jhatton@barth.lib.in.us</a>
Barton Rees Pogue Memorial Public Library	Aubrie Wickham	<a href="mailto:bartonrdirector@gmail.com">bartonrdirector@gmail.com</a>
Batesville Memorial Public Library	Kim Porter	<a href="mailto:director@ebatesville.com">director@ebatesville.com</a>
Bedford Public Library	Susan A Miller	<a href="mailto:smiller@bedlib.com">smiller@bedlib.com</a>
Bell Memorial Public Library	Stephen Boggs	<a href="mailto:sboggs@bell.lib.in.us">sboggs@bell.lib.in.us</a>
Benton County Public Library	Amanda Tockert	<a href="mailto:bentoncountyppl@hotmail.com">bentoncountyppl@hotmail.com</a>
Berne Public Library	Kristen Dee	<a href="mailto:director@bernepl.com">director@bernepl.com</a>
Bicknell-Vigo Township Public Library	Deborah Kean	<a href="mailto:kean.deborah@gmail.com">kean.deborah@gmail.com</a>
Bloomfield-Eastern Greene County Public Library	Karen Holz	<a href="mailto:kholz@bloomfield.lib.in.us">kholz@bloomfield.lib.in.us</a>
Boonville-Warrick County Public Library	Brooke Bolton	<a href="mailto:bbolton@boonvillelib.org">bbolton@boonvillelib.org</a>
Boswell-Grant Township Public Library	Marie Brown	<a href="mailto:boswelllib@hotmail.com">boswelllib@hotmail.com</a>
Bourbon Public Library	Nicholas Treber	<a href="mailto:ntreber@bourbon.lib.in.us">ntreber@bourbon.lib.in.us</a>
Brazil Public Library	Jill E Scarbrough	<a href="mailto:jscarbrough@ticz.com">jscarbrough@ticz.com</a>
Bremen Public Library	Christopher Scandling	<a href="mailto:CScandling@bremen.lib.in.us">CScandling@bremen.lib.in.us</a>
Bristol-Washington Township Public Library	Carol Anderson	<a href="mailto:carol@bristol.lib.in.us">carol@bristol.lib.in.us</a>
Brook-Iroquois-Washington Township Public Library	Kristine Wright	<a href="mailto:kwright@brook.lib.in.us">kwright@brook.lib.in.us</a>
Brookston-Prairie Township Public Library	Marilyn Blessing	<a href="mailto:mblessing@brookston.lib.in.us">mblessing@brookston.lib.in.us</a>

<b>Library</b>	<b>Full Name</b>	<b>Email</b>
Brown County Public Library	Stori Snyder	<a href="mailto:director@browncountylibrary.info">director@browncountylibrary.info</a>
Brownsburg Public Library	Denise Robinson	<a href="mailto:drobinson@bburglibrary.net">drobinson@bburglibrary.net</a>
Brownstown Public Library	Sherri May	<a href="mailto:slmay@brownstownpl.org">slmay@brownstownpl.org</a>
Butler Carnegie Public Library	Sarah Dempsey	<a href="mailto:sarah@butlerpubliclibrary.net">sarah@butlerpubliclibrary.net</a>
Cambridge City Public Library	Karen Bays-Winslow	<a href="mailto:director@ccitypl.org">director@ccitypl.org</a>
Camden-Jackson Township Public Library	Tamara Gibbs	<a href="mailto:tgibbs@camden.lib.in.us">tgibbs@camden.lib.in.us</a>
Carmel Clay Public Library	Bob Swanay	<a href="mailto:bswanay@carmel.lib.in.us">bswanay@carmel.lib.in.us</a>
Carnegie Public Library Of Steuben County	Sonya Dintaman	<a href="mailto:sonyad@steuben.lib.in.us">sonyad@steuben.lib.in.us</a>
Centerville-Center Township Public Library	Kim Goble	<a href="mailto:kimegoble@gmail.com">kimegoble@gmail.com</a>
Charlestown Clark County Public Library	June Kruer	<a href="mailto:JKRUER@clarkco.lib.in.us">JKRUER@clarkco.lib.in.us</a>
Churubusco Public Library	Rachel Eyerman	<a href="mailto:buscolibrary@frontier.com">buscolibrary@frontier.com</a>
Clayton-Liberty Township Public Library	Jonnie J Wallis-Halberstadt	<a href="mailto:cltpl@tds.net">cltpl@tds.net</a>
Clinton Public Library	Becky Edington	<a href="mailto:director@clintonpl.lib.in.us">director@clintonpl.lib.in.us</a>
Coatesville-Clay Township Public Library	Korleen Bledsoe	<a href="mailto:cpl@ccrtc.com">cpl@ccrtc.com</a>
Colfax-Perry Township Public Library	Brenda Kinslow	<a href="mailto:bkinslow@colfaxptpl.org">bkinslow@colfaxptpl.org</a>
Converse-Jackson Township Public Library	Andrew Horner	<a href="mailto:converselibrary@gmail.com">converselibrary@gmail.com</a>
Covington-Veedersburg Public Library	Regina George	<a href="mailto:cvpldirector@c-vpl.org">cvpldirector@c-vpl.org</a>
Crawford County Public Library	Tracy Underhill	<a href="mailto:underhill.tracy@gmail.com">underhill.tracy@gmail.com</a>
Crawfordsville District Public Library	Theresa Tyner	<a href="mailto:dir@cdpl.lib.in.us">dir@cdpl.lib.in.us</a>
Crown Point Community Public Library	Julie Wendorf	<a href="mailto:jwendorf@crownpointlibrary.org">jwendorf@crownpointlibrary.org</a>
Culver-Union Township Public Library	Colleen M McCarty	<a href="mailto:cmccarty@culver.lib.in.us">cmccarty@culver.lib.in.us</a>
Danville-Center Township Public Library	Loren C Malloy	<a href="mailto:lmalloy@dpIINDIANA.ORG">lmalloy@dpIINDIANA.ORG</a>
Darlington Public Library	John G Dale	<a href="mailto:butchandconnie@hotmail.com">butchandconnie@hotmail.com</a>
Delphi Public Library	Portia Kapraun	<a href="mailto:pkapraun@delphilibrary.org">pkapraun@delphilibrary.org</a>
Dublin Public Library	Gary Rubendall	<a href="mailto:dublinlibrary@yahoo.com">dublinlibrary@yahoo.com</a>
Dunkirk Public Library	Beth Davidson	<a href="mailto:bdavidson@dunkirk.lib.in.us">bdavidson@dunkirk.lib.in.us</a>
Earl Park-Richland Township Public Library	Carina Nance	<a href="mailto:earlparklibrary@gmail.com">earlparklibrary@gmail.com</a>
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Eckhart Public Library	Janelle H Graber	<a href="mailto:jhgraber@epl.lib.in.us">jhgraber@epl.lib.in.us</a>

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Evansville Vanderburgh Public Library	Scott Kinney	<a href="mailto:ceo@evpl.org">ceo@evpl.org</a>
Fairmount Public Library	Linda Magers	<a href="mailto:fairmountpl@yahoo.com">fairmountpl@yahoo.com</a>
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Fayette County Public Library	Betsy Slavens	<a href="mailto:betsy@fcplibrary.lib.in.us">betsy@fcplibrary.lib.in.us</a>
Flora-Monroe Township Public Library	Rachel Ashcraft	<a href="mailto:rashcraft@flora.lib.in.us">rashcraft@flora.lib.in.us</a>
Fort Branch-Johnson Township Public Library	Laura Happe	<a href="mailto:laura@fortbranchlibrary.com">laura@fortbranchlibrary.com</a>
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Francesville-Salem Township Public Library	Anita Messer	<a href="mailto:amesser@fran-salem.lib.in.us">amesser@fran-salem.lib.in.us</a>
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Matthews Public Library	Jennifer Jones	<b>no email</b>
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Westchester Public Library	Lisa Stamm	<a href="mailto:lisa@wpl.lib.in.us">lisa@wpl.lib.in.us</a>
Westfield Washington Public Library	Sheryl Sollars	<a href="mailto:SSollars@wwpl.lib.in.us">SSollars@wwpl.lib.in.us</a>
Westville-New Durham Township Public Library	Bridget Kraemer	<a href="mailto:director@westville.lib.in.us">director@westville.lib.in.us</a>
Whiting Public Library	Montserrat Inglada	<a href="mailto:montserrat@whiting.lib.in.us">montserrat@whiting.lib.in.us</a>
Willard Library Of Evansville	Gregory Hager	<a href="mailto:ghager@willard.lib.in.us">ghager@willard.lib.in.us</a>
Williamsport-Washington Township Public Library	Christopher Brown	<a href="mailto:cbrown@wwtpl.lib.in.us">cbrown@wwtpl.lib.in.us</a>
Winchester Community Public Library	Jana Barnes	<a href="mailto:wincomlib@yahoo.com">wincomlib@yahoo.com</a>
Wolcott Community Public Library	Deanna Dreblow	<a href="mailto:wolcottlibrary@mywcpl.com">wolcottlibrary@mywcpl.com</a>
Worthington Jefferson Township Public Library	Andrea Fuller	<a href="mailto:andrea.fuller@hotmail.com">andrea.fuller@hotmail.com</a>
York Township Public Library	Lisa Jefvert	<a href="mailto:yorktwplib@gmail.com">yorktwplib@gmail.com</a>



## **Appendix B: Financial Glossary of Terms to Know**

(Participants should become familiar with terms, understand their meaning and be able to apply them to the Public Library Budgeting Process.)

**Department of Local Government Finance (DLGF)** -- state agency that is responsible for:

- Ensuring that laws regarding property tax assessment and local government budgeting are carried out properly.
- Publishing rules governing property tax assessment.
- Annually reviewing and approving the tax rates and levies of every political subdivision in the state, including all counties, cities, towns, townships, school corporations, libraries, and other entities with tax levy authority.
- Gathering and analyzing data relating to property taxation, to maintain databases, and periodically to report on taxation to the General Assembly.
- Providing training to assessing officials and administer an assessment certification program.

Contact: [https://www.in.gov/dlgf/files/Budget\\_Field\\_Reps.pdf](https://www.in.gov/dlgf/files/Budget_Field_Reps.pdf)

**State Board of Accounts** -- people who supervise the way you spend your money after the Department of Local Government Finance has approved it, and who conduct the audits of governmental units.

