

# Monticello-Union Township Public Library

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## Policy Book



MONTICELLO-  
UNION TOWNSHIP  
**PUBLIC  
LIBRARY**

[www.monticello.lib.in.us](http://www.monticello.lib.in.us)

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# Monticello-Union Township Public Library

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Updated and approved by the board of trustees – 12/2019

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## Section 1: Library Policies

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### *Section 1.1 Introduction*

The purpose of this handbook is to detail policies of the Monticello-Union Township Public Library established by the Board of Trustees.

It is recognized that unusual situations that may arise cannot be covered in a handbook of this type. Such situations, as they arise, will be ruled on by the Library Board and added to this handbook by amendment.

### *Section 1.2 Statement of Purpose*

The purpose of the Monticello-Union Township Public Library is to serve the informational, cultural, educational, and recreational needs of all Union and Jackson Township residents regardless of age or educational background.

### *Section 1.3 Mission Statement*

The Monticello-Union Township Public Library is a service institution that seeks to inform, educate, entertain, and culturally enrich the community.

### *Section 1.4 Statement of Objectives*

Below is the list of objectives the Monticello-Union Township Public Library is responsible for performing on a daily basis.

Assemble, organize, preserve, and make easily available books and other materials which will provide information, education, and recreation for all citizens of the community.

Evaluate and anticipate the ever-changing needs and demands of the community; to maintain a fresh and topical supply of material; to aid the continuous education of the people; and stimulate the flow of ideas among all groups of the community

Provide the community with the best service possible by maintaining adequate staff, physical facilities, and operating procedures best suited to the local situation.

Keep the public constantly aware of the library services available to them.

Keep up to date on current formats and technology to provide the best possible service to our staff and community.

## *Section 1.5 Amendments*

These policies may be amended at any regular meeting of the Board with a quorum present, by a majority vote of those present, providing the amendment was read and discussed at the preceding regular meeting and all members have been notified of the proposed change.

## *Section 1.6 Public Records*

### **Public Records**

As a public agency, the Library is required by law to make available all records of its affairs and the official acts of those who represent the Library in accordance with IC 5-14-3.

This statute mandates disclosure of all public records that are not specifically excepted.

### **Public Records excepted (exempted) for public disclosure \***

In accordance with IC 5-14-3-4(a), there are certain library records that the Library may not make available for public disclosure (unless public access to the records is mandated by state or federal law or by court order). Additionally, in accordance with IC 5-14-3-4(b) certain other Library records may not be disclosed unless the Library, in the exercise of its discretion on a case-by-case basis specifically determines they may be disclosed.

These include the following:

1. Work products of an attorney representing the Library
2. Computer programs codes, filing systems, and other software owned or entrusted to the library
3. Technical information that would jeopardize record-keeping or security
4. Deliberative or speculative material produced internally or externally for the purpose of decision-making
5. Materials prepared for or used during an executive session

**Patron Information:** Any information the Library maintains on patrons and their use of library materials is deemed private and confidential, IC 5-14-3-4(b) (16). The records of minors may be made available to their parents or guardians.

## Copies of Public Records

The fee for copies of public records is set at ten cents (\$0.10) per page, IC law 5-14-3-8(D).

\*IC 5-14-3-4 Records and recordings excepted from disclosure; time limitations; destruction of records

Sec. 4. (a) The following public records are exempted from section 3 of this chapter and may not be disclosed by a public agency, unless access to the records is specifically required by a state or federal statute or is ordered by a court under the rules of discovery:

- (1) Those declared confidential by state statute.
- (2) Those declared confidential by rule adopted by a public agency under specific authority to classify public records as confidential granted to the public agency by statute.
- (3) Those required to be kept confidential by federal law.
- (4) Records containing trade secrets.
- (5) Confidential financial information obtained, upon request, from a person. However, this does not include information that is filed with or received by a public agency pursuant to state statute.
- (6) Information concerning research, including actual research documents, conducted under the auspices of a state educational institution, including information:
  - (A) concerning any negotiations made with respect to the research; and
  - (B) received from another party involved in the research.
- (7) Grade transcripts and license examination scores obtained as part of a licensure process.
- (8) Those declared confidential by or under rules adopted by the supreme court of Indiana.
- (9) Patient medical records and charts created by a provider, unless the patient gives written consent under IC 16-39 or as provided under IC 16-41-8.
- (10) Application information declared confidential by the Indiana economic development corporation under IC 5-28-16.
- (11) A photograph, a video recording, or an audio recording of an autopsy, except as provided in IC 36-2-14-10.
- (12) A Social Security number contained in the records of a public agency.
- (13) The following information that is part of a foreclosure action subject to IC 32-30-10.5:



(A) Contact information for a debtor, as described in IC 32-30-10.5-8(d)(1)(B).

(B) Any document submitted to the court as part of the debtor's loss mitigation package under IC 32-30-10.5-10(a)(3).

(14) The following information obtained from a call made to a fraud hotline established under IC 36-1-8-8.5:

(A) The identity of any individual who makes a call to the fraud hotline.

(B) A report, transcript, audio recording, or other information concerning a call to the fraud hotline.

However, records described in this subdivision may be disclosed to a law enforcement agency, a private university police department, the attorney general, the inspector general, the state examiner, or a prosecuting attorney.

(b) Except as otherwise provided by subsection (a), the following public records shall be excepted from section 3 of this chapter at the discretion of a public agency:

- (1) Investigatory records of law enforcement agencies or private university police departments. For purposes of this chapter, a law enforcement recording is not an investigatory record. Law enforcement agencies or private university police departments may share investigatory records with a person who advocates on behalf of a crime victim, including a victim advocate (as defined in IC 35-37-6-3.5) or a victim service provider (as defined in IC 35-37-6-5), for the purposes of providing services to a victim or describing services that may be available to a victim, without the law enforcement agency or private university police department losing its discretion to keep those records confidential from other records requesters. However, certain law enforcement records must be made available for inspection and copying as provided in section 5 of this chapter.
- (2) The work product of an attorney representing, pursuant to state employment or an appointment by a public agency:
  - (A) a public agency;
  - (B) the state; or
  - (C) an individual.
- (3) Test questions, scoring keys, and other examination data used in administering a licensing examination, examination for employment, or academic examination before the examination is given or if it is to be given again.
- (4) Scores of tests if the person is identified by name and has not consented to the release of the person's scores.

(5) The following:

(A) Records relating to negotiations between:

(i) the Indiana economic development corporation;

(ii) the ports of Indiana;

(iii) the Indiana state department of agriculture;

(iv) the Indiana finance authority;

(v) an economic development commission;

(vi) a local economic development organization that is a nonprofit corporation established under state law whose primary purpose is the promotion of industrial or business development in Indiana, the retention or expansion of Indiana businesses, or the development of entrepreneurial activities in Indiana; or

(vii) a governing body of a political subdivision;

with industrial, research, or commercial prospects, if the records are created while negotiations are in progress. However, this clause does not apply to records regarding research that is prohibited under IC 16-34.5-1-2 or any other law.

(B) Notwithstanding clause (A), the terms of the final offer of public financial resources communicated by the Indiana economic development corporation, the ports of Indiana, the Indiana finance authority, an economic development commission, or a governing body of a political subdivision to an industrial, a research, or a commercial prospect shall be available for inspection and copying under section 3 of this chapter after negotiations with that prospect have terminated.

(C) When disclosing a final offer under clause (B), the Indiana economic development corporation shall certify that the information being disclosed accurately and completely represents the terms of the final offer.

(D) Notwithstanding clause (A), an incentive agreement with an incentive recipient shall be available for inspection and copying under section 3 of this chapter after the date the incentive recipient and the Indiana economic development corporation execute the incentive agreement regardless of whether negotiations are in progress with the recipient after that date regarding a modification or extension of the incentive agreement.

(6) Records that are intra-agency or interagency advisory or deliberative material, including material developed by a private contractor under a contract with a public agency, that are expressions of opinion or are of a speculative nature, and that are communicated for the purpose of decision making.

- (7) Diaries, journals, or other personal notes serving as the functional equivalent of a diary or journal.
- (8) Personnel files of public employees and files of applicants for public employment, except for:
  - (A) the name, compensation, job title, business address, business telephone number, job description, education and training background, previous work experience, or dates of first and last employment of present or former officers or employees of the agency;
  - (B) information relating to the status of any formal charges against the employee; and
  - (C) the factual basis for a disciplinary action in which final action has been taken and that resulted in the employee being suspended, demoted, or discharged.

However, all personnel file information shall be made available to the affected employee or the employee's representative. This subdivision does not apply to disclosure of personnel information generally on all employees or for groups of employees without the request being particularized by employee name.

- (9) Minutes or records of hospital medical staff meetings.
- (10) Administrative or technical information that would jeopardize a record keeping or security system.
- (11) Computer programs, computer codes, computer filing systems, and other software that are owned by the public agency or entrusted to it and portions of electronic maps entrusted to a public agency by a utility.
- (12) Records specifically prepared for discussion or developed during discussion in an executive session under IC 5-14-1.5-6.1. However, this subdivision does not apply to that information required to be available for inspection and copying under subdivision (8).
- (13) The work product of the legislative services agency under personnel rules approved by the legislative council.
- (14) The work product of individual members and the partisan staffs of the general assembly.
- (15) The identity of a donor of a gift made to a public agency if:
  - (A) the donor requires nondisclosure of the donor's identity as a condition of making the gift; or
  - (B) after the gift is made, the donor or a member of the donor's family requests nondisclosure.
- (16) Library or archival records:

- (A) which can be used to identify any library patron; or
- (B) deposited with or acquired by a library upon a condition that the records be disclosed only:
  - (i) to qualified researchers;
  - (ii) after the passing of a period of years that is specified in the documents under which the deposit or acquisition is made; or
  - (iii) after the death of persons specified at the time of the acquisition or deposit.

However, nothing in this subdivision shall limit or affect contracts entered into by the Indiana state library pursuant to IC 4-1-6-8.

- (17) The identity of any person who contacts the Bureau of Motor Vehicles concerning the ability of a driver to operate a motor vehicle safely and the medical records and evaluations made by the bureau of motor vehicles staff or members of the driver licensing medical advisory board regarding the ability of a driver to operate a motor vehicle safely. However, upon written request to the commissioner of the bureau of motor vehicles, the driver must be given copies of the driver's medical records and evaluations.
- (18) School safety and security measures, plans, and systems, including emergency preparedness plans developed under 511 IAC 6.1-2-2.5.
- (19) A record or a part of a record, the public disclosure of which would have a reasonable likelihood of threatening public safety by exposing a vulnerability to terrorist attack. A record described under this subdivision includes the following:
  - (A) A record assembled, prepared, or maintained to prevent, mitigate, or respond to an act of terrorism under IC 35-47-12-1 or an act of agricultural terrorism under IC 35-47-12-2.
  - (B) Vulnerability assessments.
  - (C) Risk planning documents.
  - (D) Needs assessments.
  - (E) Threat assessments.
  - (F) Intelligence assessments.
  - (G) Domestic preparedness strategies.
  - (H) The location of community drinking water wells and surface water intakes.
  - (I) The emergency contact information of emergency responders and volunteers.

(J) Infrastructure records that disclose the configuration of critical systems such as communication, electrical, ventilation, water, and wastewater systems.

(K) Detailed drawings or specifications of structural elements, floor plans, and operating, utility, or security systems, whether in paper or electronic form, of any building or facility located on an airport (as defined in IC 8-21-1-1) that is owned, occupied, leased, or maintained by a public agency, or any part of a law enforcement recording that captures information about airport security procedures, areas, or systems. A record described in this clause may not be released for public inspection by any public agency without the prior approval of the public agency that owns, occupies, leases, or maintains the airport. Both of the following apply to the public agency that owns, occupies, leases, or maintains the airport:

(i) The public agency is responsible for determining whether the public disclosure of a record or a part of a record, including a law enforcement recording, has a reasonable likelihood of threatening public safety by exposing a security procedure, area, system, or vulnerability to terrorist attack.

(ii) The public agency must identify a record described under item (i) and clearly mark the record as "confidential and not subject to public disclosure under IC 5-14-3-4(b)(19)(J) without approval of (insert name of submitting public agency)". However, in the case of a law enforcement recording, the public agency must clearly mark the record as "confidential and not subject to public disclosure under IC 5-14-3-4(b)(19)(K) without approval of (insert name of the public agency that owns, occupies, leases, or maintains the airport)".

(L) The home address, home telephone number, & emergency contact information for any:

(i) emergency management worker (as defined in IC 10-14-3-3);

(ii) public safety officer (as defined in IC 35-47-4.5-3);

(iii) emergency medical responder (as defined in IC 16-18-2-109.8); or

(iv) advanced emergency medical technician (as defined in IC 16-18-2-6.5).

This subdivision does not apply to a record or portion of a record pertaining to a location or structure owned or protected by a public agency in the event that an act of terrorism under IC 35-47-12-1 or an act of agricultural terrorism under IC 35-47-12-2 has occurred at that location or structure, unless release of the record or portion of the record would have a reasonable likelihood of threatening public safety by exposing a vulnerability of other locations or structures to terrorist attack.

(20) The following personal information concerning a customer of a municipally owned utility (as defined in IC 8-1-2-1):

- (A) Telephone number.
- (B) Address.
- (C) Social Security number.

(21) The following personal information about a complainant contained in the records of a law enforcement agency:

- (A) Telephone number.
- (B) The complainant's address. However, if the complainant's address is the location of the suspected crime, infraction, accident, or complaint reported, the address shall be made available for public inspection and copying.

(22) Notwithstanding subdivision (8)(A), the name, compensation, job title, business address, business telephone number, job description, education and training background, previous work experience, or dates of first employment of a law enforcement officer who is operating in an undercover capacity.

(23) Records requested by an offender that:

- (A) contain personal information relating to:
  - (i) a correctional officer (as defined in IC 5-10-10-1.5);
  - (ii) a law enforcement officer (as defined in IC 35-31.5-2-185);
  - (iii) a judge (as defined in IC 33-38-12-3);
  - (iv) the victim of a crime; or
  - (v) a family member of a correctional officer, law enforcement officer (as defined in IC 35-31.5-2-185), judge (as defined in IC 33-38-12-3), or victim of a crime; or
- (B) concern or could affect the security of a jail or correctional facility.

(24) Information concerning an individual less than eighteen (18) years of age who participates in a conference, meeting, program, or activity conducted or supervised by a state educational institution, including the following information regarding the individual or the individual's parent or guardian:

- (A) Name.
- (B) Address.
- (C) Telephone number.
- (D) Electronic mail account address.

- (25) Criminal intelligence information.
- (26) The following information contained in a report of unclaimed property under IC 32-34-1-26 or in a claim for unclaimed property under IC 32-34-1-36:
- (A) Date of birth.
  - (B) Driver's license number.
  - (C) Taxpayer identification number.
  - (D) Employer identification number.
  - (E) Account number.
- (27) Except as provided in subdivision (19) and sections 5.1 and 5.2 of this chapter, a law enforcement recording. However, before disclosing the recording, the public agency must comply with the obscuring requirements of sections 5.1 and 5.2 of this chapter, if applicable.
- (28) Records relating to negotiations between a state educational institution and another entity concerning the establishment of a collaborative relationship or venture to advance the research, engagement, or educational mission of the state educational institution, if the records are created while negotiations are in progress. The terms of the final offer of public financial resources communicated by the state educational institution to an industrial, a research, or a commercial prospect shall be available for inspection and copying under section 3 of this chapter after negotiations with that prospect have terminated. However, this subdivision does not apply to records regarding research prohibited under IC 16-34.5-1-2 or any other law.
- (c) Nothing contained in subsection (b) shall limit or affect the right of a person to inspect and copy a public record required or directed to be made by any statute or by any rule of a public agency.
- (d) Notwithstanding any other law, a public record that is classified as confidential, other than a record concerning an adoption or patient medical records, shall be made available for inspection and copying seventy-five (75) years after the creation of that record.
  - (e) Only the content of a public record may form the basis for the adoption by any public agency of a rule or procedure creating an exception from disclosure under this section.
  - (f) Except as provided by law, a public agency may not adopt a rule or procedure that creates an exception from disclosure under this section based upon whether a public record is stored or accessed using paper, electronic media, magnetic media, optical media, or other information storage technology.

(g) Except as provided by law, a public agency may not adopt a rule or procedure nor impose any costs or liabilities that impede or restrict the reproduction or dissemination of any public record.

(h) Notwithstanding subsection (d) and section 7 of this chapter:

(1) public records subject to IC 5-15 may be destroyed only in accordance with record retention schedules under IC 5-15; or

(2) public records not subject to IC 5-15 may be destroyed in the ordinary course of business.

*As added by P.L.19-1983, SEC.6. Amended by P.L.57-1983, SEC.1; P.L.34-1984, SEC.2; P.L.54-1985, SEC.3; P.L.50-1986, SEC.2; P.L.20-1988, SEC.12; P.L.11-1990, SEC.111; P.L.1-1991, SEC.38; P.L.10-1991, SEC.9; P.L.50-1991, SEC.1; P.L.49-1991, SEC.1; P.L.1-1992, SEC.11; P.L.2-1993, SEC.50; P.L.58-1993, SEC.4; P.L.190-1999, SEC.2; P.L.37-2000, SEC.2; P.L.271-2001, SEC.1; P.L.201-2001, SEC.1; P.L.1-2002, SEC.17; P.L.173-2003, SEC.5; P.L.261-2003, SEC.7; P.L.208-2003, SEC.1; P.L.200-2003, SEC.3; P.L.210-2005, SEC.1; P.L.1-2006, SEC.102; P.L.101-2006, SEC.4; P.L.2-2007, SEC.101; P.L.172-2007, SEC.1; P.L.179-2007, SEC.9; P.L.3-2008, SEC.29; P.L.51-2008, SEC.2; P.L.98-2008, SEC.4; P.L.120-2008, SEC.2; P.L.94-2010, SEC.1; P.L.170-2011, SEC.1; P.L.134-2012, SEC.18; P.L.184-2013, SEC.1; P.L.248-2013, SEC.3; P.L.175-2013, SEC.1; P.L.56-2014, SEC.1; P.L.168-2014, SEC.9; P.L.9-2015, SEC.1; P.L.181-2015, SEC.20; P.L.145-2016, SEC.3; P.L.58-2016, SEC.3; P.L.217-2016, SEC.3; P.L.197-2017, SEC.3.*

From Indiana code



*Section 1.7*

*Purchasing Policy*

IC 36-12-3-16 Authorization of disbursements; purchases

Sec. 16.

- (A) The library board may adopt a resolution allowing money to be disbursed under this section for lawful library purposes, including advertising and promoting the programs and services of the library.
- (B) With the prior written approval of the library board and if the library board has adopted a resolution under subsection
- (C), claim payments may be made in advance of library board allowance for any of the following types of expenses:
- (1) Property or services purchased or leased from the federal government or the federal government's agencies and the state, the state's agencies, or the state's political subdivisions.
  - (2) Dues, subscriptions, and publications.
  - (3) License or permit fees.
  - (4) Insurance premiums.
  - (5) Utility payments or connection charges.
  - (6) Federal grant programs where:
    - (a) advance funding is not prohibited; and
    - (b) the contracting party posts sufficient security to cover the amount advanced.
  - (7) Grants of state funds authorized by statute.
  - (8) Maintenance and service agreements.

- (9) Legal retainer fees.
- (10) Conference fees.
- (11) Expenses related to the educational or professional development of an individual employed by the library board, including:
  - (12) Inservice training;
  - (13) Attending seminars or other special courses of instruction; and
  - (14) Tuition reimbursement; if the library board determines that the expenditures under this subdivision directly benefit the library.
- (15) Leases or rental agreements.
- (16) Bond or coupon payments.
- (17) Payroll costs.
- (18) State, federal, or county taxes.
- (19) Expenses that must be paid because of emergency circumstances.
- (20) Expenses incurred to advertise and promote the programs and services of the library.
- (21) Other expenses described in a library board resolution.

The library board shall review and allow the claim at the library board's first regular or special meeting following the payment of a claim under this section.

## *Library Purchase Resolution*

The Monticello-Union Township Public Library Board is a governmental body that is authorized to enter into contracts under the Indiana Public Purchasing Law. The Monticello-Union Township Public Library Board of Trustees is the “Purchasing Agency”.

The “Purchasing Agent” of the Monticello-Union Township Public Library is the Director of the Library. Those others who may be authorized by the Purchasing Agent to make routine purchases are commonly the Heads of Departments, Youth Services Assistant and Bookkeeper.

The “Purchasing Agent” may purchase items costing up to \$500.00. Any purchases costing \$500.00 or more and which will be paid out of the general fund or undesignated gift funds requires the pre-approval of the Monticello-Union Township Public Library Board. This provision excludes circulating library materials, processing materials for the circulating collection, and emergency replacement of equipment needed for the daily operation of the library.

All purchases under \$50,000 will be made in the open market.

### *Indiana Code 5-22-8-2. Purchases below \$50,000*

Sec. 2. (a) This section applies only if the purchasing agent expects the purchase to be less than fifty thousand dollars (\$50,000). (b) A purchasing agent may make a purchase under small purchase policies established by the purchasing agency or under rules adopted by the governmental body. *As added by P.L.49-1997, SEC.1.*

*Amended by P.L.7-1998, SEC.2; P.L.195-2007, SEC.2.* All items costing between \$50,000 and \$150,000 will be purchased only after inviting three quotes from persons known to deal in the lines or classes of supplies to be purchased unless another procedure is authorized by statute. The Monticello-Union Township Public Library will follow all proper steps for competitive bidding procedures by inviting quotes as required by statute or by the guidelines of the appropriate state agency.

### *Indiana Code 5-22-8-3. Purchases between \$50,000 and \$150,000*

Sec. 3. (a) This section applies only if the purchasing agent expects the purchase to be: (1) at least fifty thousand dollars (\$50,000); and (2) not more than one hundred fifty thousand dollars (\$150,000). (b) A purchasing agent may purchase supplies under this section by inviting quotes from at least three (3) persons known to deal in the lines or classes of supplies to be purchased. (c) The purchasing agent shall mail an invitation to quote to the persons described in subsection (b) at least seven (7) days before the time fixed for receiving quotes. (d) If the purchasing agent receives a satisfactory quote, the purchasing agent shall award a contract to the lowest responsible and responsive offeror for each line or class of supplies required. (e) The purchasing agent may reject all quotes.

(f) If the purchasing agent does not receive a quote from a responsible and responsive offeror, the purchasing agent may purchase the supplies under [IC 5-22-10-10](#).

*As added by P.L.7-1998, SEC.3. Amended by P.L.195-2007, SEC.3.*

The “Purchasing Agency” or the “Purchasing Agent” will purchase services on the basis of provisions of the contract, cost, experience of the offer or any other factor deemed appropriate to the services being purchased.

- 1.** The staff member who orders operating supplies will determine the best prices, while trying to shop locally as much as is financially sound. Items of non-collection materials that are not operating supplies may be ordered by department heads or designated staff.
- 2.** In regards to collection materials:
  - a.** All purchases should be made through distributors.
  - b.** When appropriate, purchases (not to exceed \$2,500 per calendar quarter) could be made through retail sources. The decision to purchase for 3(a) and 3(b) above will be made by department heads, subject to the approval of the director.
  - c.** A copy of a Net 30 of invoiced purchases will need to be given to the bookkeeper for payment.
- 3.** Monticello-Union Township Public Library corporate cards are to be used ONLY by the person to whom the card has been issued. The cards are to be used ONLY as a LAST means of purchasing materials.
- 4.** Only in extreme circumstances should staff member’s personal money be used to purchase items for the library. Sales tax will not be exempt if paid with personal money. Receipts for these purchases must be turned in to the bookkeeper, who will then submit the request for reimbursement as a monthly claim for the Library Board approval. Repayment will be made after the Board approves the claim.
- 5.** Approval of all purchases is the responsibility of the Library Director.

*Section 1.8a Policy on Materiality and Process for Reporting Material Items*

IC 5-11-1-27(j) requires erroneous or irregular material variances, losses, shortages, or thefts of political subdivision funds or property shall be reported immediately to the State Board of Accounts. The State Examiner Directive 2015-6 directs each political subdivision to determine its own policy on materiality. The Library does not condone any erroneous or irregular material variances, losses, shortages, or thefts of political subdivision funds or property but recognizes that relatively small items may not justify the cost of the involvement of the State Board of Accounts. Therefore, all erroneous or irregular variances, losses, shortages, or thefts of Library funds or property shall be reported to the Director or Management Team promptly.

The Library is to report to the State Board of Accounts any erroneous or irregular variances, losses, shortages, or thefts of cash in excess of \$500, except for inadvertent clerical errors that are identified timely and promptly corrected with no loss to the Library.

The Library is to report promptly to the State Board of Accounts any erroneous or irregular variances, losses, shortages, or thefts of non-cash items in excess of \$2000, estimated market value, except for those resulting from inadvertent clerical errors or misplacements that are identified timely and promptly corrected with no loss to the Library, and except for losses from genuine accidents.

All Library employees and board members are directed to comply with this policy.

*Section 1.8b Credit Card Policy*

The Board of Trustees of the Monticello-Union Township Public Library recognizes that it is prudent and convenient for credit cards to be used for certain purchases on behalf of the Library; the Board has previously adopted a resolution authorizing the use of credit cards. Therefore, The Board of Trustees hereby adopts the following policy in regards to the issuance and use of credit cards:

1. The Library Board hereby approves the use of credit cards for certain purposes, more specifically set forth below, in regard to the conduct of library business.
2. The Board shall adopt a resolution regarding the use of each credit card setting forth the issuer, credit card number, and the expiration date of each card authorized.
3. Credit cards shall be issued and used only for the following staff positions:
  - A. Adult Services Manager
  - B. Youth Services Manager

- C. Youth Services Assistant
- D. Circulation Services Manager/Systems Administrator
- C. Director

4. Credit cards shall be used only for the following purchases and/or payments:
  - A. Decorating supplies
  - B. Program supplies
  - C. Operating supplies
  - D. Travel expenses (motels, meals, travel)
  - E. Professional meetings
  - F. Equipment orders
  - G. Workshop purchases
5. It shall be the responsibility of the Director to retain all credit cards in a locked file and to distribute one when someone needs it. Upon return of the credit card to the Director, a receipt of purchase will be attached. The Bookkeeper will maintain a register to record the issuance of any credit card.
6. No interest, carrying charges, or penalties shall be incurred due to late payments. The person using the credit card shall be personally liable for any and all charges for interest, carrying charges, or penalties incurred due to late payments.
7. Any and all claims filed in connection with the use of credit cards must be itemized before being approved and paid by the Board. All claims not properly itemized or documented shall be returned to the employee user for correction. Such employee user shall be responsible for interest, carrying charges or penalties and the item(s) purchased without proper documentation (company receipts, invoices, contract copies, conference agendas, etc.).
8. No tax or taxes shall be paid on any purchase. As per SBOA, it is the responsibility of the library credit card user to pay any state tax incurred on a purchase. An ST105 (Sales Tax Exemption Certificate) must be presented at the time a purchase is made to avoid paying sales tax.
9. No personal expenses of any nature shall be charged to any credit cards issued in the name of the Library. If using a credit card for travel, keep in mind that current approved levels are \$10.00 per diem for breakfast and lunch, \$15.00 for dinner for reimbursement within the state rate for food at a conference, workshop, etc. Out of

state per diem may differ due to higher costs. For example, Illinois approves \$20 for breakfast and lunch and \$35 for dinner.