Contact: <https://www.in.gov/sboa/4450.htm>

**Accounts** -- specific categories within funds from which monies may be expended.

**Ad Valorem** -- according to the value.

**Ad Valorem Tax Levy** -- total property taxes imposed by a taxing unit on current property assessment. It is collected the next year

**Additional Appropriations** -- requests for the approval to expend monies in addition to those already appropriated in the regular budget. The appropriations are for unanticipated revenue or existing revenues not already appropriated, such as monies in the Library Improvement Reserve Fund (LIRF).

Please note that these are requests for authority to spend money, not for the money itself. You must already have the money.

In order to get approval to spend additional monies the library board must pass a resolution, legal notice must be given to taxpayers, and a public hearing is held.

**Adopting County** -- county in which the County Adjusted Gross Income Tax (CAGIT) or County Option Income Tax (COIT) has been adopted.

**Advance Draw** -- advance payment of tax monies collected for distribution to you by the county auditor. It is intended to help alleviate cash flow problems caused by a lack of an operating balance. It is best to ask for an advance draw in the months of April, May, October and November. When asking for an advance draw, ask for 95% of all funds available. A letter must be written to the County Treasurer and County Auditor at least 30 days prior to the requested date(s). Also, a library board resolution should be approved and signed by all board members, either in favor of the advance draw or against the advanced draw.

**Appropriation** -- legally approved budget.

#### **Appropriations**

All "government" funds must be approved for expenditure by the State. This is done in the form of approving expenditures in specific accounts. These are called appropriations. Appropriations must be advertised and approved for the operating fund, BIRF fund, Lease Rental fund, Rainy Day fund, Library Capital Projects fund and Library Improvement Reserve Fund. Gift funds, outside of operating income, are not appropriated.

**Assessed Valuation** -- that fraction of the fair market value of taxable property as set by statute.

**Assessed Value Growth Quotient (AVGQ)** – NOW KNOWN AS MLGQ (Maximum Levy Growth Quotient)

**BIRF** -- Bond and Interest Redemption Fund.

**Budget Year** -- the twelve month period for which a taxing unit adopts a budget, levies and property tax rate--January through December for public libraries.

**CEDIT** -- County Economic Development Income Tax (CEDIT or EDIT)  
One of Indiana's county income taxes. CEDIT is adopted by the county council if the county has the County Adjusted Gross Income Tax (CAGIT), the COIT council if the county has County Option Income Tax (COIT), and either body if the county has neither. Most counties that use CEDIT also have either CAGIT or COIT. **Ended in 2016. See LIT.**

**Certified Distribution** -- the amount of County Adjusted Gross Income Tax (CAGIT) which the commissioner of the Department of Revenue shall, on or before July 1 of each year, certify to the treasurer of a county imposing CAGIT as the amount of tax the county treasurer shall receive during the next succeeding calendar year for allocation and distribution among the taxing units and school corporations.

**Certified Share** -- the amount of County Adjusted Gross Income Tax (CAGIT) which the auditor of a county imposing CAGIT shall certify to each participating taxing unit, including the library, in the county as the amount of tax such participating taxing unit shall receive from the treasurer during the next succeeding calendar year.

**Circuit Breaker** – The means by which no more than a certain percentage of a property’s assessed value is paid in taxes. The percentage represents the “cap” for property taxes on the property. If the taxes for the property exceed the cap percentage, a property tax credit is issued for the dollar amount above the cap. The actual property tax to be paid would then equal the dollar amount of the property’s gross assessed value multiplied by the circuit breaker percentage cap. For example, if a property with a gross assessed value of \$100,000 has a tax bill of \$2,100 and the circuit breaker percentage cap is 2%, a tax credit in the amount of \$100 would be issued for that property, thereby reducing the property tax amount due to \$2,000 or 2% of its gross assessed value.

**Commercial Excise Vehicle Tax (CVET)** -- truck, tractor, trailer, semi trailer, or truck-tractor subject to registration under IC 9-18.

**County Adjusted Gross Income Tax (CAGIT)** -- Taxes collected on County Income and divided into two forms of payment to libraries.

Certified Shares - Approximately 75% of CAGIT

Property Tax Replacement Credit (PTRC) - This is approximately 25% of CAGIT and is used primarily to reduce property taxes.

This is optional by individual counties and may be 1/2, 3/4, or 1% of taxpayer’s income. This tax is distributed to governmental units county-wide, based upon their property tax levy as a percent of the entire county’s and can thus fluctuate from year to year.

These receipts are distributed semi-annually and can fluctuate from year to year based upon the levies of other units and the money available for distribution. Only PTRC goes to schools. **Ended in 2016. See LIT.**

### **County Option Income Tax (COIT)**

This is another county income tax that may be adopted by the county only if it does not have CAGIT or if it rescinds CAGIT. No county can have both taxes.

COIT is not a replacement for property tax. However, income from COIT can be used to increase the Homestead Credit. No schools receive COIT. **Ended in 2016. See LIT.**

**Excess Levy Fund** -- when property tax collection exceeds the library's approved levy, you are required to place this money in a separate "levy excess fund." This money must be used to reduce your levy in next year's budget.

**Excessive Levy Appeals (Library Appeal)** -- As a result of the property tax freeze and the elimination of maximum levies, the only way to increase funding beyond the state limits placed on libraries is to file an excessive levy appeal with the Department of Local Government Finance. The statute allows for the following appeals applicable to libraries:

1. Permission to permanently increase the library's levy in excess of prescribed limitations established if in the judgment of the Department of Local Government Finance such increase is reasonably necessary due to increased costs of the library resulting from annexation, consolidation or other extensions of governmental service by the library to additional geographic areas or persons
2. Permission to permanently increase the library's levy in excess of prescribed limitations if the library unit's three-year average growth factor exceeds one and one tenth (1.1).
3. Permission to the library to increase its levy in excess of prescribed limitations if in the judgment of the Department of Local Government Finance an advertising error, mathematical error, or error in data made at the local level (by the library) had a considerable financial impact in the determination of the civil taxing unit's levy limitations, rate, or levy. The increase to the maximum levy could be permanent or temporary depending on the type of error.
4. Permission to the library to temporarily increase its levy in excess of prescribed limitations if the library suffers a property tax shortfall due to an erroneous assessed value.

**Expenditure** -- actual paying out of funds.

**Funds** -- categories for separating revenues into which funds may be received and disbursed. Typical funds include: operating, improvement reserve, construction, bond, rainy day capital projects, gift and petty cash.

Some funds are required to be broken down into smaller categories for expenditures. These categories are called accounts. One of the most important funds, which must have accounts, is the operating fund.

Funds are categories into which money is received and disbursed on paper. They are not actual bank accounts or investments. You could conceivably have every last penny you own in one checking account in one bank and have several funds. The most you can have in one bank is \$100,000.

**Growth Quotient** -- the estimate of total nonfarm personal income for Indiana in a calendar year as computed by the federal Bureau of Economic Analysis using any actual data for the calendar year and any estimated data determined appropriate by the federal Bureau of Economic Analysis.

Growth Quotient minus 1

- Because it's the growth, it includes the 100% you currently have. So it's like a 4% raise. You figure your new salary by multiplying the current salary by 1.04
- So say your current salary is \$1,000. You get a 4% (0.04) raise, your new raise is  $1,000 \times 1.04 = \$1,040$
- But your raise was just 4% or 0.04, or the growth in salary minus 1 ( $1.04 - 1.00 = .04$ )

**Levy** -- actual amount of dollars raised in property taxes; a product of a specified tax rate and the assessed value.

**Library Tax Rate** -- shall be in the amount of one cent on each hundred dollars of assessed value of taxable property within the library taxing district for Class I libraries.

**Library Improvement Reserve Fund (LIRF)** -- can be established for the accumulation of monies for anticipated future capital expenditures such as: purchase of land; purchase and construction of buildings or structures; construction of additions or improvements to existing structures; purchase of equipment; and all repairs or replacement of buildings or equipment. This money comes from the operating fund and is not a separate tax rate.

**Local Income Tax (LIT)** – Replacement of CAGIT, COIT, CEDIT, and LOIT. Imposed at the county level at a single rate, and then distributed among government units according to their maximum levy.

**LOIT** Local Option Income Tax gives counties the flexibility to fund the costs of local government with local income taxes instead of property taxes. The county decides by ordinance whether to adopt. **Ended in 2016. See LIT.**

**Maximum Levy** -- maximum amount of property taxes that can be raised. The maximum levy, as of 2017, is the prior year maximum levy, plus financial

institutions adjustment (one-time adjustment), times the maximum levy growth quotient, equals the Budget Year Maximum Levy. This is then added to any levy adjustments to equal the working maximum levy for planning purposes. These estimated figures are provided to each political subdivision before August 1.

**Maximum Levy Growth Quotient** -- the amount that the maximum levy is allowed to grow per year as set by the State Budget Agency. This number will be provided by June 30.

**Operating Balance** -- the sum of all your monies (cash, investments, etc.) in the operating fund at the end of the year after all receipts for the year have been received and all appropriations that are going to be spent have been spent.

Three things that this operating balance can go toward are:

1. an increase in next year's budget
2. a reduction in next year's tax levy
3. an increase in operating balance.

All three of these items are on your budget forms. The key in this whole thing is line six (6) budget form 4B (Actual Balance June 30th of present year).

In theory the operating balance should represent the fund's first six months (January 1 to June 30) of operating expenses less miscellaneous revenues (excluding property taxes) received in the same time period. This balance is traditionally used as cash flow for expenditures until your tax draws are received.

There is an old wives' tale that any appropriated monies not spent at the end of the year will be lost. This is not the case. All that you lose is the appropriations. The money, which is not spent, goes to increase your operating balance. This extra must, however, be anticipated when preparing the next year's budget.

**Property Tax Levy** -- actual amount of money to be collected from property owners as charged against their assessed valuation. The formula is:

$$\frac{\text{assessed valuation}}{100} \times \text{tax rate} = \text{tax levy}$$

The tax levy is the maximum statutory levy set for the unit.

**Property Tax Rate** -- figure used to determine how much tax will be charged against a taxpayer's assessed valuation for every \$100.00 worth of valuation. The formula is:

$$\frac{\text{property tax levy}}{\text{assessed valuation}} \times 100 = \text{property tax rate}$$

**Public Employees Retirement Fund (PERF)** -- a retirement program to provide retirement, disability and survivor benefits for its members.