#### **10. Lost Cards**

- a.** It is the responsibility of the user to be accountable for purchases made with the library credit card and to protect the card while in their possession.
- b.** Should a card be lost, the user needs to notify the credit card company and Alliance Bank and follow their steps in getting a new card, keeping the Bookkeeper and Director notified of the process.
- c.** As per SBOA, the loss of a credit card needs to be put in the monthly board minutes of a board meeting for audit purposes.

#### **11. Corporate Cards**

- a.** Corporate Cards need board approval and must be kept in a secure place and maintained by the Director.
- b.** A corporate card may be issued by a company to use if a government type account has been established which provided for a longer billing cycle.
- c.** A corporate line of credit may be established to use for purchasing resources for the library not available from some other standard means (e.g. Amazon).

### *Section 1.9 Investment Policy*

#### **1. Policy Statement and Scope**

This document will govern the investment activities of the Library. It is the policy of the Library to invest public funds in a manner that will provide the highest return with the maximum security while meeting cash-flow demands. All investments will conform to applicable laws and regulations governing the investment of public funds.

#### **2. Investment Objectives**

The primary objectives of the Library's financial investments, in priority order, are:

- A.** Legality – All investments shall conform to applicable federal, state, and other legal requirements.
- B.** Safety of Principal – All investments shall be undertaken in a manner that seeks to preserve capital. The objective will be to mitigate credit risk and interest-rate risk.

- C. Liquidity** – The Library's investment portfolio will remain sufficiently liquid to enable the Library to meet all operating requirements that might be reasonably anticipated.
- D. Return on Investments (Yield)** – The Library's investments will generate the highest available return without sacrificing the first three objectives outlined above.
  - a. Credit Risk:** The Library will minimize credit risk, which is the risk of loss due to the failure of the security issuer or backer by:
    - i.** Limiting investments to the types of securities listed in Section 8 of this Investment Policy.
  - b. Pre-qualifying the financial institutions, broker/dealers, intermediaries, and advisors with which the Library will do business in accordance with Section 7.**
    - i.** Diversifying the investment portfolio in accordance with Section 4.
- E. Interest Risk:** The Library will minimize interest rate risk, which is the risk that the market value of securities in the portfolio will fall due to changes in market interest rates by:
  - i.** Structuring the investment portfolio so that securities mature to meet cash requirements for ongoing operations, thereby avoiding the need to sell securities on the open market prior to maturity.
  - ii.** Investing operating funds primarily in shorter-term securities, or money market mutual funds and limiting the average maturity of the portfolio in accordance with this policy. (see Section 8).

### 3. Delegation of Authority

Management responsibility for the Library's investment program is hereby delegated to the Board of Trustees of the Monticello-Union Township Public Library. The Board shall delegate, to the library Director or Bookkeeper, the responsibility for the implementation of the investment program and the establishment of investments consistent with this Policy. No person may engage in an investment transaction except as provided under the terms of this Policy and the procedures established by the Board of Trustees.

### 4. Diversification of Investments

The Library shall diversify its investments to the best of its ability based on the type of funds invested and the cash-flow needs of those funds. Diversification can be achieved by the type of investment, number of institutions, and length of maturity.

### 5. Internal Control

The Board of Trustees is responsible for establishing and maintaining internal control to



insure that the assets of the Library are protected from loss, theft, or misuse. The internal control structure shall be designed to provide reasonable assurance that these objectives are met.

**6. Reporting**

The Director or Bookkeeper shall provide monthly investment reports to the Library Board that clearly provide the following information regarding the investment portfolio: types of investments, depository institutions, principal balances, rates of return, and maturities.

**7. Designation of Depositories**

All public funds of the Library Board shall be deposited in the designated depositories located in the territorial limits of the Library District. (IC 5-13-8-9)

**8. Permitted investments**

The Board of Trustees or their delegate is authorized to invest Library funds in the following (IC 5-13-9):

**A. Securities backed by the full faith and credit of the United States Treasury or fully guaranteed by the United States and issued by The United States Treasury;**

1. A federal agency;
2. A federal instrumentality;
3. A federal government-sponsored enterprise.

**B. Discount notes issued by any of the following:**

1. A federal agency;
2. A federal instrumentality;
3. A federal government-sponsored enterprise.

Repurchase Agreements (including standing repurchase agreements, commonly known as sweep accounts) With Depositories designated by the State Board of Finance as depositories for state investments under IC 5-13-9.5; and involving the political subdivisions purchase and guaranteed resale of any interest-bearing obligations issued; or fully insured or guaranteed by the United States, a United States government agency, an instrumentality of the United States, or a federal government-sponsored enterprise.

The depository shall determine daily the amount of money in this type of agreement that must be fully collateralized by interest-bearing obligations as determined by their current market value. The collateral is not subject to the two-year maturity limitation.

Repurchase agreements may be entered into for a fixed term or arranged on an open or continuing basis as a continuing contract that:

1. Operates like a series of overnight repurchase agreements (may be referred to as overnight sweep products);

2. Is renewed each day with the repurchase rate and the amount of funds invested determined daily
3. For this purpose is considered to have a final maturity of one day. The Director shall annually obtain the approval of the Library Board before making investments in the following:
4. Money market mutual funds that are in the form of securities of or interests in an open-end, no-load, management-type investment company or investment trust registered under the provisions of the federal Investment Company Act of 1940, as amended. Investments in money market mutual funds may not exceed 50% of the funds held by the Library and available for investment.

The portfolio of this type must be limited to the following:

- a. Direct obligations of the United States.
- b. Obligations issued by any of the following:
  1. A federal agency.
  2. A federal instrumentality.
  3. A federal government-sponsored enterprise.
- c. Repurchase agreements fully collateralized by obligations described in both a and b above.

The money market mutual fund must be rated as one of the following:

- a. Aaa, or its equivalent, by Standard and Poor's Corporation.
- b. Aaa, or its equivalent, by Moody's Investors Service Inc.

The investment is considered to have a stated final maturity of one day, and shall be made through depositories designated by the state board of finance as depositories for state deposits under IC 5-13-9-8.

5. TrustINDiana – the purpose of TrustINDiana is to allow local units of government to invest in a common pool of investment assets that preserves the principal of the public's funds, remains highly-liquid, and maximizes the return on the investment. TrustINDiana was authorized by the Indiana General Assembly's passage of Indiana Code 5-13-9-11 during its 2007 session. The Indiana Treasurer of the State has been designated by statute as the administrator of TrustINDiana. TrustINDiana only invests in securities and investments that are permitted by Indiana law. Safety is further enhanced by limiting the term of the specific investments, asset class diversification, as well as the weighted average maturity of the entire portfolio to correspond conservatively with cash flow expectations and to mitigate any market timing risk.

#### 9. Investment Rate Quotes

Whenever investments are made in a certificate of deposit, quotes of the specific rates of interest for the term of the CD will be obtained. The quotes will be recorded in a memorandum and retained as a public record. The deposit will be placed with the designated depository quoting the highest rate of interest for the selected period. If two depositories tie for the highest quote, the deposit may be placed in any or all of the designated depositories quoting the highest rate at the fiscal officer's discretion. (IC 5-13-9-4)

#### 10. Interest Earnings

All interest derived from an investment by the Library's fiscal officer shall be receipted to the fund of which they are a part.

#### 11. Prohibited Investments

The fiscal officer may not purchase securities on margin or open a securities margin account for the investment of Library funds. (IC 5-13-9-9)

The fiscal officer may not purchase foreign investments.

#### 12. Conclusion

This policy has been promulgated by the Monticello-Union Township Public Library to formalize prudent investment policies and procedures that will meet the investment objectives of the Library. This policy is to be reviewed by the Board as new investment legislation becomes law, as staff expertise changes, and/or as necessitated by other external and internal factors.

### *Section 1.10 Food for Fines Policy*

During the library's Food for Fines period, patrons may donate a designated nonperishable food item for each \$1.00 (or part of a dollar) in existing overdue fines owed to Monticello-Union Township Public Library, up to \$15 per library card. Payment for lost or damaged library materials, collection fees, or overdue fines owed to other libraries will not be eligible for this program.

### *Section 1.11 Photography, Videotaping, and other Recording Devices Policy*

#### INDIVIDUAL PHOTOGRAPHY/VIDEOTAPING

Persons photographing, videotaping, or recording on library premises have the responsibility for obtaining the necessary releases and permissions from persons who are to be photographed, videotaped, or recorded. Taking photographs or videotaping of a minor, an individual under the age of 18, requires the permission of the minor's parent or guardian. The library undertakes no responsibility for obtaining these releases.

#### COMMERCIAL PHOTOGRAPHY/VIDEOTAPING

The library does not permit commercial photography or filming, including such by local press. Any exception requires the expressed written permission from the Library Director. This permission will be updated yearly to include agency name and employee names of those who will be photographing at the events.

Community organizations holding scheduled events or meetings in the library study or meeting rooms may arrange for their own photography or videotaping/recording of their event. Such photography and videotaping is restricted to the space reserved by the group, and the group is responsible for any necessary releases and permissions.

#### LIBRARY STAFF PHOTOGRAPHY/VIDEOTAPING

We often take pictures or shoot videos at library events to use in library publicity materials and on our website. The library reserves the right to document its services and the public's use of the library. Official representatives of the library may take photographs, videotape, or use other recording devices within the library and at library-related events and activities for library purposes. These photographs and video may be copied, displayed, published (including on any library web presence), and telecast for such purposes as promotion, publicity, and news to inform the public

about the library. All such photography/videotaping will be in accordance with library procedures.

If individuals do not wish us to use a picture or video of them or their child, they should tell a library staff member prior to the event. This policy extends to photographs and filming by library staff at Friends of the Library events and at library booths and programs at public events in the community.

Photography, videotaping, or use of other recording devices may not interfere with the provision of library services. Staff will terminate any photography, videotaping, or recording session that appears to compromise public safety or security.

### *Section 1.12 Notary Public Policy*

A notary commission is personal to the notary public. The stamp and commission belong to the notary public and must be safeguarded by the notary in order to prevent forgeries and other misuse. Even if an employer pays for the notary commission, the employer cannot convert the stamp and journal. Additionally, if the employer paid for the notary's bond, the employer cannot cancel the bond.

The staff member designated at the notary public is acting on behalf of the library board to provide notary services in the library.

While serving as a notary public, the staff member may not also hold a lucrative office.

The staff member, serving as a notary public:

- A.** Must adhere to the highest standards of competence and responsibility in providing notary public services.
- B.** Shall never notarize any signature without the maker of the signature first appearing personally before the notary.
- C.** Shall correctly maintain a notary journal of all notarial acts they perform.

The Library will not provide witnesses, and witnesses may not be solicited from patrons using the Library. In order to serve as a witness, the witness must personally know the person whose document is being notarized and must be in possession of valid photo identification.

In accordance with Indiana Notarial Law, Notaries will not provide service if the customer, document or circumstances of the request for Notary Service raise any issue of authenticity, ambiguity, doubt or uncertainty for the Library. In this event, the Library Notary may, at his/her sole discretion, decline to provide Notary Service.

The library notary public is not an attorney licensed to practice law in Indiana, and he/she may not give legal advice.

*SECTION 1.13 JUVENILE FINE FREE POLICY*

*NOT CURRENTLY BEING USED*

*SECTION 1.14 VOLUNTEER POLICY*

PURPOSE

The library volunteer program is designed to enrich the library's mission and programs. Volunteers do not replace paid staff; rather, they support the services of the staff.

SELECTION AND REGISTRATION

Volunteers are selected based on their qualifications and the needs of the library. The Circulation Services Manager will match the volunteer with the job, based on experience, skills, and other relevant criteria.

JOB DESCRIPTION, TRAINING, AND SUPERVISION

Volunteers will be assigned to work with, and be trained by, a specific supervisor in one of the departments of the library.

REQUIREMENTS

Student volunteers must be entering sixth grade. A guardian or parent must provide permission for volunteers under 18. Volunteers will be asked to make a specific time commitment. All volunteers will be expected to provide the same high quality services as paid staff and may be subject to a national criminal background check if working with children ages 14 or younger.

PUNCTUALITY, MISCELLANEOUS BUSINESS

Punctuality is appreciated. The supervisor must be notified if a volunteer will not be

available for a scheduled shift. Volunteers will not be disqualified if they reside elsewhere for part of the year.

#### APPEARANCE

Volunteers will be subject to the same requirements of appearance and personal conduct as are the employees of the library.

#### EMPLOYMENT, INSURANCE, AND BENEFITS

A volunteer may apply for paid positions when an opening occurs in the library. The volunteer shall follow the library's employment application process to be considered as a candidate for a position. Workers' compensation does not cover library volunteers. The only benefit for volunteers is the free use of the copier for the first 15 copies a month.

#### COMMUNITY SERVICE VOLUNTEERS

These volunteers may be required to fulfill a service requirement for a school, scout group or some other institution. They may be fulfilling requirements for probation as the result of a court settlement for an arrest. Usually Community Service volunteers have a number of hours and a date to be completed requirement. Only one community service volunteer will be accommodated at a time, based on availability of staff supervision. Before being accepted as a volunteer, the total hours to be completed in a time frame must be considered. Any individual requesting to complete hours for probation must provide the details of their arrest, and may be subject to refusal based on the nature of the crime committed.