**Rainy Day Fund** – can be established to receive transfers of unused and unencumbered funds (not more than ten percent of operating fund per fiscal year). Funds other than operating funds may be added to the rainy day fund. It is subject to the same appropriation process as other funds that receive tax money. See IC 36-1-8-5.1

**Revenues (Receipts)** -- all of the monies you take in and they can be of several types. There are:

- Property Taxes - paid semi-annually in the summer and at the end of the year
- Local Income Taxes (LIT)
- License Excise, FIT (Financial Institutions Tax) - distributed with property tax
- Commercial Vehicle Excise Tax (CVET) -This is an excise tax on commercial vehicles that has recently been moved from property tax rolls.
- To receive money from Indiana State Library a library must meet Standards for Public Libraries.
- PLAC sold - Public Library Access Card - any citizen residing in a public library district or any citizen who purchases a non-resident card, may then purchase a PLAC for a set amount of money, determined by law each year, and use any public library in Indiana. Must be deposited in a fund entitled PLAC fund. Quarterly, this revenue is sent to the Indiana State Library for deposit into the statewide PLAC fund.
- PLAC disbursement - Distributed by Indiana State Library in July, based on net loans your library has. Money received from PLAC sold is distributed back to libraries yearly.
- Miscellaneous Revenues - such as fines, fees, etc.
- Loans - (Tax Anticipated Warrants, or Bonds)

Revised 3-2012; Edited 7-2019; 6-2-2020

## Appendix C: Indiana Public Library Annual Report 2019

### 1 - General Information

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

Please provide the most current information available.

01- 001	Name of the person preparing this report	_____
01- 002	Preparer's phone number	_____
01- 003	Time zone in which the library's administrative entity is located	_____
01- 004	Library name	_____
01- 005	Library class	_____
01- 006	Library director	_____
01- 007	Street address	_____
01- 008	City	_____
01- 009	ZIP code	_____
01- 010	Is the mailing address the same as the address listed above?	_____
01- 011	Mailing address	_____
01- 012	Mailing city	_____
01- 013	Mailing ZIP code	_____
01- 014	Congressional district number	_____
01- 015	<b>Phone</b>	_____
01- 016	Fax	_____
01- 017	<b>Does your library have an answering machine, voicemail or other similar technology?</b>	_____
01- 018	<b>Library URL</b>	_____

01- Public library email address, or a means of  
019 electronic contact listed on the library's website \_\_\_\_\_

Building Questions

01- Year the current central library was built  
020 \_\_\_\_\_

01- Year of the most recent structural addition or  
021 alteration to the current central library \_\_\_\_\_

01- Square footage of the central library  
022 \_\_\_\_\_

01-023 Click [here](#) to complete the central library daily hours.

This link will take you to a table where you can record the typical hours that the central library is open.

Please enter the hours that the library is open during a typical week. These are the hours which will be made available online at <http://www.in.gov/library/pldirectory.htm> and updated as you notify us of changes.

01- Please enter any non-standard central library  
023a hours that cannot be entered into the daily hours form. For example, if your library closes for an hour for lunch, or if you have a special winter schedule, please note that here. \_\_\_\_\_

01- **Total number of hours the central library is  
038 open during a typical week** \_\_\_\_\_

01- **Total number of hours per week the central  
039 library is open after 5:00 PM** \_\_\_\_\_

01- **Total number of hours per week the central  
040 library is open on Saturday** \_\_\_\_\_

01- **Total number of hours per week the central  
041 library is open on Sunday** \_\_\_\_\_

01- Number of weeks per year the central library was  
042 open in 2019 \_\_\_\_\_

01- **Total hours the central library was open in  
043 2019** \_\_\_\_\_

Internet Access

01- Does the library provide internet access?  
044 \_\_\_\_\_

01- What type of internet access is available in the  
045 central library? \_\_\_\_\_

01- Specify the download speed of internet access in  
046 the central library. \_\_\_\_\_

Please specify the unit of measurement (e.g. 20 MBPS)

Branch Information

01- Total number of branches *(If this answer = 0, skip*  
200 *questions 01-200a through 01-237)* \_\_\_\_\_

Individual Branch Information

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

01- Branch name  
200a \_\_\_\_\_

01- Branch street address  
201a \_\_\_\_\_

01- Branch city  
202a \_\_\_\_\_

01- Branch county  
203a \_\_\_\_\_

01- Branch ZIP  
204a \_\_\_\_\_

01- Is the mailing address the same as the address  
205a listed above? \_\_\_\_\_

01- Branch mailing address  
206a \_\_\_\_\_

01- Phone  
207a \_\_\_\_\_

01- Fax  
208a \_\_\_\_\_

01- Year built  
209a \_\_\_\_\_

01- Year of the most recent structural addition or  
210a alteration to branch building \_\_\_\_\_

01- Square footage of branch  
211a \_\_\_\_\_

01- Number of weeks per year individual branch was  
212a open in 2019 \_\_\_\_\_

01- Monday opening time  
213a \_\_\_\_\_

01- Monday closing time  
214a \_\_\_\_\_

01- Tuesday opening time  
215a \_\_\_\_\_

01- Tuesday closing time  
216a \_\_\_\_\_

01- Wednesday opening time  
217a \_\_\_\_\_

01- Wednesday closing time  
218a \_\_\_\_\_

01- Thursday opening time  
219a \_\_\_\_\_

01- Thursday closing time 220a	_____
01- Friday opening time 221a	_____
01- Friday closing time 222a	_____
01- Saturday opening time 223a	_____
01- Saturday closing time 224a	_____
01- Sunday opening time 225a	_____
01- Sunday closing time 226a	_____
01- Total open hours for the branch library during a 227a typical week.	_____
01- Does the branch library provide internet access? 228a	_____
01- What type of internet access is available in the 229a branch library?	_____
01- Specify the download speed of internet access in 230a the branch library	_____
01- Branch name 200a	_____
01- Branch street address 201a	_____
01- Branch city 202a	_____
01- Branch county 203a	_____
01- Branch ZIP 204a	_____
01- Is the mailing address the same as the address 205a listed above?	_____
01- Branch mailing address 206a	_____
01- Phone 207a	_____
01- Fax 208a	_____
01- Year built 209a	_____
01- Year of the most recent structural addition or 210a alteration to branch building	_____

01- 211a	Square footage of branch	_____
01- 212a	Number of weeks per year individual branch was open in 2019	_____
01- 213a	Monday opening time	_____
01- 214a	Monday closing time	_____
01- 215a	Tuesday opening time	_____
01- 216a	Tuesday closing time	_____
01- 217a	Wednesday opening time	_____
01- 218a	Wednesday closing time	_____
01- 219a	Thursday opening time	_____
01- 220a	Thursday closing time	_____
01- 221a	Friday opening time	_____
01- 222a	Friday closing time	_____
01- 223a	Saturday opening time	_____
01- 224a	Saturday closing time	_____
01- 225a	Sunday opening time	_____
01- 226a	Sunday closing time	_____
01- 227a	Total open hours for the branch library during a typical week.	_____
01- 228a	Does the branch library provide internet access?	_____
01- 229a	What type of internet access is available in the branch library?	_____
01- 230a	Specify the download speed of internet access in the branch library	_____
01- 200a	Branch name	_____
01- 201a	Branch street address	_____

01- Branch city 202a	_____
01- Branch county 203a	_____
01- Branch ZIP 204a	_____
01- Is the mailing address the same as the address 205a listed above?	_____
01- Branch mailing address 206a	_____
01- Phone 207a	_____
01- Fax 208a	_____
01- Year built 209a	_____
01- Year of the most recent structural addition or 210a alteration to branch building	_____
01- Square footage of branch 211a	_____
01- Number of weeks per year individual branch was 212a open in 2019	_____
01- Monday opening time 213a	_____
01- Monday closing time 214a	_____
01- Tuesday opening time 215a	_____
01- Tuesday closing time 216a	_____
01- Wednesday opening time 217a	_____
01- Wednesday closing time 218a	_____
01- Thursday opening time 219a	_____
01- Thursday closing time 220a	_____
01- Friday opening time 221a	_____
01- Friday closing time 222a	_____
01- Saturday opening time 223a	_____

- 01- Saturday closing time  
224a \_\_\_\_\_
- 01- Sunday opening time  
225a \_\_\_\_\_
- 01- Sunday closing time  
226a \_\_\_\_\_
- 01- Total open hours for the branch library during a  
227a typical week. \_\_\_\_\_
- 01- Does the branch library provide internet access?  
228a \_\_\_\_\_
- 01- What type of internet access is available in the  
229a branch library? \_\_\_\_\_
- 01- Specify the download speed of internet access in  
230a the branch library \_\_\_\_\_
- 01- Total annual hours of all branches  
237 \_\_\_\_\_

Bookmobile Information

- 01- Total number of bookmobiles (*If this answer = 0,*  
300 *skip questions 01-301a through 01-316*) \_\_\_\_\_

Individual Bookmobile Information

- 01- Bookmobile name  
301a \_\_\_\_\_
- 01- Street address  
302a \_\_\_\_\_
- 01- City  
303a \_\_\_\_\_
- 01- County  
304a \_\_\_\_\_
- 01- ZIP  
305a \_\_\_\_\_
- 01- Is your mailing address the same as the address  
306a listed above? \_\_\_\_\_
- 01- Mailing address  
307a \_\_\_\_\_
- 01- Phone  
308a \_\_\_\_\_
- 01- Fax  
309a \_\_\_\_\_
- 01- Total number of hours the bookmobile is open  
310a during a typical week \_\_\_\_\_
- 01- Number of weeks per year the bookmobile is  
311a open \_\_\_\_\_
- 01- Bookmobile name  
301a \_\_\_\_\_

01- Street address	
302a	_____
01- City	
303a	_____
01- County	
304a	_____
01- ZIP	
305a	_____
01- Is your mailing address the same as the address	
306a listed above?	_____
01- Mailing address	
307a	_____
01- Phone	
308a	_____
01- Fax	
309a	_____
01- Total number of hours the bookmobile is open	
310a during a typical week	_____
01- Number of weeks per year the bookmobile is	
311a open	_____
01- Bookmobile name	
301a	_____
01- Street address	
302a	_____
01- City	
303a	_____
01- County	
304a	_____
01- ZIP	
305a	_____
01- Is your mailing address the same as the address	
306a listed above?	_____
01- Mailing address	
307a	_____
01- Phone	
308a	_____
01- Fax	
309a	_____
01- Total number of hours the bookmobile is open	
310a during a typical week	_____
01- Number of weeks per year the bookmobile is	
311a open	_____
01- <b>Total annual hours of all bookmobiles</b>	
312	_____

01- Total system public service hours per year \_\_\_\_\_  
500

## 2 - Registrations

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

02- Total number of resident registered users \_\_\_\_\_  
001

02- Total number of users from contracting areas \_\_\_\_\_  
002

02- Total number of non-resident registered users \_\_\_\_\_  
003

02- Total number of reciprocal users \_\_\_\_\_  
004

02- Total number of PLAC users \_\_\_\_\_  
005

02- Total number of non-resident cards issued to \_\_\_\_\_  
006 student users

02- Total number of non-resident cards issued to \_\_\_\_\_  
007 school employees

02- Total number of non-resident cards issued to \_\_\_\_\_  
008 library employees

02- Amount of non-resident fee \_\_\_\_\_  
009

02- Date the library board adopted this fee \_\_\_\_\_  
010

02- Does your library annually purge or mark inactive \_\_\_\_\_  
011 accounts for those patrons who have not used  
their accounts for the last three (3) years and do  
not owe materials, fines, or fees to the library?

## 3 - Libraries and Political Subdivisions

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

If your library district is located in more than one county or is a county contractual, please list information for both counties or library and contractual division.

See the instructions for a description of the political divisions.

2010 Census figures are used for all calculations

03- Name of primary county \_\_\_\_\_  
001

03-002	Total assessed valuation for library district	_____
03-003	Operating tax rate	_____
03-004	Source year for data	_____
03-005	Debt fund tax rate	_____
03-006	LCPF tax rate	_____
03-007	Did your library roll the LCPF into the operating tax rate?	_____
03-008	Name of additional county	_____
03-009	Total assessed valuation for additional county	_____
03-010	Operating tax rate for additional county	_____
03-011	Debt fund tax rate	_____
03-012	LCPF tax rate	_____
03-013	<b>Total district population without contracts</b>	_____
03-014	<b>Total district population with contracts</b>	_____
03-015	Political subdivision name	_____
03-016	Type of political unit (taxed units 1, 2, 3, 4, 9, 11, 12 only)	_____
03-017	Population <u>2010 census</u> (taxed and served)	_____
03-018	Type of political unit (contracting units 5, 6, 7, 8, 10 only)	_____
03-019	Population <u>2010 census</u> (served by contract)	_____
03-020	Were there any changes to your library's service area?	_____
	( Changes may include annexations, mergers, or changes to contracts. )	_____
03-021	If the answer to 03-020 is YES, please explain	_____

**4 - Operating Revenue**

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

Local Government Revenue

04- 001	Property tax or CEDIT income from library tax rate	_____
04- 002	Miscellaneous income taxes or LIT (Local Income Tax)	_____
04- 003	Contractual revenue received for service	_____
04- 004	<b>Total local government revenue</b>	_____

State Government Revenue

04- 005	Financial Institutions Tax (FIT)	_____
04- 006	License Vehicle Excise Tax	_____
04- 007	Commercial Vehicle Excise Tax (CVET)	_____
04- 008	State Technology Grant Fund	_____
04- 009	Other state income	_____
04- 010	Source(s):	_____
04- 011	<b>Total state revenue</b>	_____

Federal Government Revenue

04- 012	LSTA grants	_____
04- 013	Other federal income	_____
04- 014	Source(s)	_____
04- 015	<b>Total federal revenue</b>	_____

Other Revenue

04- 016	PLAC reimbursement	_____
04- 017	Fines and fees	_____
04- 018	Interest on investments	_____

04-019	Gift receipts income	_____
04-020	Private and public foundation grants income	_____
04-021	Miscellaneous income	_____
04-022	Source(s)	_____
04-023	<b>Total other revenue</b>	_____
04-024	<b>Total revenue</b>	_____

**5 - Operating Fund Expenditures**

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

Staff and Supplies

05-001	Salaries/wages of all library staff	_____
05-002	Employee benefits	_____
05-003	Other personal services	_____
05-004	<b>Total personal services</b>	_____
05-005	<b>Total staff expenditures</b>	_____
05-006	Total supplies	_____

Other Services and Charges

05-007	Professional services	_____
05-008	Communication and transportation	_____
05-009	Printing and advertising	_____
05-010	Insurance	_____
05-011	Utility services	_____
05-012	Repairs and maintenance	_____

05-013	Rentals	_____
05-014	Debt service	_____
05-015	Lease rental	_____
05-016	Other	_____
05-017	<b>Total of other services and charges</b>	_____

Capital Outlays from Operating Fund Expenditures

05-018	Land	_____
05-019	Buildings	_____
05-020	Improvements other than buildings	_____
05-021	Furniture and equipment	_____
05-022	Capital outlays for public access computers, e-readers and electronic media devices <b>DO NOT REPORT in Q05-021</b>	_____

Library Materials - Operating Fund Expenditures

05-023	Books (include book lease)	_____
05-024	Periodicals and newspapers	_____
05-025	Audio/Visual materials, microforms, and other non-printed, physical materials	_____
05-026	E-book, electronic collections, and database licensing/purchase/lease expenditures	_____
05-027	Electronic physical format, including Playaways and e-book readers	_____

Library Materials - Non-Operating Fund Expenditures

05-028	Books (include book lease)	_____
05-029	Periodicals and newspapers	_____
05-030	Audio/Visual materials, microforms, and other non-printed, physical materials	_____
05-031	E-book and electronic database licensing/purchase/lease expenditures	_____
05-032	Electronic physical format, including Playaways and e-book readers	_____

05-033	Total expenditures for print materials	_____
05-034	Total expenditures for electronic materials	_____
05-035	Total expenditures for other materials	_____
05-036	Total expenditures for collections	_____
05-037	Total operating fund capital outlays	_____
05-038	Total operating fund expenditure for collection development	_____
05-039	Total non-operating fund expenditure for collection development	_____
05-040	Public access computers, e-readers and electronic media devices from all non-operating funds	_____
05-041	Total operating fund expenditures	_____
05-042	Other operating expenditures	_____
05-043	Total operating expenditures	_____
05-044	Total capital fund expenditures	_____
<u>Non-Resident Fee Standard</u>		
05-045	Total collection expenditures	_____
05-046	Total 2018 operating expenditures per capita	_____
05-047	Difference between 2019 OE per capita and non-resident fee (subtract Q02-009 from Q05-046). If the output is a positive number, then your library's non-resident fee needs to be raised to match or exceed the operating expenditure per capita	_____
05-047a	Does your library's non-resident fee meet the standard? (Select YES if 05-047 is a negative number; Select NO if 05-047 is a positive number)	_____
05-048	Total 2019 operating expenditures per capita. PLEASE MAKE SURE YOUR 2020 NON-RESIDENT FEE IS EQUAL OR GREATER THAN THIS AMOUNT	_____

Collection Development Standard

05- Collection development expenditure (from all  
049 funds) as a percentage of operating fund  
expenditure \_\_\_\_\_

## 6 - Capital Revenue

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

06- Local government capital revenue  
001 \_\_\_\_\_

06- State government capital revenue  
002 \_\_\_\_\_

06- Federal government capital revenue  
003 \_\_\_\_\_

06- Other capital revenue  
004 \_\_\_\_\_

06- **Total capital revenue**  
005 \_\_\_\_\_

## 7 - Employment Data

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

### ALA-MLS Librarians

07- Total number of all librarians with an ALA-MLS  
001 \_\_\_\_\_

07- Total number of paid hours per week for all ALA-  
002 MLS librarians \_\_\_\_\_

07- **FTE for all librarians with an ALA-MLS**  
003 \_\_\_\_\_

### All Librarians

07- Total number of all librarians, including ALA-MLS  
004 librarians \_\_\_\_\_

07- Total number of paid hours per week for all  
005 librarians, including ALA-MLS librarians \_\_\_\_\_

07- **FTE for all librarians**  
006 \_\_\_\_\_

### All Other Staff

07- Total number of all other paid staff  
007 \_\_\_\_\_

07- Total number of paid hours per week for all other  
008 paid staff \_\_\_\_\_

07- **FTE for all other paid staff**  
009 \_\_\_\_\_

- 07- **Total number of all paid staff**  
010 \_\_\_\_\_
- 07- **Total hours per week for all paid staff**  
011 \_\_\_\_\_
- 07- **FTE for all paid staff**  
012 \_\_\_\_\_
- 07- Number of hours per week considered to be full-  
013 time employment in your library \_\_\_\_\_

## 8 - Library Service and Technology

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

### Interlibrary Loans

- 08- Number of interlibrary loan items (including  
001 photocopies) your library has provided to other  
libraries \_\_\_\_\_
- 08- Evergreen transits to other libraries. Number will  
002 be supplied by the Indiana State Library \_\_\_\_\_
- 08- SRCS materials provided to other libraries.  
003 Number will be supplied by the Indiana State  
Library \_\_\_\_\_
- 08- **Total number of loans provided to other libraries**  
004 \_\_\_\_\_
- 08- Number of interlibrary loan items (including  
005 photocopies) your library has borrowed from other  
libraries \_\_\_\_\_
- 08- Evergreen transits received from other libraries.  
006 Number will be supplied by the Indiana State  
Library \_\_\_\_\_
- 08- SRCS materials received from other libraries.  
007 Number will be supplied by the Indiana State  
Library \_\_\_\_\_
- 08- **Total number of loans received from other**  
008 **libraries** \_\_\_\_\_
- 08- **Net lending rate**  
009 \_\_\_\_\_

### Children's (0 - 11 years) Library Programs

- 08- **Number of children's programs held in the library**  
010 \_\_\_\_\_
- 08- **Number of children's programs held outside of the**  
011 **library** \_\_\_\_\_

### Young Adult (12 - 18 years) Library Programs

- 08- **Number of young adult programs held in the**  
012 **library** \_\_\_\_\_

08- Number of young adult programs held outside of  
013 the library \_\_\_\_\_

Adult (18+ years) Library Programs

08- Number of adult programs held in the library  
014 \_\_\_\_\_

08- Number of adult programs held outside of the  
015 library \_\_\_\_\_

General (All Ages) Library Programs

08- Number of general (all ages) programs held in the  
016 library \_\_\_\_\_

08- Number of general (all ages) programs held  
017 outside of the library \_\_\_\_\_

08- Total number of non-library sponsored programs  
018 \_\_\_\_\_

08- Total number of all library sponsored programs  
019 \_\_\_\_\_

Attendance at Children's (0 - 11 years) Programs

08- Attendance at children's programs held in the  
020 library \_\_\_\_\_

08- Attendance at children's programs held outside of  
021 the library \_\_\_\_\_

Attendance at Young Adult (12 - 18 years) Programs

08- Attendance at young adult programs held in the  
022 library \_\_\_\_\_

08- Attendance at young adult programs held outside  
023 of the library \_\_\_\_\_