### *Section 1.15 Internal Controls*

#### MUTPL Internal Controls Mission Statement

Mission: The Library's Internal Controls will examine, evaluate, and report on the adequacy and reliability of existing controls to ensure that:

Revenues are accurately and completely captured and processed

Expenses are reasonable, appropriate and properly approved

Financial reporting is accurate and reliable.

Automated processing of financial and operating data is accurate, reliable and complete

Laws, regulations, and internally developed policies and procedures are followed

Assets are properly safeguarded

Monitoring activities should be established and used to monitor internal control system and evaluate the results

Management, the bookkeeper and the director should identify and remediate internal control deficiencies in a timely basis

## Objective: Credit Card

All credit card charges must be for library business purposes, be supported by itemized appropriate documentation, and submitted to the director's office in a timely manner.

Reporting: All credit card charges and payments must be accurately reported in the monthly financial statements to the board of trustees.

Compliance: Credit card claims must meet the requirements of the IC 5-11-10 (Certification of Claims; Forms) and be on a form prescribed by the SBOA. Accounting and Uniform Compliance Guidelines Manual for Political Subdivisions requires a credit card policy and provides guidelines for usage.

Control Environment: The oversight body and management demonstrate a commitment to integrity and ethical values.

The oversight body and management demonstrate a commitment to integrity and ethical values by stressing adherence to statutory compliance and State Board of Accounts guidelines in the employee handbook, which also includes a code of conduct. Employees are required to certify annually that they have read, understand, and will comply with the provisions within.

The oversight body oversees the entity's internal control system.

The oversight body has adopted a credit policy with the minimum requirements set forth in the Accounting and Uniform Compliance Guidelines Manuals for Political Subdivisions.

Management establishes an organizational structure, assigns responsibilities, and delegates authority to achieve the unit's objectives.

Management has established organizational structure for the accountability of credit card transactions. Responsibilities assigned include maintaining custody of the cards, reviewing claims for payments for sufficient documentation and reconciling the credit card statement to the documentation used to support the claims.

Management demonstrates a commitment to attract, develop, and retain competent individuals.

Employees involved in the credit card process have been educated as to the requirements and trained on the proper usage, itemization, accountability, and adherence with the approved policy and applicable Indiana Code.

All personnel (officials, management, and employees) are certified as trained in internal control standards and procedures.

Management evaluates performance and holds individuals accountable for their internal control responsibilities.



The oversight body and management review credit card claims for adherence to the approved policy and applicable Indiana Code prior to payment. Any charge that is not adequately supported, is not for governmental business or is inappropriate will not be paid by the Unit and will be the responsibility of the employee. If this occurs the employee will be subject to the additional training or disciplinary action as determined by the oversight board.

Employees with credit card usage privileges, supervisory personnel and management are evaluated on their compliance with laws and regulations and their monitoring responsibilities during their annual evaluations.

Risk Assessment: Management defines objectives clearly to enable the identification of risks and defines risk tolerances.

See below: Management identifies, analyzes and responds to risk related to achieving the defined objectives.

Management has identified risks as follows: Non-compliance with statute/requirements  
Insufficient documentation of charge  
Inappropriate charge (not government business, personal)  
Use of card for cash advance  
Unnecessary expense  
Lost or stolen cards  
Credit card used to circumvent accounts payable process  
Inadequate appropriation balance  
Interest and finance charges due to late payment

Management's risk tolerance is as follows: Non-compliance with statute and defined minimum requirements is not acceptable.

All payments must be adequately documented or will not be paid by unit

Inappropriate charges will be paid by the employee

Cash advance is considered an inappropriate charge and will be paid by employee (the card should be deactivated, not allowing for cash advances, if at all possible)( employees do not have access to a pin number)

Expenses deemed unnecessary by the oversight body will be the responsibility of the employee

Oversight body has included in their policy that all cards must be immediately checked back into custody, if they have been determined to be lost/stolen, report to mgt immediately. This should be documented and reported to law enforcement.

Charges for interest and finance charges due to late payments will be the responsibility of employee responsible for turning in late documentation or late payment.

Management considers the potential for fraud when identifying, analyzing and responding to risks.

Any actions involving credit card usage or payment, deemed to be fraudulent in nature, will be reported to law enforcement and State Board of Accounts. See the above noted identified risks and risk tolerances.

The oversight body and management have carefully considered the number of cards to be maintained in the unit's name, the credit limit on each card, deactivation of cash advances, the custody of cards not in use, the logout and login procedures, limits on amounts of purchases and the itemization and documentation of charges. These considerations are included in the unit's policy.

Management identifies, analyzes and responds to significant changes that could impact the internal control system.

Control Activities: Management designs control activities to achieve objectives and respond to risks.

Management assigns a person other than the official custodian of the credit cards to match invoices to charges on the credit card statement and to analyze the use of the card against the unit's policy and Accounting and Uniform Compliance Guidelines. Specifically the assigned person would be reviewing for inappropriate usage or inadequately supported usage.

Management designs the unit's information system and related control activities to achieve objectives and respond to risks.

Management assigns a person other than fiscal officer to reconcile the credit card statement to the approved payment by the fiscal body. Specifically the assigned person would verify that the payments paid to the credit card company agreed with the amounts approved by the Council/Board.

Management implements control activities through policies

The unit has a credit card policy that meets the minimum requirements as defined by the Accounting and Uniform Compliance Guidelines but then exceeds those guidelines by addressing the define risks. Any employee allowed to use credit cards to make purchases and all employees responsible for those purchases and the processing of same, are trained on the applicable requirements and policies.

Information and Communication: Management uses quality information to achieve the unit's objectives.

Operations: claims for payment are submitted to accounting on the approved/prescribed form, dated, adequately itemized, and approved by supervisory personnel.

Reporting: At year end the total payments to the vendor would be verified to the payments approved, by someone other than the fiscal officer. That verification is documented as part of the year end closing process. Any deviation is reported directly to the Council/Board.

Compliance: The unit has a policy in place and has educated its employees. Employees responsible for review are aware of the allowable usage per the policy.

Management internally communicates the necessary quality information to achieve the unit's objectives.

The unit has a handbook, including a code of conduct requiring certification by employees.

The unit has a credit card policy that exceeds the minimum requirements as set forth in the Accounting and Uniform Compliance Guidelines Manual.

The unit has established organizational structure for responsibility and accountability. Employees allowed to purchase using a credit card have been educated as to the requirements.

Employees responsible for supervision of credit card usage have been educated as to their responsibilities and accountability.

All employees have been educated and certified as to internal control standards and procedures.

Management externally communicates the necessary quality information to achieve the entity's objectives.

The unit's financial report is submitted through the gateway system and becomes a public document.

All payments are approved during an open meeting and documented in the public minutes.

The certification of training of internal control standards and procedures are maintained for audit.

Control deficiency identified in an external audit is addressed in a corrective action plan. A log of credit card access is maintained for audit.

Credit card statements, payments, supporting documentation are all maintained for audit.

Monitoring Activities: Management establishes and operates monitoring activities to monitor the internal control system and evaluate the results.

The review of the credit card statements to the approved payments are reviewed and approved on a monthly basis by the board of trustees.

The review of the monthly bank reconciliation is performed and documented by the bookkeeper and Director.

The annual financial report is reviewed and verified to the records by the director prior to submission.

Management reviews the internal control system, including policies, procedures and organizational structure for responsibility and accountability, semi-annually or when there is a significant change in personnel or processing. The review and any recommended changes are reported to the oversight body for approval. This approval is documented in the minutes.

Management remediates identified internal control deficiencies on a timely basis.

Violations or deficiencies are reported to supervisory personnel or Council/Board immediately, as is appropriate.

Appropriate action, either training, disciplinary, suspension or termination is adequately documented.

Audit deficiencies are addressed in a corrective action plan submitted to the SBOA.

The oversight body determines that the corrective action plan has been implemented and completed.

### *Objective: Payroll*

Operations: Payroll is done biweekly, correctly, in a timely manner and accurately reported.

Reporting: All payroll reports from ADP are accurately reported in their entirety and in the appropriate time period.

Compliance: Compensation should be made in a manner that will facilitate compliance with State reporting requirements

Control Environment: The oversight body and management demonstrate a commitment to Integrity and ethical values.

The Board of Trustees and the staff of the Library demonstrate a commitment to integrity and ethical values by stressing adherence to statutory compliance and State Board of Accounts guidelines in the employee handbook, which also includes a code of conduct. Employees are required to certify that they have read, understand and will comply with the provisions within.

The oversight body oversees the entity's internal control system.

The Library uses ADP online for timesheets. Every employee has his/her own password to access this web site. The Bookkeeper prints out a report to make sure that the employee's hours are correct. The Bookkeeper double checks the employee's timecard files for current payroll time period for any errors. Once this is done, the Bookkeeper submits the hours. ADP is used for processing the payroll for direct deposit. ADP pays payroll taxes and prepares W-2's.

Management establishes an organizational structure, assigns responsibility, and delegates authority to achieve the entity's objectives.

The Director and Bookkeeper established organizational structure for the accountability of payroll.

Management demonstrates a commitment to recruit, develop, and retain competent individuals.

The director, managers, and bookkeeper have trained each employee on the process of using ADP online timesheets.

Management evaluated performance and holds individuals accountable for their internal control responsibilities.

Managers will look over and approve employee's time cards and correct any errors.

Risk Assessment: Management defines objectives clearly to enable the identification of risks

Management has defined the following risks for Payroll.

Employee is not using the web site correctly.

Employee is not clocking in or out at the correct time.

Employee is not using the web site to schedule PTO hours.

Bookkeeper/Manager/Director can change employee's hours in ADP.

Management identifies, analyzes, and responds to risks related to achieving the defined objectives.

An employee is given more or less hours than worked. Risk is 5. Manager, Director or Bookkeeper can change hours on timesheets.

Management considers the potential for fraud when identifying, analyzing, and responding to risks.

Any discrepancy over 100.00 will be reported to the State Board of Accounts. Repeat occurrences will be reported to the police and the SBOA. Two occurrences within a 6 month period will result in disciplinary action.

Management identifies, analyzes and responds to significant changes that could impact the internal control system.

If there is any management turnover they will be trained to understand all the internal control policies. If there is any change of accounting software, there will be training for the bookkeeper on the software.

Bookkeeper is working on standard operating procedure for accounting software.

Control Activities: Management designs control activities to achieve objectives and respond to risks.

The Director and Department heads are trained in the proper procedures.

Management designs the unit's information system and related control activities to achieve objectives and respond to risks.

Only the Bookkeeper and Director have access to the ADP Run, which is the final step in processing payroll. Only the bookkeeper has access to the income transactions component of the computerized accounting system. The bookkeeper has her own user ID and password for the accounting software. It is not the same as for other computerized systems in the Library. The bookkeeper changes her password every 30 days and uses a system that allows her not to write it down. The bookkeeper/Treasurer and Director perform the bank reconciliation. The Trustees of the Library checks the deposit register with the daily collections record monthly.

Management implements control activities through policies.

The library has a policy that meets minimum requirements.

Information and Communication: Management uses quality information to achieve the unit's objectives.

Operations: Managers, Director, and Bookkeeper insure that the employee's hours are correct.

Reporting: Reports from ADP are used to ensure that the payroll is correct.

Compliance: The unit has a policy in place and has educated its employees.

Management communicates the necessary quality information to achieve the unit's objectives.

The Library has a handbook, including a code of conduct requiring certification by employees. The Library has established organizational structure for responsibility and accountability. All employees have been educated and certified as to internal control standards and procedures.

Management externally communicates the necessary quality information to achieve the entity's objectives.

The Library's financial report is submitted through the gateway system and becomes a public document. All receipts are kept in an orderly manner. The annual report is prepared and reviewed. Once reviewed and approval for submission is communicated to the Director, the Bookkeeper/Treasurer submits the report.

**Monitoring Activities:** Management establishes and operates monitoring activities to monitor the internal control system and evaluate the results.

Management established and operates monitoring activities to monitor the internal control system and evaluate and results. The review of the monthly bank reconciliation is performed and documented by the Board of Trustees of the library. The annual financial report is reviewed and verified to the records by the Trustees of the library prior to submission. Management reviews the internal control system, including policies, procedures, and organizational structure for responsibility and accountability, annually or when there is a significant change in personnel or processing. The review and any recommended changes are reported to the Trustees of the Library for approval. This approval is documented in the minutes.

Management remediates identified internal control deficiencies on a timely basis.

Violations or deficiencies are reported to supervisory personnel or Trustees immediately, as is appropriate. Audit deficiencies are addressed in a corrective action plan submitted to the SBOA. The Trustees will determine if the corrective action plan has been implemented and completed.

### *Objectives - Financial Reporting*

**Operations:** All financial reporting must be supported to the library board and SBOA in a timely manner.

**Reporting:** Funds ledger, board minutes, and bank recs are uploaded to gateway on a monthly basis. Reports are viewed monthly by the Board of Trustees.

**Compliance:** Financial reports must meet the requirements of the reporting agencies such as the SBOA and ISL.

**Control Environment:** The oversight body and management demonstrate a commitment to integrity and ethical values.

The oversight body and management demonstrate a commitment to integrity and ethical values by stressing adherence to statutory compliance and State Board of Accounts guidelines in the employee handbook, which also includes a code of conduct. Employees are required to certify annually that they have read, understand, and will comply with the provisions within.

The oversight body oversees the entity's internal control system.