Attendance at Adult (18+ years) Programs

08- Attendance at adult programs held in the library  
024 \_\_\_\_\_

08- Attendance at adult programs held outside of the  
025 library \_\_\_\_\_

Attendance at General (All Ages) Programs

08- Attendance at general (all ages) programs held in  
026 the library \_\_\_\_\_

08- Attendance at general (all ages) programs held  
027 outside of the library \_\_\_\_\_

Attendance Totals

08- Total attendance at non-library sponsored  
028 programs \_\_\_\_\_

08- Total children's program attendance  
029 \_\_\_\_\_

08- Total young adult program attendance  
030 \_\_\_\_\_

08- Total attendance at library sponsored programs  
031 \_\_\_\_\_

Children's Reading Program

08- How many weeks of a Children's Reading  
032 Program did your library offer at each fixed  
location? \_\_\_\_\_

08- Total number of annual visits to the library  
033 \_\_\_\_\_

08- **Total number of reference transactions per**  
034 **year** \_\_\_\_\_

08- Instructional references services  
035 \_\_\_\_\_

Electronic Collections (includes Licensed Databases)

08- Number of state-licensed databases (INSPIRE  
036 databases) \_\_\_\_\_

08- Number of local and other licensed databases  
037 (not INSPIRE) \_\_\_\_\_

08- Name(s) of public use/commercial databases to  
038 which the library subscribes \_\_\_\_\_

08- Total electronic collections  
039 \_\_\_\_\_

Public Computers

08- Number of public internet computer uses per year  
040 \_\_\_\_\_

08- Number of wireless internet uses per year  
041 \_\_\_\_\_

08- Number of public computers system-wide  
042 \_\_\_\_\_

08- Number of staff computers  
043 \_\_\_\_\_

08- Number of website visits  
044 \_\_\_\_\_

Library System Automation

08- Does your library have an automated  
045 bookkeeping system? \_\_\_\_\_

08- Name of bookkeeping system  
046 \_\_\_\_\_

08- Brand and version of Integrated Library System  
047 \_\_\_\_\_

**9 - Circulation and Holdings**

Questions relating to standards are in bolded blue font.

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

09- Circulation of physical Items  
001 \_\_\_\_\_

09-002	Use of electronic materials ( <i>e.g. e-books circulated or electronic materials downloaded annually</i> )	_____
09-003	Successful retrieval of electronic information ( <i>e.g. electronic material usage or views not meeting the definition of circulation and not otherwise reported in 09-002</i> )	_____
09-004	<b>Total electronic content use</b>	_____
09-005	Circulation of all children's materials	_____
09-006	<b>Total circulation of all materials</b>	_____
09-007	<b>Total collection use</b>	_____
09-008	Total in-house usage of materials	_____
	<u>Selected Holdings</u>	
09-009	<b>Books (print)</b>	_____
09-010	Does the library belong to an e-book consortium?	_____
09-011	Name of e-book consortium	_____
09-012	E-books (LOCAL HOLDINGS)	_____
09-013	E-books (CONSORTIUM HOLDINGS)	_____
09-014	<b>E-books (TOTAL)</b>	_____
09-015	Video materials - physical units	_____
09-016	Video materials - downloadable units (LOCAL HOLDINGS)	_____
09-017	Video materials - downloadable units (CONSORTIUM HOLDINGS)	_____
09-018	<b>Video materials - downloadable units (TOTAL)</b>	_____
09-019	Audio materials - physical units	_____
09-020	Audio materials - downloadable units (LOCAL HOLDINGS)	_____
09-021	Audio materials - downloadable units (CONSORTIUM HOLDINGS)	_____
09-022	<b>Audio materials - downloadable units (TOTAL)</b>	_____

- 09- Current print serial subscriptions \_\_\_\_\_  
023
- 09- Current electronic serials subscriptions \_\_\_\_\_  
024
- 09- Non-traditional items, realia, or kits - physical \_\_\_\_\_  
025 units
- 09- Does your library circulate hotspots? \_\_\_\_\_  
026

**10 - Library Board**

**Questions relating to standards are in bolded blue font.**

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

- 10- Position: President \_\_\_\_\_  
0001
- 10- First name \_\_\_\_\_  
0002
- 10- Middle initial/name \_\_\_\_\_  
0003
- 10- Last name \_\_\_\_\_  
0004
- 10- Home address \_\_\_\_\_  
0005
- 10- City \_\_\_\_\_  
0006
- 10- ZIP code \_\_\_\_\_  
0007
- 10- Email address \_\_\_\_\_  
0008
- 10- Appointing authority \_\_\_\_\_  
0009
- 10- Date term expires \_\_\_\_\_  
0010
- 10- Number of consecutive terms \_\_\_\_\_  
0011
- 10- Date of initial appointment \_\_\_\_\_  
0012
- 10- Position: Vice President \_\_\_\_\_  
0101
- 10- First name \_\_\_\_\_  
0102
- 10- Middle initial/name \_\_\_\_\_  
0103
- 10- Last name \_\_\_\_\_  
0104

10- 0105	Home address	_____
10- 0106	City	_____
10- 0107	ZIP code	_____
10- 0108	Email address	_____
10- 0109	Appointing authority	_____
10- 0110	Date term expires	_____
10- 0111	Number of consecutive terms	_____
10- 0112	Date of initial appointment	_____
10- 0201	Position: Secretary	_____
10- 0202	First name	_____
10- 0203	Middle initial/name	_____
10- 0204	Last name	_____
10- 0205	Home address	_____
10- 0206	City	_____
10- 0207	ZIP code	_____
10- 0208	Email address	_____
10- 0209	Appointing authority	_____
10- 0210	Date term expires	_____
10- 0211	Number of consecutive terms	_____
10- 0212	Date of initial appointment	_____
10- 0301	Position: Treasurer (Boards may have either a treasurer or treasurer/employee, but not both)	_____
10- 0302	First name	_____

10- Middle initial/name  
0303 \_\_\_\_\_

10- Last name  
0304 \_\_\_\_\_

10- Home address  
0305 \_\_\_\_\_

10- City  
0306 \_\_\_\_\_

10- ZIP code  
0307 \_\_\_\_\_

10- Email address  
0308 \_\_\_\_\_

10- Appointing authority  
0309 \_\_\_\_\_

10- Date term expires  
0310 \_\_\_\_\_

10- Number of consecutive terms  
0311 \_\_\_\_\_

10- Date of initial appointment  
0312 \_\_\_\_\_

10- Position: Treasurer / Employee (Boards may have  
0401 either a treasurer or treasurer/employee, but not  
both) \_\_\_\_\_

10- First name  
0402 \_\_\_\_\_

10- Middle initial/name  
0403 \_\_\_\_\_

10- Last name  
0404 \_\_\_\_\_

10- Home address  
0405 \_\_\_\_\_

10- City  
0406 \_\_\_\_\_

10- ZIP code  
0407 \_\_\_\_\_

10- Email address  
0408 \_\_\_\_\_

10- Position: Member  
0501 \_\_\_\_\_

10- First name  
0502 \_\_\_\_\_

10- Middle initial/name  
0503 \_\_\_\_\_

10- Last name  
0504 \_\_\_\_\_

10- Home address  
0505 \_\_\_\_\_

10- City  
0506 \_\_\_\_\_

10- ZIP code  
0507 \_\_\_\_\_

10- Email address  
0508 \_\_\_\_\_

10- Appointing authority  
0509 \_\_\_\_\_

10- Date term expires  
0510 \_\_\_\_\_

10- Number of consecutive terms  
0511 \_\_\_\_\_

10- Date of initial appointment  
0512 \_\_\_\_\_

10- Position: Member  
0601 \_\_\_\_\_

10- First name  
0602 \_\_\_\_\_

10- Middle initial/name  
0603 \_\_\_\_\_

10- Last name  
0604 \_\_\_\_\_

10- Home address  
0605 \_\_\_\_\_

10- City  
0606 \_\_\_\_\_

10- ZIP code  
0607 \_\_\_\_\_

10- Email address  
0608 \_\_\_\_\_

10- Appointing authority  
0609 \_\_\_\_\_

10- Date term expires  
0610 \_\_\_\_\_

10- Number of consecutive terms  
0611 \_\_\_\_\_

10- Date of initial appointment  
0612 \_\_\_\_\_

10- Position: Member  
0701 \_\_\_\_\_

10- First name  
0702 \_\_\_\_\_

10- Middle initial/name 0703	_____
10- Last name 0704	_____
10- Home address 0705	_____
10- City 0706	_____
10- ZIP code 0707	_____
10- Email address 0708	_____
10- Appointing authority 0709	_____
10- Date term expires 0710	_____
10- Number of consecutive terms 0711	_____
10- Date of initial appointment 0712	_____
10- Position: Member 0801	_____
10- First name 0802	_____
10- Middle initial/name 0803	_____
10- Last name 0804	_____
10- Home address 0805	_____
10- City 0806	_____
10- ZIP code 0807	_____
10- Email address 0808	_____
10- Appointing authority 0809	_____
10- Date term expires 0810	_____
10- Number of consecutive terms 0811	_____
10- Date of initial appointment 0812	_____

10- 0901	Position: Member	_____
10- 0902	First name	_____
10- 0903	Middle initial/name	_____
10- 0904	Last name	_____
10- 0905	Home address	_____
10- 0906	City	_____
10- 0907	ZIP code	_____
10- 0908	Email address	_____
10- 0909	Appointing authority	_____
10- 0910	Date term expires	_____
10- 0911	Number of consecutive terms	_____
10- 0912	Date of initial appointment	_____
10- 1001	Position: Member	_____
10- 1002	First name	_____
10- 1003	Middle initial/name	_____
10- 1004	Last name	_____
10- 1005	Home address	_____
10- 1006	City	_____
10- 1007	ZIP code	_____
10- 1008	Email address	_____
10- 1009	Appointing authority	_____
10- 1010	Date term expires	_____

10-	Number of consecutive terms	
1011		_____
10-	Date of initial appointment	
1012		_____
10-	Position: Member	
1101		_____
10-	First name	
1102		_____
10-	Middle initial/name	
1103		_____
10-	Last name	
1104		_____
10-	Home address	
1105		_____
10-	City	
1106		_____
10-	ZIP code	
1107		_____
10-	Email address	
1108		_____
10-	Appointing authority	
1109		_____
10-	Date term expires	
1110		_____
10-	Number of consecutive terms	
1111		_____
10-	Date of initial appointment	
1112		_____
10-	Position: Member	
1201		_____
10-	First name	
1202		_____
10-	Middle initial/name	
1203		_____
10-	Last name	
1204		_____
10-	Home address	
1205		_____
10-	City	
1206		_____
10-	ZIP code	
1207		_____
10-	Email address	
1208		_____