The oversight body has adopted a minimum requirement set forth in the Accounting and Uniform Compliance Guidelines Manuals for Political Subdivisions.

Management establishes an organizational structure, assigns responsibilities, and delegates authority to achieve the unit's objectives.

Management has established organizational structure for the accountability of financial reporting. Responsibilities assigned include maintaining financial reports and reviewing financial reports.

Management demonstrates a commitment to attract, develop, and retain competent individuals.

Employees involved in financial reporting have been educated as to the requirements and trained on the proper usage, itemization, accountability, and adherence with the approved policy and applicable Indiana Code.

All personnel (officials, management, and employees) are certified as trained in internal control standards and procedures.

Management evaluates performance and holds individuals accountable for their internal control responsibilities.

The oversight body and management review financial reports for adherence to the approved policy and applicable Indiana Code prior to submission.

Employees with financial reporting privileges, supervisory personnel and management are evaluated on their compliance with laws and regulations and their monitoring responsibilities during their annual evaluations.

Risk Assessment: Management defines objectives clearly to enable the identification of risks and defines risk tolerances.

See below: Management identifies, analyzes and responds to risk related to achieving the defined objectives.

Management has identified risks as follows: Non-compliance with statute/requirements inadequate or inaccurate information.

Management's risk tolerance is as follows: Non-compliance with statute and defined minimum requirements is not acceptable.

Management considers the potential for fraud when identifying, analyzing and responding to risks. Any actions involving financial reporting, deemed to be fraudulent in nature, will be reported to law enforcement and State Board of Accounts. See the above noted identified risks and risk tolerances.

Management identifies, analyzes, and responds to significant changes that could impact the internal control system.



The oversight body and management evaluate the internal control system related to financial reporting on an annual basis, unless there is a change in significant relevant personnel. Significant, relevant personnel are defined in the unit's internal control policy and appropriate action to be taken is defined.

**Control Activities:** Management designs control activities to achieve objectives and respond to risks.

The Director, Bookkeeper and Management are trained in the proper classification of financial reports.

Management designs the unit's information system and related control activities to achieve objectives and respond to risks.

The Financial reports are examined monthly by the Board of Trustees of the unit.

Funds ledger, board minutes and bank recs are uploaded monthly into gateway.

Management implements control activities through policies.

The Financial reports are examined monthly by the Board of Trustees of the unit. The unit is overseen by the SBOA via Gateway annually.

**Information and Communication:** Management uses quality information to achieve the unit's objectives.

**Operations:** Financial reports are overseen by the Board of Trustees monthly.

**Reporting:** The unit's financial reports are uploaded to Gateway monthly and annually by bookkeeper/treasurer.

**Compliance:** The unit's bookkeeper is responsible for preparing monthly reports for the Board of Trustees and the uploading of financial reports to gateway.

**Management internally communicates the necessary quality information to achieve the unit's objectives.**

The unit has a handbook, including a code of conduct, requiring annual certification by employees.

The unit has established organizational structure for responsibility and accountability. All employees have been educated and certified as to internal control standards.

Management externally communicates the necessary quality information to achieve the entity's objectives.

The unit's financial report is submitted through the gateway system and becomes a public document. The certification of training of internal control standards and procedures are

maintained for audit. Control deficiency identified in an external audit is addressed in a corrective action plan.

**Monitoring Activities:** Management establishes and operates monitoring activities to monitor the internal control system and evaluate the results.

The review of the monthly bank reconciliation is reviewed and documented by the Board of Trustees of the unit.

The annual financial report is reviewed and verified to the records by the Director prior to submission.

Management reviews the internal control system, including policies, procedures and organizational structure for responsibility and accountability, annually or when there is a significant change in personnel or processing. The review and any recommended changes are reported to the oversight body for approval. This approval is documented in the minutes.

Management remediates identified internal control deficiencies on a timely basis.

Violations or deficiencies are reported to supervisory personnel or Council/Board immediately, as is appropriate.

Appropriate action, either training, disciplinary, suspension or termination is adequately documented.

Audit deficiencies are addressed in a corrective action plan submitted to the SBOA.

The oversight body determines that the corrective action plan has been implemented and completed.

### *Objectives - Petty Cash*

**Operations:** Petty cash must be used for library purposes, be supported by itemized appropriate documentation, and submitted to the bookkeeper's office in a timely manner.

**Reporting:** All petty cash transaction must be accurately reported in the monthly financial statements to the library's board of trustees.

**Compliance:** Petty cash claims must meet the requirements of the IC 5-11-10 (Certification of Claims; Forms) and be on a form prescribed by the SBOA.

**Control Environment:** The oversight body and management demonstrate a commitment to integrity and ethical values.

The oversight body and management demonstrate a commitment to integrity and ethical values by stressing adherence to statutory compliance and State Board of Accounts guidelines in the employee handbook, which also includes a code of conduct. Employees

are required to certify annually that they have read, understand, and will comply with the provisions within the employee handbook.

The oversight body oversees the entity's internal control system.

The oversight body has adopted a petty cash policy with the minimum requirements set forth in the Accounting and Uniform Compliance Guidelines Manuals for Political Subdivisions.

Management establishes an organizational structure, assigns responsibilities, and delegates authority to achieve the unit's objectives.

Management has established organizational structure for the accountability of petty cash transactions. Responsibilities assigned include maintaining custody of petty cash, reviewing claims for payment or reimbursement for sufficient documentation and reconciling statements to the documentation used to support the claims, quarterly April, August and December with someone other than the financial officer.

Petty cash is currently at a \$200.00 balance. Cash Box is at \$85.00 (\$70.00 in bills), front desk cash drawer is at \$15.00, and petty cash box is at \$100.00.

Management demonstrates a commitment to attract, develop and retain competent individuals.

Employees involved in the petty cash process have been educated as to the requirements and trained on the proper usage, itemization, accountability, and adherence with the approved policy and applicable Indiana Code.

All personnel (official, management, and employees) are certified as trained in internal control standards and procedures.

Management evaluates performance and holds individuals accountable for their internal control responsibilities.

The oversight body and management review petty cash claims for adherence to the approved policy and applicable Indiana Code prior to payment. Any charge that is not adequately supported, is not for governmental business or inappropriate, will not be paid by the Unit and will be the responsibility of the employee. If this occurs the employee will be subject to the additional training or disciplinary action as determined by the oversight board.

Employees with petty cash usage privileges, supervisory personnel and management are evaluated on their compliance with laws and regulations and their monitoring responsibilities during their annual evaluations.

Risk Assessment: Management defines objectives clearly to enable the identification of risks and defines risk tolerances.

See below: Management identifies, analyzes and responds to risk related to achieving the defined objectives.

Management has identified risks as follows: Non-compliance with statute/requirements

- Insufficient documentation of charge
- Inappropriate use (not government business, alcohol, personal)
- Unnecessary expense
- Petty cash used to circumvent accounts payable process
- Inadequate appropriation balance

Management's risk tolerance is as follows:

- Non-compliance with statute and defined minimum requirements is not acceptable.
- All payments must be adequately documented or will not be paid by unit
- Inappropriate use will be paid by the employee
- Expenses deemed unnecessary by the oversight body will be the responsibility of the employee
- Oversight body has included in their body that petty cash must be in the custody of the bookkeeper. If petty cash is missing this should be documented.

Management considers the potential for fraud when identifying, analyzing and responding to risks.

Any actions involving petty cash deemed to be fraudulent in nature will be reported to law enforcement and State Board of Accounts. See the above noted identified risks and risk tolerances.

Management identifies, analyzes and responds to significant changes that could impact the internal control system.

The oversight body and management evaluate the internal control system related to petty cash usage on an annual basis, unless there is a change in significant relevant personnel. Significant, relevant personnel are defined in the unit's internal control policy and appropriate action to be taken is defined.

Control Activities: Management designs control activities to achieve objectives and respond to risks.

Management assists the Bookkeeper to match receipts to cash and to analyze the use petty cash against the unit's policy and Accounting and Uniform Compliance Guidelines and on occasion disbursements of said petty cash. Specifically the assigned person would be reviewing for inappropriate usage or inadequately supported usage on a quarterly basis - April, August and December of each year.

Management designs the unit's information system and related control activities to achieve objectives and respond to risks.

Management assigns a person other than the fiscal officer to reconcile the petty cash statement to the approved payment by the fiscal body. Specifically the assigned person would verify that the payments paid using petty cash agreed with the amounts approved by the Board.

Management implements control activities through policies.

The unit has a petty cash policy that meets the minimum requirements as defined by the Accounting and Uniform Compliance Guidelines but then exceeds those guidelines by addressing the defined risks. Any employee allowed using petty cash to make purchases and all employees responsible for those purchases and the processing of the same, are trained on the applicable requirements and policies.

**Information and Communication:** Management uses quality information to achieve the unit's objectives.

**Operations:** claims for payment are submitted to the bookkeeper, dated, adequately itemized, and approved by supervisory personnel.

**Reporting:** At year end the total payments to the vendor would be verified to the payments approved. That verification is documented as part of the year end closing process. Any deviation is reported directly to the Board.

**Compliance:** The unit has a policy in place and has educated its employees. Employees responsible for review are aware of the allowable usage per the policy.

Management internally communicates the necessary quality information to achieve the unit's objectives.

The unit has a handbook, including a code of conduct, requiring annual certification by employees.

The unit has a petty cash policy that exceeds the minimum requirements as set forth in the Accounting and Uniform Compliance Guidelines Manual.

The unit has established organizational structure for responsibility and accountability.

Employees allowed to purchase using petty cash have been educated as to the requirements.

Employees responsible for supervision of petty cash usage have been educated as to their responsibilities and accountability.

All employees have been educated and certified as to internal control standards and procedures.

The unit's financial report is submitted through the gateway system and becomes a public document.

All payments are approved during an open meeting and documented in the public minutes.

The certification of training of internal control standards and procedures are maintained for audit.

Control deficiency identified in an external audit is addressed in a corrective action plan.

A log of petty cash access is maintained for audit.

Petty cash statements, payments, and supporting documentation are all maintained for audit.

**Monitoring Activities:** Management establishes and operates monitoring activities to monitor the internal control system and evaluate the results.

The review of the petty cash statements to the approved payments are reviewed and approved by the Board of Trustees.

The review of the monthly bank reconciliation is performed and documented by the Board of Trustees.

The annual financial report is reviewed and verified to the records by the Board of Trustees prior to submission.

Management and Director review the internal control system, including policies, procedures and organizational structure for responsibility and accountability, annually or when there is a significant change in personnel or processing. Review and recommend any changes to the oversight body for approval. This approval is documented in the minutes.

Management remediates identified internal control deficiencies on a timely basis.

Violations or deficiencies are reported to supervisory personnel or Board immediately, as is appropriate. Appropriate action, either training, disciplinary, suspension or termination is adequately documented.

Audit deficiencies are addressed in a corrective action plan submitted to the SBOA.

The oversight body determines that the corrective action plan has been implemented and completed.

### *Objective: Cash Receipts /Daily Deposits*

Operations: Daily Deposits are made by Manager in Charge. Bookkeeper counts deposit and fills out deposit slip. Bookkeeper or Manager who did not fill out deposit will take deposit to Bank. If a Manager completes the deposit receipt and takes the deposit to the bank, another Manager will verify that the bank receipt matches the deposit slip.

Reporting: All receipts are to be reviewed by the Library Trustees monthly via Deposit Register.

Compliance: Manager or bookkeeper match deposit receipt from bank to the deposit slip, cash daily receipt form and initial Deposit receipt.

Control Environment: The Board of Trustees and the staff of the Library demonstrate a commitment to integrity and ethical values by stressing adherence to statutory compliance and State Board of Accounts guidelines in the employee handbook, which also includes a code of conduct. Employees are required to certify that they have read, understand and will comply with the provisions within.

All monies received are to be deposited daily in the Library Bank Account at Alliance Bank by the Bookkeeper or Manager.

Bookkeeper & Director established organizational structure for the accountability of cash receipts transactions.

Managers involved in the cash receipts process have been educated as to the requirements and trained on the proper procedures.

Managers must make sure that daily deposits are done. Deviations from procedure, policies or statute will result in additional training and/or disciplinary action.

Lost or stolen money. Not returning deposit receipt from Bank. Deposit receipt not matching daily cash sheet

Missing deposit receipt: Manager is responsible for the deposit receipt. If missing, manager is responsible for receiving a duplicate from the bank. Employee is responsible for any discrepancy between the total of the bank receipt and the daily cash form.

Noncompliance with the statute and defined minimum requirements is unacceptable. Any discrepancy over \$100.00 will be reported to the State Board of Accounts. Repeat occurrences will be reported to the police and the SBOA. Two occurrences within a 6 month period will result in disciplinary action.

Management changeover: Training of new managers to all the internal control policies. Board of Trustees design control activities to achieve objectives and respond to risk.

The Director and Department heads are trained in the proper procedures

Only the bookkeeper has access to the Income Transactions component of the computerized accounting system. The Bookkeeper has her own User ID and password for the accounting software. It is not the same as for other computerized systems in the library.

The library has a policy that meets minimum requirements:

Deposit slips should be purchased from Deluxe and include the library's name and the account number. Proof of transactions is used to verify the financial statements.

The unit has a policy in place and has educated its employees.

The Library has an employee handbook, including a code of conduct requiring annual certification by employees.

The Library has established organizational structure for responsibility and accountability.

All employees have been educated and certified as to internal control standards and procedures.

The Library's financial report is submitted through the gateway system and becomes a public document. All receipts are kept in an orderly manner.