- 10- Appointing authority  
1209 \_\_\_\_\_
- 10- Date term expires  
1210 \_\_\_\_\_
- 10- Number of consecutive terms  
1211 \_\_\_\_\_
- 10- Date of initial appointment  
1212 \_\_\_\_\_
- 10- What day of the month is the regular library board  
0991 meeting? \_\_\_\_\_
- 10- What is the time of the regular library board  
0992 meeting? \_\_\_\_\_

**11 - Salary Section**

**Questions relating to standards are in bolded blue font.**

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

- 11- Annual salary of the director  
001 \_\_\_\_\_
- 11- Does the library director have an employment  
002 contract? \_\_\_\_\_
- 11- What is the current level of certification held by  
003 the library director? \_\_\_\_\_
- 11- Job Title - Assistant or Associate Director  
004 \_\_\_\_\_
- 11- Certification level  
005 \_\_\_\_\_
- 11- Minimum hourly wage  
006 \_\_\_\_\_
- 11- Maximum hourly wage  
007 \_\_\_\_\_
- 11- Job Title - Department Head, Manager or  
008 Supervisor \_\_\_\_\_
- 11- Certification level  
009 \_\_\_\_\_
- 11- Minimum hourly wage  
010 \_\_\_\_\_
- 11- Maximum hourly wage  
011 \_\_\_\_\_
- 11- Job Title - Branch Head  
012 \_\_\_\_\_
- 11- Certification level  
013 \_\_\_\_\_

11-014	Minimum hourly wage	_____
11-015	Maximum hourly wage	_____
11-016	Job Title - Administrative Assistant	_____
11-017	Certification level	_____
11-018	Minimum hourly wage	_____
11-019	Maximum hourly wage	_____
11-020	Job Title - Automation, Network or System Manager	_____
11-021	Certification level	_____
11-022	Minimum hourly wage	_____
11-023	Maximum hourly wage	_____
11-024	Job Title - Business Manager	_____
11-025	Certification level	_____
11-026	Minimum hourly wage	_____
11-027	Maximum hourly wage	_____
11-028	Job Title - Cataloging or Technical Services Librarian	_____
11-029	Certification level	_____
11-030	Minimum hourly wage	_____
11-031	Maximum hourly wage	_____
11-032	Job Title - Children's Librarian	_____
11-033	Certification level	_____
11-034	Minimum hourly wage	_____
11-035	Maximum hourly wage	_____

11-036	Job Title - General Reference or Adult Librarian	_____
11-037	Certification level	_____
11-038	Minimum hourly wage	_____
11-039	Maximum hourly wage	_____
11-040	Job Title - Young Adult Librarian	_____
11-041	Certification level	_____
11-042	Minimum hourly wage	_____
11-043	Maximum hourly wage	_____
11-044	Job Title - Indiana History, Local History, or Genealogy Librarian	_____
11-045	Certification level	_____
11-046	Minimum hourly wage	_____
11-047	Maximum hourly wage	_____
11-048	Job Title - Specialist (Professional)	_____
11-049	Certification level	_____
11-050	Minimum hourly wage	_____
11-051	Maximum hourly wage	_____
11-052	Job Title - Library Assistant	_____
11-053	Certification level	_____
11-054	Minimum hourly wage	_____
11-055	Maximum hourly wage	_____
11-056	Job Title - Bookkeeper or Treasurer	_____
11-057	Certification level	_____

11- Minimum hourly wage  
058 \_\_\_\_\_

11- Maximum hourly wage  
059 \_\_\_\_\_

11- Job Title - Library Technician (including  
060 computer) \_\_\_\_\_

11- Certification level  
061 \_\_\_\_\_

11- Minimum hourly wage  
062 \_\_\_\_\_

11- Maximum hourly wage  
063 \_\_\_\_\_

11- Job Title - Clerk, Clerical or Aide  
064 \_\_\_\_\_

11- Certification level  
065 \_\_\_\_\_

11- Minimum hourly wage  
066 \_\_\_\_\_

11- Maximum hourly wage  
067 \_\_\_\_\_

11- Job Title - Maintenance, Custodian, Janitor, or  
068 Housekeeper \_\_\_\_\_

11- Certification level  
069 \_\_\_\_\_

11- Minimum hourly wage  
070 \_\_\_\_\_

11- Maximum hourly wage  
071 \_\_\_\_\_

11- Job Title - Page, Intern or Student Assistant  
072 \_\_\_\_\_

11- Certification level  
073 \_\_\_\_\_

11- Minimum hourly wage  
074 \_\_\_\_\_

11- Maximum hourly wage  
075 \_\_\_\_\_

11- Job Title - Temporary Substitute  
076 \_\_\_\_\_

11- Certification level  
077 \_\_\_\_\_

11- Minimum hourly wage  
078 \_\_\_\_\_

11- Maximum hourly wage  
079 \_\_\_\_\_

11-080	Job Title - Interlibrary Loan	_____
11-081	Certification level	_____
11-082	Minimum hourly wage	_____
11-107	Maximum hourly wage	_____
11-084	Job Title - Human Resources	_____
11-085	Certification level	_____
11-086	Minimum hourly wage	_____
11-087	Maximum hourly wage	_____
11-088	Job Title - Marketing	_____
11-089	Certification level	_____
11-090	Minimum hourly wage	_____
11-091	Maximum hourly wage	_____
11-092	Job Title - Circulation Librarian	_____
11-093	Certification level	_____
11-094	Minimum hourly wage	_____
11-095	Maximum hourly wage	_____
11-096	Job Title - Other	_____
11-097	Specify other job title	_____
11-098	Certification level	_____
11-099	Minimum hourly wage	_____
11-100	Maximum hourly wage	_____
11-101	Job Title - Other	_____

11- 102	Specify other job title	_____
11- 103	Certification level	_____
11- 104	Minimum hourly wage	_____
11- 105	Maximum hourly wage	_____
11- 106	Job Title - Other	_____
11- 107	Specify other job title	_____
11- 108	Certification level	_____
11- 109	Minimum hourly wage	_____
11- 110	Maximum hourly wage	_____
11- 111	Job Title - Other	_____
11- 112	Specify other job title	_____
11- 113	Certification level	_____
11- 114	Minimum hourly wage	_____
11- 115	Maximum hourly wage	_____

Employee Fringe Benefit Information - Full-time Employees

11- 501	PERF	_____
11- 502	Deferred compensation	_____
11- 503	Health insurance	_____
11- 504	Health Savings Account (HSA)	_____
11- 505	Dental insurance	_____
11- 506	Life insurance	_____
11- 507	Vision insurance	_____
11- 508	Disability insurance	_____

11- Paid time off for continuing education  
509 \_\_\_\_\_

11- Reimbursement for continuing education  
510 \_\_\_\_\_

11- Other1 (specify)  
511 \_\_\_\_\_

11- Other2 (specify)  
512 \_\_\_\_\_

**Employee Fringe Benefit Information - Part-time Employees**

11- PERF  
513 \_\_\_\_\_

11- Deferred compensation  
514 \_\_\_\_\_

11- Health insurance  
515 \_\_\_\_\_

11- Health Savings Account (HSA)  
516 \_\_\_\_\_

11- Dental insurance  
517 \_\_\_\_\_

11- Life insurance  
518 \_\_\_\_\_

11- Vision insurance  
519 \_\_\_\_\_

11- Disability insurance  
520 \_\_\_\_\_

11- Paid time off for continuing education  
521 \_\_\_\_\_

11- Reimbursement for continuing education  
522 \_\_\_\_\_

11- Other1 (specify)  
523 \_\_\_\_\_

11- Other2 (specify)  
524 \_\_\_\_\_

**Paid Time Off Per Year - Full-time Librarian**

11- Number of vacation days  
525 \_\_\_\_\_

11- Number of sick days  
526 \_\_\_\_\_

11- Number of personal days  
527 \_\_\_\_\_

11- Number of holidays  
528 \_\_\_\_\_

11- Number of funeral/bereavement days  
529 \_\_\_\_\_

11- Number of other days (specify)  
530 \_\_\_\_\_

Paid Time Off Per Year - Part-Time Librarian

11- Number of vacation days  
531 \_\_\_\_\_

11- Number of sick days  
532 \_\_\_\_\_

11- Number of personal days  
533 \_\_\_\_\_

11- Number of holidays  
534 \_\_\_\_\_

11- Number of funeral/bereavement days  
535 \_\_\_\_\_

11- Number of other days  
536 \_\_\_\_\_

Paid Time Off Per Year - Full-Time Support Staff

11- Number of vacation days  
537 \_\_\_\_\_

11- Number of sick days  
538 \_\_\_\_\_

11- Number of personal days  
539 \_\_\_\_\_

11- Number of holidays  
540 \_\_\_\_\_

11- Number of funeral/bereavement days  
541 \_\_\_\_\_

11- Number of other days  
542 \_\_\_\_\_

Paid Time Off Per Year - Part-Time Support Staff

11- Number of vacation days  
543 \_\_\_\_\_

11- Number of sick days  
544 \_\_\_\_\_

11- Number of personal days  
545 \_\_\_\_\_

11- Number of holidays  
546 \_\_\_\_\_

11- Number of funeral/bereavement days  
547 \_\_\_\_\_

11- Number of other days  
548 \_\_\_\_\_

**12 - PLAC Loans**

Questions relating to standards are in bolded blue font

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

Report the number of PLAC loans your library made to a home patron of the following libraries.

DO NOT report any loans made to your own library. You may SKIP any libraries with no loans; you do not need to enter "0" if no loans were made.