The annual report is prepared and reviewed. Once reviewed and approval for submission is communicated to the Director. The Bookkeeper/Treasurer submits the report.

Management establishes and operates monitoring activities to monitor the internal control system and evaluate the results.

The review of the monthly bank reconciliation is performed and documented by the Bookkeeper and Director and then approved by the Board of Trustees of the Library.

The annual financial report is reviewed and verified to the records by the director prior to submission.

Management reviews the internal control system, including policies, procedures, and organizational structure for responsibility and accountability, annually or when there is a significant change in personnel or processing. The review and any recommended changes are reported to the Trustees of the Library for approval. This approval is documented in the minutes.



Violations or deficiencies are reported to supervisory personnel or Trustees immediately, as is appropriate.

Appropriate action, either training, disciplinary action, suspension, or termination is adequately documented.

Audit deficiencies are addressed in a corrective action plan submitted to the SBOA.

The Trustees determine that the corrective action plan has been implemented and completed.

### *Objective: Bank Reconciliation*

Operations: To ensure that all deposits and checks reconcile with the Monthly Bank Statement

Reporting: To ensure that reports are accurate and reported in the financial statements

Compliance: To ensure that each Bank Statement is accurately prepared each month.

Control Environment:

The oversight body and management demonstrate a commitment to Integrity and ethical values.

The Board of Trustees and the staff of the library demonstrate a commitment to integrity and ethical values by stressing adherence to statutory compliance and State Board of Accounts guidelines in the employee's handbook, which also includes a code of conduct. Employees are required to certify annually that they have read, understand and will comply with the provisions within.

The oversight body oversees the Entity's internal control system.

The Director and Bookkeeper have developed a process for Bank Reconciliations. The Bookkeeper/Director compares the bank statement with the deposits and checks in the accounting program. The Bookkeeper prepares a form showing the Board of Trustees that the accounting system balance matches the bank statement. Once the Board has signed off on the form, then the Bookkeeper will continue the reconciliation process. The Bookkeeper will prepare the reconciliation on a monthly basis.

Management establishes an organizational structure, assigns responsibilities, and delegates authority to achieve the entity's objectives.

The Director and Bookkeeper have established organizational structure for the Accountability of Bank Reconciliations.

Management demonstrates a commitment to recruit, develop, and retain competent individuals. The Director and Bookkeeper have been educated as to the requirements and trained on the proper procedures.

Management evaluates performance and holds individuals accountable for their internal control responsibilities.

Director will ensure that the bank reconciliation is completed in a timely manner.

Deviations from procedure, policies or stature will result in additional training and/or disciplinary action.

Risk Assessment: Management defines objectives clearly to enable the identification of risks and risk tolerance.

Management has identified the following risks: Bank reconciliation not done on a timely manner. Bank statement and accounting system not reconciling.

Management identifies, analyzes, and responds to risks related to achieving the defined objectives.

Risk low: Bookkeeper has bank recs done before each Board meeting.

Risk possible high: A deposit or check could not have been recorded in the Accounting program.

Management considers the potential for fraud when identifying, analyzing and responding to risks.

Any discrepancies over 100.00 will be reported to the State Board of Accounts. Repeat occurrences will be reported to the police and the SBOA. Two occurrences within a 6 month period will result in disciplinary action.

Management identifies, analyzes and responds to significant changes that could impact the Internal Control System.

Director, Managers or Bookkeeper turnover. Training of new employees on all the internal control policies. Change of accounting program. Training of bookkeeper on the software. Creating SOP for new software.

Control Activities: Management designs control activities to achieve objectives and

respond to risks.

The Director and Department heads are trained in the proper procedures.

Management designs the unit's information system and related control activities to achieve objectives and respond to risks.

Only the bookkeeper has access to the income transactions component of the Accounting program. The Bookkeeper has her own user ID and password for the Accounting Program. It is not the same password as for other computerized systems in the Library. The Bookkeeper changes her password every 30 days and uses a system that allows her not to write down the password. The Trustees of the Library checks the deposit register with the daily collections record monthly.

Management implements control activities through policies.

Information and Communication: Management uses quality information to achieve the unit's objectives.

Operations: Monthly Bank Statements are downloaded from the bank web site.

Reporting: Proof of transactions is used to verify the financial statements.

Compliance: The unit has a policy in place and has educated its employees.

Management communicates the necessary quality information to achieve the unit's objectives.

The Library has a handbook, including a code of conduct requiring annual certification by employees. The Library has established organizational structure for responsibility and accountability. All employees have been educated and certified as to internal control standards and procedures.

Management externally communicates the necessary quality information to achieve the entity's objectives.

The Library's financial report is submitted through the gateway system and becomes a public document. All receipts are kept in an orderly manner. The annual report is prepared and reviewed. Once reviewed and approval for submission is communicated to the Director, the Bookkeeper/Treasurer submits the Annual Report.

Monitoring Activities: Management establishes and operates monitoring activities to monitor the internal control system and evaluates the results.

Management established and operates monitoring activities to monitor the internal

Control system and evaluate and results.

The review of the monthly bank reconciliation is performed and documented by the Board of Trustees of the library. The annual financial report is reviewed and verified to the records by the Trustees of the library prior to submission. Management reviews the internal control system, including policies, procedures, and organizational structure for responsibility and accountability, annually or when there is a significant change in personnel or processing. The review and any recommended changes are reported to the Trustees of the Library for approval. This approval is documented in the minutes.

Management remediates identified internal control deficiencies on a timely basis.

Violations or deficiencies are reported to supervisory personnel or Trustees immediately as is appropriate. Audit deficiencies are addressed in a corrective action plan submitted to the SBOA. The Trustees' determine that the corrective action plan has been implemented and completed.

### *Objective: Vendor Disbursement and Small Purchases*

**Operation:** That all legitimate vendor invoices would be paid in the proper amount for the goods/services received. Receipt of the goods/services would be documented. Payment would be made in a timely manner after appropriate approvals.

**Reporting:** All disbursements are accurately reported in the financial statements.

**Compliance:** Library adopted rules for purchase in compliance with IC 5-22-3-3 and IC 5-22-8-1 were followed. Expenditures will be in compliance with IC 5-22-8 with the exception noted Per IC 36-12-3-16(allowed prepayments). IC 5-11-10-1.6 guidance for submission of claims and guidance for payment, requiring full itemization, approval by receiving personnel certification by fiscal officer and allowed by Board of Trustees are complied with. Also provisions in the Accounting and Uniform Compliance Guidelines Manual for Accounts Payable Vouchers (3-15) and Accounts Payable Voucher Register (3-24, 25) are followed.

**Control Environment:** The oversight body and management demonstrate a commitment to integrity and ethical values. The Trustees and the staff of the Library demonstrate a commitment to integrity and ethical values by stressing adherence to statutory compliance and State Board of Accounts, guidelines in the employee handbook, which includes a code of conduct. Employees are required to certify annually that they have read, understood, and will comply with the provisions within.

The oversight body oversees the entity's internal control system.

The trustees have adopted a purchasing policy for small purchases defined as \$500.00 or

less without board approval. Board of Trustees must approve purchases on amounts higher than \$500.00. The authority for purchasing has been defined. Annually all components of the internal control system is reviewed, including organizational charts, job descriptions, standard operating procedures and policies. Any deficiencies not considered to be urgent are reviewed and addressed at that time. The management and the Trustees can convene  
And address any deficiency or change in environment that requires immediate attention.

Management establishes an organizational structure, assigns responsibilities, and delegates authority to achieve the entity's objectives.

Management has established organizational structure for the accountability and responsibilities of purchasing, processing of accounts payable vouchers and payment of Vendor invoices for material and/or services. Responsibilities for purchasing, processing of accounts payable vouchers, and approval for the payment of small purchases has been defined by the job descriptions and when applicable by Indiana code.

Management demonstrates a commitment to recruit, develop, and retain competent individuals. Personnel charged with purchasing have been educated as to the requirements and trained on the proper usage of forms, itemization, accountability, and adherence with the approved policy and applicable Indiana code. All Personnel (officials, management, and employees) are certified and trained in internal control standards and procedures. All employees hired for accounting or cash functions have been subject to a background check. All job descriptions include skill and education requirements.

Management evaluated performance and holds individuals accountable for their internal control responsibilities. Annual evaluations are conducted and adherence to internal control structure, policies, and procedures are not part of the evaluation. Deviations from procedures, policies or statute will result in additional training and/or disciplinary action as determined by the Trustees. Any change that is not adequately supported, is not for government business or is inappropriate will not be paid by the unit and will be the responsibility of the employee.

Risk Assessment: Management defines objectives clearly to enable the identification of risks and risk tolerance.

See Below: Management identifies, analyzes, and responds to risks related to achieving the defined

Duplicate Payments: Risk medium. Vendor could send duplicate invoices and the Bookkeeper may not realize the mistake.

Alteration of checks: Risk low. If a check was altered, this would be discovered when monthly Bank Reconciliations are done.

Disbursements for materials or services not for unit - risk low. Invoices or statements are checked carefully to be sure the Unit has incurred the expense.

Purchases in violation of Conflict of Interest Statue - risk medium. Unit could forget to file Conflict of Interest form with the State.

Payments not made in a timely manner resulting in late fees - Risk low. Unit has a policy which allows payment to be made before Monthly Board meeting.

Payment is wrong fund or account - risk medium. This can occur if Manager is unsure what fund or account is to be used.

Purchase in excess of Budget - risk medium. This can happen if appropriation report is not checked closely.

Purchase made by an unauthorized person - risk low. Employees are aware who the purchasing agent is in their department.

Management considers the potential for fraud when identifying, analyzing, and responding to risks. See above.

Management identifies, analyzes and responds to significant changes that could impact the internal control system. The following significant changes that could impact the internal control system has been identified, analyzed and responded to:

New Managers will be trained on internal controls standards.

New Accounting Software: Change took place on January 1st, 2017. Training for bookkeeper followed installation of new software. Bookkeeper is working on Standard Operating Procedures for software.

Control Activities: Management designs control activities to achieve objectives and respond to risks.

The Director, Department Head Managers, Children's Assistant, Teen Librarian, Bookkeeper, and Processing Clerk is the only people allowed to make small purchases.

The Director and Department Heads are trained in the proper procedures.

Personnel purchasing must also document receipt of the good/services.

All purchases are required to be delivered to the Library (never personal residences).

The Library does not have ATM cards, only credit cards.

The Director or Department Managers audits all invoices and certifies that they are accurate and correct.

The Library uses computerized versions of Accounts Payable Voucher Form 4 and Accounts Payable Voucher Register Form 364.

The Library does have a policy in compliance with IC 36-12-3-16 allowing for payment prior to board approval for small purchases but all purchases are included on the register either before payment or in the case of payment prior to approval, on the next register directly subsequent.

The treasurer or a board designee reviews all Accounts Payable Vouchers and attached documentation prior to signing checks.

Custody of check stock is under lock and key and accessible only by the Bookkeeper.

On a monthly basis the board is provided budget to actual reports and monitors appropriations. This is documented in the minutes.

Annually the board compares collections and expenditures to prior years, reviewing for trends.

Management designs the unit's information system and related control activities to achieve objectives and respond to risks.

Only the bookkeeper has access to the accounts payable component of the computerized accounting system.

The bookkeeper has her own user ID and password for accounting software. It is not the same as for other computerized systems in the library.

The bookkeeper changes her password every 30 days and uses a system that does not allow her to write it down.

The bookkeeper performs the bank reconciliation with the director doing a follow up check.

Management implements control activities through policies.

The Library has policies for purchasing, information, and communication.

Management uses quality information to achieve the unit's objectives.

Operations: Invoices are to be originals when possible. When placing an order online a printed invoice is acceptable.

Invoices should include the vendors' letterhead, name, address, phone number, website and other identifying information.

Invoices must be itemized and complete.

Each purchase should be certified that the invoice is true and correct: Material/services were ordered and received.

Every disbursement transaction is included in the register for approval.

Reporting: Budget to actual report is reviewed for compliance.

Compliance: Invoices must be itemized and complete. Each purchase should be certified that the invoice is true and correct.

Materials/services were ordered and received: Every disbursement transaction is included on a register for approval.

Management communicates the necessary quality information to achieve the unit's objectives.

Invoices are approved by the receiving party prior to sending to bookkeeper.

The director certifies each Accounts Payable Voucher communicating to the board that each invoice has been verified as true and correct, the goods were ordered and received and that the invoice(s) are ready to be paid.

Every transaction is included on the Board register, communicating all transactions requiring payment.

The board register is signed, communicating the transactions approved for disbursement. The director/bookkeeper provides the board with budget to actual reports communicating compliance with budgetary constraints.

A proof of cash is performed to verify that the annual report is reconciled to bank statements prior to approval for submission.



Management externally communicates the necessary quality information to achieve the entity's objectives.

The annual report is prepared and reviewed.

Once reviewed and approval for submission is communicated to the director. The bookkeeper/treasurer submits the report.

**Monitoring Activities:**

Management establishes and operates monitoring activities to monitor the internal controls. System and evaluate the results. Management established and operates monitoring activities to monitor the internal control system

Management remediates identified internal control deficiencies on a timely basis.

The board has a policy for immediately follow up on any reported issues. Any deficiencies noted during a SBOA examination will immediately be addressed with a corrective action plan. The board realizes that they are responsible for determining that the corrective action plan has been successfully implemented.

# Section 2: Bylaws and Responsibilities

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## *Section 2.1 Board Bylaws*

### Article I: Name

This organization shall be called “The Board of Trustees of the Monticello-Union Township Public Library” existing by virtue of the provisions of the Laws of the State of Indiana, and exercising the powers and authority and assuming the responsibilities delegated to it under the said statute.