12-001	Did your library make any PLAC loans?	_____
12-002	Adams Public Library System	_____
12-003	Akron Carnegie Public Library	_____
12-004	Alexandria-Monroe Public Library	_____
12-005	Alexandrian Public Library	_____
12-006	Allen County Public Library	_____
12-007	Anderson Public Library	_____
12-008	Andrews-Dallas Township Public Library	_____
12-009	Argos Public Library	_____
12-010	Attica Public Library	_____
12-011	Aurora Public Library District	_____
12-012	Avon-Washington Township Public Library	_____
12-013	Bartholomew County Public Library	_____
12-014	Barton Rees Pogue Memorial Public Library	_____
12-015	Batesville Memorial Public Library	_____
12-016	Bedford Public Library	_____
12-017	Bell Memorial Public Library	_____
12-018	Benton County Public Library	_____
12-019	Berne Public Library	_____

12-020	Bicknell-Vigo Township Public Library	_____
12-021	Bloomfield-Eastern Greene County Public Library	_____
12-022	Boonville-Warrick County Public Library	_____
12-023	Boswell-Grant Township Public Library	_____
12-024	Bourbon Public Library	_____
12-025	Brazil Public Library	_____
12-026	Bremen Public Library	_____
12-027	Bristol-Washington Township Public Library	_____
12-028	Brook-Iroquois-Washington Township Public Library	_____
12-029	Brookston-Prairie Township Public Library	_____
12-030	Brown County Public Library	_____
12-031	Brownsburg Public Library	_____
12-032	Brownstown Public Library	_____
12-033	Butler Public Library	_____
12-034	Cambridge City Public Library	_____
12-035	Camden-Jackson Township Public Library	_____
12-036	Carmel Clay Public Library	_____
12-037	Carnegie Public Library Of Steuben County	_____
12-038	Centerville-Center Township Public Library	_____
12-039	Charlestown Clark County Public Library	_____
12-040	Churubusco Public Library	_____
12-041	Clayton-Liberty Township Public Library	_____

12-042	Clinton Public Library	_____
12-043	Coatesville-Clay Township Public Library	_____
12-044	Colfax-Perry Township Public Library	_____
12-045	Converse-Jackson Township Public Library	_____
12-046	Covington-Veedersburg Public Library	_____
12-047	Crawford County Public Library	_____
12-048	Crawfordsville District Public Library	_____
12-049	Crown Point Community Public Library	_____
12-050	Culver-Union Township Public Library	_____
12-051	Danville-Center Township Public Library	_____
12-052	Darlington Public Library	_____
12-053	Delphi Public Library	_____
12-054	Dublin Public Library	_____
12-055	Dunkirk Public Library	_____
12-056	Earl Park Public Library	_____
12-057	East Chicago Public Library	_____
12-058	Eckhart Public Library	_____
12-059	Edinburgh Wright-Hageman Public Library	_____
12-060	Elkhart Public Library	_____
12-061	Evansville-Vanderburgh Public Library	_____
12-062	Fairmount Public Library	_____
12-063	Farmland Public Library	_____

12-064	Fayette County Public Library	_____
12-065	Flora-Monroe Township Public Library	_____
12-066	Fort Branch-Johnson Township Public Library	_____
12-067	Fortville-Vernon Township Public Library	_____
12-068	Francesville-Salem Township Public Library	_____
12-069	Frankfort Community-Clinton County Contractual Public Library	_____
12-070	Franklin County Public Library District	_____
12-071	Fremont Public Library	_____
12-072	Fulton County Public Library	_____
12-073	Garrett Public Library	_____
12-074	Gary Public Library	_____
12-075	Gas City-Mill Township Public Library	_____
12-076	Goodland & Grant Township Public Library	_____
12-077	Goshen Public Library	_____
12-078	Greensburg-Decatur County Contractual Public Library	_____
12-079	Greentown & Eastern Howard School Public Library	_____
12-080	Greenwood Public Library	_____
12-081	Hagerstown-Jefferson Township Public Library	_____
12-082	Hamilton East Public Library	_____
12-083	Hamilton North Public Library	_____
12-084	Hammond Public Library	_____
12-085	Hancock County Public Library	_____

12-086	Harrison County Public Library	_____
12-087	Hartford City Public Library	_____
12-088	Henry Henley Public Library IN0165	_____
12-089	Huntingburg Public Library	_____
12-090	Huntington City-Township Public Library	_____
12-091	Hussey-Mayfield Memorial Public Library	_____
12-092	Indianapolis-Marion County Public Library	_____
12-093	Jackson County Public Library	_____
12-094	Jasonville Public Library	_____
12-095	Jasper County Public Library	_____
12-096	Jasper-Dubois County Contractual Public Library	_____
12-097	Jay County Public Library	_____
12-098	Jefferson County Public Library	_____
12-099	Jeffersonville Township Public Library	_____
12-100	Jennings County Public Library	_____
12-101	Johnson County Public Library	_____
12-102	Jonesboro Public Library	_____
12-103	Joyce Public Library	_____
12-104	Kendallville Public Library	_____
12-105	Kentland-Jefferson Township Public Library	_____
12-106	Kewanna-Union Township Public Library	_____
12-107	Kingman-Millcreek Public Library	_____

12- 108	Kirklin Public Library	_____
12- 109	Knightstown Public Library	_____
12- 110	Knox County Public Library	_____
12- 111	Kokomo-Howard County Public Library	_____
12- 112	La Crosse Public Library	_____
12- 113	La Grange County Public Library	_____
12- 114	La Porte County Public Library	_____
12- 115	Ladoga-Clark Township Public Library	_____
12- 116	Lake County Public Library	_____
12- 117	Lawrenceburg Public Library	_____
12- 118	Lebanon Public Library	_____
12- 119	Ligonier Public Library	_____
12- 120	Lincoln Heritage Public Library	_____
12- 121	Linden Carnegie Public Library	_____
12- 122	Linton Public Library	_____
12- 123	Logansport-Cass County Public Library	_____
12- 124	Loogootee Public Library	_____
12- 125	Lowell Public Library	_____
12- 126	Marion Public Library	_____
12- 127	Matthews Public Library	_____
12- 128	Melton Public Library	_____
12- 129	Michigan City Public Library	_____

12- 130	Middlebury Community Public Library	_____
12- 131	Middletown Fall Creek Township Public Library	_____
12- 132	Milford Public Library	_____
12- 133	Mishawaka-Penn-Harris Public Library	_____
12- 134	Mitchell Community Public Library	_____
12- 135	Monon Town & Township Public Library	_____
12- 136	Monroe County Public Library	_____
12- 137	Monterey-Tippecanoe Township Public Library	_____
12- 138	Montezuma Public Library	_____
12- 139	Monticello-Union Township Public Library	_____
12- 140	Montpelier-Harrison Township Public Library	_____
12- 141	Mooresville Public Library	_____
12- 142	Morgan County Public Library	_____
12- 143	Morrisson Reeves Library	_____
12- 144	Muncie-Center Township Public Library	_____
12- 145	Nappanee Public Library	_____
12- 146	New Albany-Floyd County Public Library	_____
12- 147	New Carlisle & Olive Township Public Library	_____
12- 148	New Castle-Henry County Public Library	_____
12- 149	New Harmony Workingmen's Institute	_____
12- 150	Newburgh Chandler Public Library	_____
12- 151	Newton County Public Library	_____

12- 152	Noble County Public Library	_____
12- 153	North Judson-Wayne Township Public Library	_____
12- 154	North Madison County Public Library System	_____
12- 155	North Manchester Public Library	_____
12- 156	North Webster Community Public Library	_____
12- 157	Oakland City-Columbia Township Public Library	_____
12- 158	Odon Winkelpleck Public Library	_____
12- 159	Ohio County Public Library	_____
12- 160	Orleans Town & Township Public Library	_____
12- 161	Osgood Public Library	_____
12- 162	Otterbein Public Library	_____
12- 163	Owen County Public Library	_____
12- 164	Owensville Carnegie Public Library	_____
12- 165	Oxford Public Library	_____
12- 166	Paoli Public Library	_____
12- 167	Parke County Public Library	_____
12- 168	Peabody Public Library	_____
12- 169	Pendleton Community Public Library	_____
12- 170	Penn Township Public Library	_____
12- 171	Perry County Public Library	_____
12- 172	Peru Public Library	_____
12- 173	Pierceton & Washington Township Public Library	_____

12- 174	Pike County Public Library	_____
12- 175	Plainfield-Guilford Township Public Library	_____
12- 176	Plymouth Public Library	_____
12- 177	Porter County Public Library System	_____
12- 178	Poseyville Carnegie Public Library	_____
12- 179	Princeton Public Library	_____
12- 180	Pulaski County Public Library	_____
12- 181	Putnam County Public Library	_____
12- 182	Remington-Carpenter Township Public Library	_____
12- 183	Ridgeville Public Library	_____
12- 184	Roachdale-Franklin Township Public Library	_____
12- 185	Roann Paw-Paw Township Public Library	_____
12- 186	Roanoke Public Library	_____
12- 187	Royal Center-Boone Township Public Library	_____
12- 188	Rushville Public Library	_____
12- 189	Salem-Washington Township Public Library	_____
12- 190	Scott County Public Library	_____
12- 191	Shelby County Public Library	_____
12- 192	Sheridan Public Library	_____
12- 193	Shoals Public Library	_____
12- 194	South Whitley-Cleveland Township Public Library	_____
12- 195	Speedway Public Library	_____

12-196	Spencer County Public Library	_____
12-197	Spiceland Town-Township Public Library	_____
12-198	St. Joseph County Public Library	_____
12-199	Starke County Public Library System	_____
12-200	Sullivan County Public Library	_____
12-201	Swayzee Public Library	_____
12-202	Switzerland County Public Library	_____
12-203	Syracuse-Turkey Creek Township Public Library	_____
12-204	Thorntown Public Library	_____
12-205	Tippecanoe County Public Library	_____
12-206	Tipton County Public Library	_____
12-207	Tyson Library Association, Inc	_____
12-208	Union City Public Library	_____
12-209	Union County Public Library	_____
12-210	Van Buren Public Library	_____
12-211	Vermillion County Public Library	_____
12-212	Vigo County Public Library	_____
12-213	Wabash Carnegie Public Library	_____
12-214	Wakarusa-Olive & Harrison Township Public Library	_____
12-215	Walkerton-Lincoln Township Public Library	_____
12-216	Walton & Tipton Township Public Library	_____
12-217	Wanatah Public Library	_____

12- 218	Warren Public Library	_____
12- 219	Warsaw Community Public Library	_____
12- 220	Washington Carnegie Public Library	_____
12- 221	Washington Township Public Library	_____
12- 222	Waterloo-Grant Township Public Library	_____
12- 223	Waveland-Brown Township Public Library	_____
12- 224	Wells County Public Library	_____
12- 225	West Lafayette Public Library	_____
12- 226	West Lebanon-Pike Township Public Library	_____
12- 227	Westchester Public Library	_____
12- 228	Westfield-Washington Public Library	_____
12- 229	Westville-New Durham Township Public Library	_____
12- 230	Whiting Public Library	_____
12- 231	Willard Library of Evansville	_____
12- 232	Williamsport-Washington Township Public Library	_____
12- 233	Winchester Community Public Library	_____
12- 234	Wolcott Community Public Library	_____
12- 235	Worthington Jefferson Township Public Library	_____
12- 236	York Township Public Library	_____
12- 237	Yorktown Public Library	_____
12- 238	<b>TOTAL PLAC Loans</b>	_____

**13 - Compliance with Standards for Public Libraries**

The following questions refer to the library's compliance with the Indiana Public Library Standards (560 IAC 6).

Grayed boxes are either prefilled (and sometimes locked) or are automatic calculations.

Standards which can be verified by data or information elsewhere in the report do not appear in this section.

Please answer either "Yes", "No", or "N/A" if applicable.

Do not skip any questions.

- 13-001 **Does your library comply with Public Library Law under IC 36-12?** \_\_\_\_\_
- 13-002 **If the answer to 13-001 is NO, explain:** \_\_\_\_\_
- 13-003 **Does your library comply with other Indiana laws that affect municipal corporations?** \_\_\_\_\_
- 13-004 **If the answer to 13-003 is NO, explain:** \_\_\_\_\_
- 13-005 **Does your library comply with all federal laws affecting employment practice?** \_\_\_\_\_
- 13-006 **If the answer to 13-005 is NO, explain:** \_\_\_\_\_
- 13-007 **Are all newly constructed and existing library facilities in compliance with local, state, and federal building and health and safety codes?** \_\_\_\_\_
- 13-008 **If the answer to 13-007 is NO, explain:** \_\_\_\_\_
- 13-009 **Does the library comply with provisions of the federal Americans with Disabilities Act to make its physical and digital services available to everyone?** \_\_\_\_\_
- 13-010 **If the answer to 13-009 is NO, explain:** \_\_\_\_\_
- 13-011 Do the library board and the director maintain separate functions? \_\_\_\_\_
- 13-012 **Is the board responsible for governance and policy?** \_\_\_\_\_
- 13-013 **Is the director responsible for administration, operation and management of the library?** \_\_\_\_\_
- 13-014 **Does the director work full-time?** \_\_\_\_\_
- 13-015 Does the director have the required certification under 590 IAC 5? (If unsure, check at <https://mylicense.in.gov/EVerification/Search.aspx>) \_\_\_\_\_

With the advice and recommendations of the library director, has the library board adopted the following plans and policies?

- 13- A schedule of classification of employees  
016 \_\_\_\_\_
- 13- An annual schedule of salaries  
017 \_\_\_\_\_
- 13- A proposed library budget  
018 \_\_\_\_\_

Personnel Policies

Has the library board adopted written personnel policies and procedures dealing with:

- 13- Recruitment?  
019 \_\_\_\_\_
- 13- Selection?  
020 \_\_\_\_\_
- 13- Appointments?  
021 \_\_\_\_\_
- 13- Personnel actions?  
022 \_\_\_\_\_
- 13- Salary administration?  
023 \_\_\_\_\_
- 13- Employee benefits?  
024 \_\_\_\_\_
- 13- Conditions of work?  
025 \_\_\_\_\_
- 13- Leaves?  
026 \_\_\_\_\_
- 13- Does the library board adhere to the current  
027 approved principles provided by the Indiana State  
Library for library trustees? \_\_\_\_\_
- 13- Does the library have current, written bylaws that  
028 state its purpose and its operational procedures? \_\_\_\_\_
- 13- Do the library bylaws specifically state rules  
029 governing conflicts of interest issues? \_\_\_\_\_
- 13- Do the library bylaws specifically state rules  
030 governing nepotism? \_\_\_\_\_
- 13- Have the bylaws been reviewed by the board in  
031 the last three (3) years? \_\_\_\_\_
- 13- Has a copy of the current version of the bylaws,  
032 along with all of the amendments approved by the  
library board, been submitted to the Indiana State  
Library? \_\_\_\_\_
- 13- Does your library have a written collection  
033 development plan? \_\_\_\_\_

13- Does your library have a written circulation policy  
034 detailing the principles of access for all library  
materials and service? \_\_\_\_\_

13- Does your library provide support for continuing  
035 education for staff and trustees? \_\_\_\_\_

Long-Range Plan

13- Does the library have a written long-range plan of  
036 service? \_\_\_\_\_

13- What year did your current long-range plan  
037 begin? \_\_\_\_\_

13- What year does your current long-range plan  
038 end? \_\_\_\_\_

13- Has your long-range plan been reviewed and  
039 updated in the last three (3) to five (5) years,  
depending upon the length of your plan? \_\_\_\_\_

13- Have copies of the plan, plus all updates and  
040 revisions, been filed with the Indiana State  
Library? \_\_\_\_\_

13- Does your long-range plan include a statement of  
041 community needs and goals? \_\_\_\_\_

13- Does your long-range plan include measurable  
042 objectives and service in response to the  
community's needs and goals? \_\_\_\_\_

13- Does your long-range plan include an  
043 assessment of facilities, services, technology, and  
operations? \_\_\_\_\_

13- Does your long-range plan include an ongoing  
044 evaluation process? \_\_\_\_\_

13- Does your long-range plan include a plan for  
045 financial resources and sustainability? \_\_\_\_\_

13- Does your long-range plan include an equipment  
046 replacement schedule? \_\_\_\_\_

13- Does your long-range plan include a professional  
047 development strategy? \_\_\_\_\_

13- Does your long-range plan include a statement of  
048 collaboration with other public libraries? \_\_\_\_\_

13- Does your long-range plan include a statement of  
049 collaboration with other community partners? \_\_\_\_\_

Resource Sharing

13- Does your library provide interlibrary loan free of  
050 charge to other libraries within Indiana? \_\_\_\_\_

Answer YES if your policy is to lend, even if no  
loans were requested.

13- Does your library provide interlibrary loan free of  
051 charge to your users? \_\_\_\_\_

Answer YES if your policy is to lend, even if no loans were requested.

13- Does your library lend materials via a statewide  
052 reciprocal borrowing program? \_\_\_\_\_

13- Does your library lend materials using a local  
053 reciprocal borrowing agreement with at least one  
(1) other public library district within Indiana? \_\_\_\_\_

13- If the answer to 13-053 is YES, please list  
054 libraries with which you have reciprocal borrowing  
agreements. \_\_\_\_\_

13- Does your library lend materials using the OCLC  
055 resource sharing system? \_\_\_\_\_

13- Is your library a member of Evergreen Indiana?  
056 \_\_\_\_\_

13- How many days per week does your library  
057 receive InfoExpress courier service? \_\_\_\_\_

Does the library provide adult services, including:

13- Reference services, including knowledge of and  
058 access to reference materials, including  
INSPIRE? \_\_\_\_\_

13- A collection of materials for adults?  
059 \_\_\_\_\_

13- A space designated for adults in each fixed  
060 location? \_\_\_\_\_

Does the library provide young adult services, including:

13- Reference services, including knowledge of and  
061 access to reference materials, including  
INSPIRE? \_\_\_\_\_

13- A collection of materials for young adults?  
062 \_\_\_\_\_

13- A space designated for young adults in each fixed  
063 location? \_\_\_\_\_

Does the library provide children's services, including:

13- Reference services, including knowledge of and  
064 access to reference materials, including  
INSPIRE? \_\_\_\_\_

13- A collection of materials for children?  
065 \_\_\_\_\_

13- A space designated for children in each fixed  
066 location? \_\_\_\_\_

Public Access

13- Are patrons who are unable to read regular print,  
067 because of a visual or a physical disability,  
provided access to large print books, braille  
books, audio books, and/or enhanced media? \_\_\_\_\_

13- Does the library provide computers for the free  
068 use of all persons, regardless of residency? \_\_\_\_\_

13- Does your library provide a means for the public  
069 to print and make copies at each location? \_\_\_\_\_

Website

Does your library's website include:

13- Current hours of operation?  
070 \_\_\_\_\_

13- A physical address (or addresses) for your  
071 library? \_\_\_\_\_

13- A map for each fixed location?  
072 \_\_\_\_\_

13- A telephone number?  
073 \_\_\_\_\_

13- An email address or other means of electronic  
074 contact? \_\_\_\_\_

13- A link to INSPIRE.in.gov?  
075 \_\_\_\_\_

13- Publicly posted policies, including, but not limited  
076 to, circulation, fees, and internet use? \_\_\_\_\_

13- A link to the library's online public access  
077 catalog? \_\_\_\_\_

13- A calendar or schedule of events and programs,  
078 updated at least monthly, including the dates for  
the library board meetings? \_\_\_\_\_

**14 - Statement of Intent to Comply with Standards**

14- Please explain any NO answers given in Part 13.  
001 \_\_\_\_\_

**15 - Supplemental Questions**

Library of Things

15- Do you have a library of things - non-traditional  
001 library items - available for circulation? \_\_\_\_\_

15-001a If the answer to 15-001 is YES, which of the following do you offer?

Select all that apply.

: Board games \_\_\_\_\_

: Puzzles \_\_\_\_\_

: Kitchen equipment \_\_\_\_\_

: Musical instruments \_\_\_\_\_

: Recreation equipment (fishing rods, bird watching  
kits, badminton, etc.) \_\_\_\_\_

- : STEM items (coding and robotics kits, littleBits, etc.) \_\_\_\_\_
- : Tools/hardware \_\_\_\_\_
- : Other (list ) \_\_\_\_\_

**Scheduling and Reservation Tools**

15- Does your library use scheduling software for  
002 employee schedules? \_\_\_\_\_

15- Name of scheduling software?  
002a \_\_\_\_\_

15- Does your library use software to make meeting  
003 room reservations? \_\_\_\_\_

15- Name of meeting room reservation software?  
003a \_\_\_\_\_

15- Can patrons use the software directly to make  
003b their own reservations? \_\_\_\_\_

15- Does your library use software to register patrons  
004 for programs? \_\_\_\_\_

15- Name of patron registration software?  
004a \_\_\_\_\_

15- Can patrons use the software directly to register  
004b themselves/family for programs? \_\_\_\_\_

15- Does your library use a people-counter?  
005 \_\_\_\_\_

15- Brand/Manufacturer of people-counter?  
005a \_\_\_\_\_

15- Does your library have a library pet?  
006 \_\_\_\_\_

15- Name(s) and species of pet?  
006a \_\_\_\_\_

**CERTIFICATION**

Click [here](#) to print a copy of the Signature Page. This needs to be signed by both the director and board president in ink and returned via mail to the Indiana State Library Development Office. This is also due by March 1, 2020.