### Article II: Officers

Section 1: The officers shall be a president, a vice president, a secretary, and a treasurer, elected from among the appointed trustees at the annual meeting of the board.

Section 2: Nominations shall be made from the floor.

Section 3: Officers shall serve a term of one year from the annual meeting at which they are elected and until their successors are duly elected.

Section 4: The president shall preside at all meetings of the board, authorize calls for any special meetings, appoint all committees, execute all documents authorized by the board, serve as an ex-officio voting member of all committees, and generally perform all duties associated with that office.

Section 5: The vice president, in the event of the absence or disability of the president, or of a vacancy in that office, shall assume and perform the duties and functions of the president.

Section 6: The secretary shall keep a true and accurate record of all meetings of the board, shall issue a notice of all regular and special meetings and shall perform such other duties as are generally associated with that office.

Section 7: The treasurer shall be the disbursing officer of the board, signing all checks, and shall perform such duties as generally evolve upon the office. He/she shall be bonded in an amount as may be required by a resolution of the board. In the absence or inability of the treasurer, such other members of the board shall perform his duties as the board may designate.

### Article III: Meetings

Section 1: The regular meetings shall be held each month, the date and hour to be set by the board at its annual meeting. If the Library Board members are unable to attend, they are to call the library and talk to the Director or leave a message 24 hours prior to the meeting. Amended 7/12/99.

Section 2: The annual meeting, which shall be for the purpose of the election of officers, shall be held at the time of the regular meeting in January of each year.

Section 3: The order of business for regular meetings shall include, but not be limited to the following items, which shall be covered in the sequence shown so far as circumstances will permit: Amended 3/11/2013

- a. Approval of Agenda
- b. Disposition of minutes of previous regular meeting and any intervening special meetings
- c. Director's financial report of the library
- d. Action on bills
- e. Progress and service report of director
- f. Committee reports
- g. Communications
- h. Unfinished business
- i. New business
- j. Public presentation to, or discussion with, the board
- k. Adjournment

Section 4: Special meetings may be called by the secretary at the direction of the president, the director, or at the request of two members, for the transaction of business as stated in the call for the meeting.

Section 5: A quorum for the transaction of business at any meeting shall consist of four members of the board present in person.

Section 6: Conduct of meeting: Robert's Rules of Order shall govern proceedings of all meetings.

### Article IV: Library Director and Staff

The board shall appoint a qualified library director who shall be the executive and administrative officer of the library on behalf of the board and under its review and direction. The director shall recommend to the board the appointment and specify the duties of other employees and shall be held responsible for the proper direction and supervision of the staff, for the care and maintenance of library property, for an adequate and proper selection of books in keeping with the stated policy of the board, for the efficiency of library service to the public, and for its financial operation within the limitations of the budgeted appropriation. In the case of temporary employees, the director shall have interim authority to appoint without prior approval of the board provided that any such appointment shall be reported to the board at its next regular meeting.

#### Article V: Committees

Section 1: The president shall appoint committees of one or more members each for such specific purposes as the business of the board may require from time to time. The committee shall be considered to be discharged upon completion of the purpose for which it was appointed and after the final report is made to the board.

Section 2: All committees shall make a progress report to the Library Board at each of its regular meetings.

Section 3: No committee will have other than advisory powers unless, by suitable action of the board, it is granted specific power to act.

#### Article VI: General

Section 1: An affirmative vote of the majority of all members of the board, present at the time, shall be necessary to approve any action before the board. The president may vote upon and may move or second a proposal before the board.

Section 2: The bylaws may be amended by the majority vote of all members of the board provided written notice of the proposed amendment shall have been mailed or emailed to all members at least ten (10) days prior to the meeting at which such action is proposed to be taken. Approved 3/12/18

Section 3: Any rule or resolution of the board, whether contained in these bylaws or otherwise, may be suspended temporarily in connection with business at hand, but such suspension, to be valid, may be taken only at a meeting at which two-thirds of the members of the board shall be present and two-thirds of those present shall so approve.

#### Article VII: Conflicts

Section 1: Nepotism. No member of the Board of Trustees may be related to the third degree (spouse, parent, sibling, child, grandparent, aunt, uncle, nephew, niece) to any salaried staff member or to any other Board of Trustees member. If such a relationship

exists prior to the appointment of a member, said member is deemed unqualified to serve. If such a relationship exists after the appointment of a member, said member is required to immediately tender his or her resignation.

Section 2: Other Conflicts. If other conflicts, economic or otherwise, arise which give rise to the appearance of impropriety, the appointing authority shall determine if such conflict is of such a nature to require the resignation of a member from the Board of Trustees or the abstention of the member from any discussion or vote regarding a particular issue. If a member of the Board of Trustees becomes aware of any such conflict, said member is required to immediately bring such conflict to the attention of the President.

3/12/18 Approved by the MUTPL Board of Directors will need to be approved again in 2021

## *Section 2.2 Duties and Responsibilities*

Of the Library Board:

1. Employ a competent and qualified library director.
2. Determine and adopt written policies to govern the operation and program of the library.
3. Determine the purpose of the library and secure adequate funds to carry on the library's program.
4. Know the program and needs of the library in relation to the community; keep abreast of standards and library trends; plan and carry out the library program.
5. Establish, support and participate in a planned public relations program.
6. Assist in the preparation of the annual budget.
7. Know local and state laws; actively support library legislation in the state and nation.
8. Establish, among the library policies, those dealing with book and material selection.
9. Attend all board meetings and see that accurate records are kept on file at the library.
  - a. State law specifies if a board member misses six (6) consecutive regular board meetings the member will be removed. A letter will be sent indicating the removal to the member.
  - b. The board will seek a replacement board member through the appropriate body.
10. Attend regional, state and national trustee meetings and workshops. Affiliate with appropriate professional organizations.
11. Be aware of the service of the state library.

**12.** Report regularly to the governing officials and the general public.

Of the Library Director:

- 1.** Act as technical advisor to the board; recommend needed policies for board action; recommend employment of all personnel and supervise their work.
- 2.** Be responsible for hiring, dismissal, disciplining and promotion of all library personnel.
- 3.** Carry out the policies of the library as adopted by the board.
- 4.** Suggest and carry out plans for extending the library's services and facilities.
- 5.** Prepare regular reports embodying the library's current progress and future needs; cooperate with the board to plan and carry out the library program.
- 6.** Maintain an active program of public relations.
- 7.** 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.
- 8.** Know local and state laws; actively support library legislation in the state and nation.
- 9.** Have overall responsibility for selection, acquisition, processing and maintenance of all library materials.
- 10.** Attend all board meetings.
- 11.** Affiliate with local, state, and national professional organizations and attend professional meetings and workshops.
- 12.** Make use of the services and consultants of the state library.
- 13.** Report regularly to the library board, the officials of local government and the general public.

### *Section 2.3 Administrative Responsibility*

The Director is charged with the responsibility of administering these policies in a fair, impartial and consistent manner and making recommendations to the Board for changes in existing policy.

### *Section 2.4 Employee Responsibility*

Library employees must be familiar with and abide by the guidelines in this policy manual and for all published changes and interpretations.

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## Section 3: Library Services

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## *Section 3.1 Introduction*

The library provides materials and resources which will provide informational, cultural, and recreational needs of the people of the community. The library should endeavor to:

1. Select, organize, and make available books and materials in both print and e-format.
2. Provide guidance and assistance to patrons.
3. Sponsor and implement programs, exhibits, displays, book lists, and special events which would appeal to children, teens, and adults.
4. Cooperate with other community agencies and organizations.
5. Secure information beyond its own resources when requested.
6. Lend to other libraries upon request.
7. Develop and provide services to patrons with special needs.
8. Maintain a balance in its services to various age groups.
9. Cooperate and partner with, but not perform the functions of, school or other institutional libraries.
10. Provide service during hours which best meet the needs of the community, including evening and weekend hours.
11. Regularly review library services being offered.
12. Use media and other public relations mechanisms to promote the full range of available library services.
13. Keep up-to-date on the latest resources and databases.
14. Keep up-to-date with technology for both staff and public.
15. Keep staff updated on current trends, formats, services, technology, EVERGREEN procedures and encourage continuing education for all.

### *Section 3.2 Library Hours*

Monday through Thursday:	9:00 a.m. – 8:00 p.m.
Friday and Saturday:	9:00 a.m. – 5:00 p.m.
Sunday	Closed

### *Section 3.3 Library Closings*

New Year's Eve  
New Year's Day  
Martin Luther King Jr.  
President's Day  
Good Friday  
Memorial Day  
Independence Day  
Labor Day  
Veteran's Day  
Thanksgiving Eve  
Thanksgiving Day  
Black Friday  
Christmas Eve  
Christmas Day

Please note the following exceptions:

One of the holiday closures will be used as a staff in-service day.

If a holiday falls on a Sunday, the library will be closed on Monday. The only exception would be if Christmas Eve, for instance, would be on a Sunday and Christmas Day would be on a Monday. Then the library would be closed both Monday and Tuesday.

If a holiday falls on a Saturday, the library will be closed on Friday as well as Saturday. The only exception would be if Christmas Eve would fall on a Friday and Christmas Day would be on a Saturday. Then the library would close Thursday, Friday and Saturday.

### *Section 3.4 Emergency Closing Procedure*

The Director is responsible for the decision to close. If the Director is not available then the Department Head with the most seniority is responsible for the decision. If none of the Department Heads is available, then the staff member with the most seniority will make the decision.

#### **Bad Weather**

Listen to weather reports on TV and radio for forecasts. Be aware of expected arrival times, intensity of approaching storms, with blowing snow and ice the highest priority.

#### **Power outages**

Try to determine the expected length of the outage by calling NIPSCO. Keep in mind checking out materials can be done manually as long as it is daylight.

#### **Closing Checklist**

1. Contact the radio station WMRS 574-583-8933 or Facebook page, identify yourself as the Monticello-Union Township Public Library Representative and give the closing announcement.
2. Call WLFI- TV 1-765-463-1800 and give closing announcement.
3. Send the staff home, with the furthest travel time given earliest dismissal.
4. Call the staff at home before they are due to arrive if the library is closing early or not opening.
5. Call the Board President to inform him/her of the decision to close.

6. Post-closing notices on entrance and back doors, whenever possible.
7. Share on social media that the library is closed.

### Emergency Closing Numbers

White County Highway Department (County Roads) (219)984-5851

Civil Defense (574)583-4692

NIPSCO 1(800)464-7726

Board President, Art Morgan (574)583-7326

## *Section 3.5a Rules Governing the Use of the Library*

Section 1: The library's rules of behavior are designed to protect the rights and safety of Library patrons; to protect the rights and safety of staff members; and to preserve and protect the Library's materials, facilities, and property. Small snacks and small covered beverages are allowed in public areas of the Library unless otherwise noted.

Patrons are required to follow the rules so that everyone can enjoy the use of the library. Persons failing to follow the Library's behavior rules will be asked to leave library property. Continued noncompliance will result in suspension of library privileges.

Unacceptable behaviors include but are not limited to:

1. Disruptive conduct, including behavior that presents danger to the life, well-being, health or safety of others.
2. Using obscene language or gestures
3. Smoking, chewing, and other tobacco use; vaping
4. Being under the influence of alcohol or illegal drugs or possessing alcohol or illegal drugs
5. Possessing weapons (except by law enforcement officers or others lawfully licensed to carry) or exhibiting any instrument in a threatening manner\*
  - a. \*Legal possession of firearms is governed by Indiana law and is not additionally regulated by this policy.
6. Use of furniture, library equipment or facilities in a manner for which they were not intended or designed

7. Sleeping
8. Using restrooms for bathing or shampooing, or doing laundry
9. Running, pushing, shoving or throwing objects
10. Verbally or physically threatening or harassing other patrons, or library staff
11. Loitering
12. Soliciting
13. Using cell phones or pagers unless ringers are set to vibrate and the user speaks in a moderate volume
14. Bringing pets or animals, other than service animals into the library
15. Entering the library without shirt or shoes
16. Patrons whose bodily hygiene is offensive so as to constitute a nuisance to other persons shall be required to leave the building
17. Damaging or defacing library property
18. Leaving children age seven and under unattended
19. Consuming food or beverages in a manner that creates an unclean environment, attracts insects or vermin, disrupts other customers or is harmful to the library
20. Remaining in the library after closing or after being asked to leave

The Library reserves the right to inspect all bags and other articles. Unattended bags could be subject to confiscation.

### *Section 3.5b Child Safety Policy*

Section 2: Children are always welcome in our library. However, we are concerned about their safety and welfare. In order to provide a welcoming environment, note the following policies conducive to library use and for your child's safety and welfare:

1. A parent or adult should accompany children age seven and under at all times. During story times or other programs, a parent, guardian, or caregiver must remain in the library.
2. Parents, guardians, and child care providers are responsible for monitoring the activities and for regulating the behavior of their children while the children are in the library.

3. The library advises parents, guardians, and child care providers that it cannot provide child care or latchkey care.
4. Minors eight years old and older who come to the library without a parent, guardian, or caregiver are welcome for appropriate use of the library.
5. The library reserves the right to limit stays by unattended minors.
6. Continued disruptive behavior\* may cause the child to lose his/her library privileges.
7. If needed, Child Protective Services/police will be contacted in the case of unsupervised children.
8. Children with suspected communicable disease may be asked to leave the library.

Parents, guardians, and caregivers should be aware of the library's hours and are expected to make advanced arrangements to pick up their children prior to closing. Due to liability concerns, library staff is never allowed to drive minors home.

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*Note:* Disruptive behavior includes, but is not limited to, loud talking, arguments, foul language, and running in the library, annoying other patrons, or mistreating library property. A minor child is defined as anyone under the age of 18.

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### *Section 3.6 Denial of Services*

The behaviors identified in Section 3.5a Rules Governing the Use of the Library are considered to be unacceptable patron conduct and will result in appropriate discretionary responses from library staff according to the following progressive criteria:

1. Staff will ask patron his/her name and to cease the unacceptable behavior. Staff will record the patron's name, date, offense (the reason they are being warned), and mark the first strike in the Flag System spreadsheet featured below.
2. If the patron does not comply, staff will repeat the request to cease the unacceptable behavior and inform the patron that it is the last warning. Staff will record the second strike in the Flag System spreadsheet.
3. If the patron still does not comply, staff will ask patron to leave facility. If necessary, staff will call the police. The staff member involved will record the third strike in the Flag System spreadsheet.
4. If a patron is banned for any amount of time, staff will make sure to give an exact date the patron can return to the library. If a six (6) month ban is in place, the patron must talk

to the Director before returning. If such patron is a minor, a parent/guardian needs to be present at the talk. Any patron banned from the library for six (6) months or more may appeal to the MUTPL Board of Trustees for a potential reduction in time away from the library. The appeal will then be scheduled for the next public meeting of the Board of Trustees.

5. Repeated offenses of disruptive behaviors on a daily or near daily basis will be subject to a lengthier suspension of library privileges to be determined by the Director on a case by case basis. If the patron is under eighteen (18) years of age, the parent/guardian will be contacted by phone or mail by the Director. For patrons ages eighteen (18) and older, a letter will be sent to the last known address with a copy of this policy and a date they may return to the library.

Flag System Spreadsheet

Reason (Examples)	One Day Ban	One Week Ban	Three Month Ban	Six Month Ban
Foul language, running, annoying patrons	1x (First Offense)	2x (Second Offense)	3x (Third Offense)	4x (Fourth Offense)
Theft, verbal abuse			1x	2x
Damage property			1x	2x
Physical abuse				1x
Escalated threat or repeat offenders		x	x	x

Note:

- This is a loose chart for banning patrons and does not cover all situations. Any part of the process can be bypassed should the need occur, especially if a situation escalates with other patrons, property, and/or staff.
- Staff may have to complete a typed incident report along with marking the chart, depending on the incident.

#### Zero Tolerance Behaviors

The behaviors mentioned below will result in immediate expulsion from the library until either legal action is complete or the Library Director has met with the offender to discuss the consequences of the behavior.

1. Stealing, damaging, altering of any library property including, but not limited to, defacing of library materials, vandalizing library equipment, furniture, and computers
2. Carrying weapons or a firearm other than allowed by law.\*
3. Any unsolicited, unwelcome, or unreasonable pursuit of another patron.

4. Committing sexual offenses. (Examples: indecent exposure, inappropriate/unwelcome sexual advances or harassment)
5. Verbal, physical, written or electronic harassment or abuse. (Examples: Cursing at patrons or staff; approaching patrons or staff and engaging in unwanted or inappropriate interaction; threats to personal safety of patrons or staff; the transmission of threatening, harassing, malicious, or abusive language and/or images.)

**\*Firearms on Library Premises**

All individuals possessing firearms on library premises must comply with state and federal law and also **MUST** comply with the following provisions. Failure to comply with these rules will result in removal of said person from library premises and may result in confiscation of the firearm and/or prosecution.

- (i) Handgun Possession – Ind. Code § 35-47-2-1. No person may possess a handgun on library property or inside any library building (“Library Premises”) unless they also possess a valid permit to carry a handgun in the State of Indiana.
- (ii) Criminal Recklessness – Ind. Code § 35-42-2-2. All firearms carried on Library Premises must be secured in a manner which prevents potential injury or serious bodily harm to any other person or to property.
- (iii) Criminal Recklessness – Ind. Code § 35-42-2-2 and Pointing a Firearm – Ind. Code § 35-47-4-3. No person may point, brandish or display a firearm in any manner that is intended to threaten or intimidate any library patron or library staff member.
- (iv) Criminal Recklessness – Ind. Code § 35-42-2-2. Persons may not carry a firearm in any manner which violates Indiana’s Criminal Recklessness Statute.

***Section 3.7A Privilege Reinstatement Policy***

After the six-month ban has passed, the patron will need to meet with the director to discuss behavioral expectations before his/her privileges will be reinstated. If the patron is under 18 years of age, the parent/guardian will need to accompany him/her when meeting with the director.

There will be a six-month probationary period beginning the day of reinstatement. Any patron who is asked to leave the library for unacceptable behavior within the probationary period will be banned for a second six-month period.



### *Section 3.7B Suspension of Privileges for Health and Safety Reasons*

It is the responsibility of the Monticello-Union Township Public Library to maintain a healthy and clean environment for all Library users and to protect the Library's investment in its collections, equipment and property. In order to fulfill this responsibility, the Library may restrict a user's ability to borrow materials and/or to visit Library facilities when such use may jeopardize the health and cleanliness of Library facilities, collections and users.

Examples of situations where borrowing of materials may be suspended include but are not limited to: evidence that items on loan to a patron may have been returned with insects that are known to be damaging to library materials, or that can result in pest infestations in library facilities. Should it become necessary to suspend Library privileges of a patron in order to protect Library collections, facilities or other users, notification of the suspension will be made by the Director of the Library or the Circulation Services/System Administrator Manager. Any patron that has privileges suspended under the terms of this policy may request a reevaluation of the suspension under the terms of the reinstatement of Library privileges policy.

### *Section 3.8 Borrowing Service*

#### Library Cards

To borrow library materials all patrons are required to present a valid library card or government-issued photo ID if their library card is not available. Student cards will expire August 31<sup>st</sup> of the following school year.

#### Card Fees

1. Residents of Union Township and Jackson Township – No Charge
2. Townships with contracted library service pay a set amount agreed upon by the library board of trustees and the library. The amount is determined on an annual basis.
3. Twin Lakes teachers and students who are considered non-resident-will be issued a card for educational purposes at no charge.
4. Replacement Library card fee is \$2.00

#### Reciprocal Borrowing

Any valid library card holder from the list of Reciprocal Borrowing libraries may use materials at the issuing library.

## PLAC cards

The *Public Library Access Card (PLAC)* is the name for the statewide library card enacted by the Indiana General Assembly in 1993 (Indiana Code 4-23-7.1-5.1). The PLAC program allows an individual to purchase a card which allows them to borrow materials directly from any public library in Indiana.

A PLAC card may be sold to any resident of Indiana who has a valid library card issued by any public library in the state. The Public Library Services Committee of the Indiana State Library Advisory Council.

## Transitional Profile

The Monticello-Union Township Public Library will offer library services to persons without a permanent home in our library district. Services are limited to those locally available with a maximum circulation of three (3) concurrent items. Applicants must have a community sponsor. The library will establish a list of community sponsors. Term of service has been set at three (3) months. A blue card should be issued to indicate that the card is only good at the issuing library. Sponsorship forms will be available for sponsors to fill out and distribute as needed.

## *Section 3.9 Confidentiality Policy*

The Monticello-Union Township Public Library Board of Trustees specifically recognizes its circulation records and other records identifying the name of the library users to be confidential in nature, in accordance with provision in the Indiana Code IC 5-14-3-4(b) and IC 5-14-3-4(b) (16).

All library employees are advised that such records shall not be made available to any agency of state, federal, or local government except pursuant to such process, order, or subpoena as may be authorized under the authority of and pursuant to, federal, state, or local law relating to civil, criminal, or administrative discovery procedures or legislative investigative power.

Upon receipt of such process, order, or subpoena, the library's officers will consult with their legal counsel to determine if such process, order, or subpoena is in proper form and if there is a showing of good cause for its issuance; if the process, order, or subpoena is not in proper form or if good cause has not been shown, they will insist that such defects be cured.

### *Section 3.10      Loaning of Materials*

#### Check out limits

Each cardholder may check out ten music cds, ten DVDs, and up to 100 items in total

#### Circulation Periods

Materials in the circulating collection are loaned for various days (exception: the newest magazine issue does not circulate.) Reference materials and newspapers will not circulate.

#### Overdue Material

It is the responsibility of the patron to return all borrowed materials on time. Fines are twenty-five cents per day per item overdue.

#### Replacement costs for lost and/or damaged materials

Use the price listed in the bibliographic record.

If no price appears in the bibliographic record, the following charges apply:

- \$40.00 each for Reference books
- \$25.00 each for Large Print books
- \$20.00 each for hardback books, compact discs, videotapes, audiotapes, and DVDs
- \$ 5.00 each for paperback books
- \$ 5.00 each for magazines
- \$ 2.00 each for replacement of barcode or book jacket

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*Note:* A \$ 10.00 processing fee will be added. Fines accrued will be forgiven.

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*FEE Schedule*

<i>Audio Cases</i>	<i>\$8.00</i>	<i>Scanning Services</i>
<i>Barcode Labels</i>	<i>\$2.00</i>	<i>Free</i>
<i>Spine Labels</i>	<i>\$1.00</i>	<i>Credit Cards</i>
<i>CD cases</i>		<i>Accepted for payment above</i>
<i>    Single</i>	<i>\$1.50</i>	<i>\$1.00</i>
<i>    Double</i>	<i>\$1.50</i>	<i>Fax Charges</i>
<i>    Triple+</i>	<i>\$2.00</i>	<i>\$2.00</i>
<i>DVD Cases</i>		<i>Lost Library Card</i>
<i>    Single</i>	<i>\$1.50</i>	<i>\$2.00</i>
<i>    Double</i>	<i>\$2.00</i>	<i>Non-Sufficient Funds Fee</i>
<i>    Triple+</i>	<i>\$3.50</i>	<i>\$30.00</i>
<i>Copy Charges</i>		<i>Overdue Fines per day, per item</i>
<i>    Per copy</i>	<i>\$0.10</i>	<i>All items</i>
<i>    2 sided copy</i>	<i>\$0.20</i>	<i>\$0.25</i>
<i>    Color copy</i>	<i>\$0.25</i>	<i>PLAC Fee 2019</i>
<i>    2 sided color copy</i>	<i>\$0.50</i>	<i>\$65.00</i>
		<i>Meeting Room fees (Program &amp; Conference)</i>
		<i>Nonprofit groups</i>
		<i>No charge</i>
		<i>For profit groups</i>
		<i>\$75.00</i>

### *Section 3.10      Loaning of Materials, continued*

#### **Large Bills**

No bills larger than \$20.00 will be accepted to pay fines and fees. The bill will be checked with a counterfeit pen to assure authenticity.

#### **Insufficient Funds**

A fee of \$30.00 will be charged on all insufficient fund checks.

#### **Refund checks to patrons**

No refund will be given to a patron for a “Lost” item for which a patron has paid. Fines, fees and third party collection fees are not refundable.

Renewal of materials may be made by phone, online or in person except for materials on hold for another patron.

#### **Inter-library Loan**

(Requests are fulfilled by SRCS through EVERGEEN. ILL is an alternative option.)

When specific titles are not available within the collection of the library, patrons may request the use of the inter-library loan service. The patron is requested to provide the needed information, e.g. author, title, publisher, and publication date if possible. Inter-library loan service is free to the patron.

The inter-library loan service is a courtesy provided to the Monticello-Union Township Public Library by other libraries. It is the responsibility of the patron to return borrowed interlibrary loan materials on time. Failure to do so may result in loss of inter-library loan privileges. To facilitate prompt return to the lending library, fines are twenty-five cents per day for each item overdue.

## *Section 3.11 Meeting Room(s) Policy*

### Program & Conference

The purpose of the meeting room is to meet informational, cultural, educational, civic, political, or religious needs of organizations of the community. The room is available for social or business functions. Alcohol may be served at adult library sponsored programs. The coordinator of the program will verify that attendees are of legal drinking age.

The room must be booked and paid for in advance on a first come, first served basis. Any organization may schedule meetings six (6) months in advance. If they wish to use the room at other times, they may book the room a week in advance if it is available. There is a \$75.00 charge for other organizations when the meeting room is used for business or personal gatherings of ten (10) or more (i.e. baby showers, family reunions, etc.). No refunds will be given for cancellations. There is no charge for a non-profit organization.

Library activities take precedence over other activities. The library may cancel any scheduled event if it conflicts with the operation of the library or if the room is needed for a library sponsored activity. A thirty-day notice will be given when possible before a cancellation or rescheduling is made by the library.

Should an organization fail to comply with the library's policy it will forfeit the privilege of using the meeting room in the future.

Use of the room should be scheduled to occur only during the hours the library is open. The Program Room will seat 65, or 45 seated at tables. The Conference Room will seat up to 25. Users are responsible for arranging tables and chairs for their use and then returning them to the original arrangement.

Equipment may be used upon request prior to the event. (See Appendix E for details)

The room should be straightened and cleaned up and put back together in the same condition as it was found. Failure to do so will result in a charge for restoring it to its former condition. This charge will amount to a custodial fee of at least \$15.00 per hour in addition to repairing any damage done to the room or equipment.

There are no cooking facilities, although light refreshments may be served. The sink does not have a garbage disposal. Do not place food, paint, or objects down the drain. A clogged sink or other damage done may result in a charge to clear up the plug.

The library cannot store equipment and/or supplies. Use of the AV equipment must be reserved with the library.

If the library is closed when the meeting ends, lights in the program room, restrooms, and entry hall should be turned off (program room only).

Non-library sponsored events cannot go past the library's closing times.

The library does not assume any responsibility or liability for the security of personal or organization items.

Most meetings are presented in a public forum, including all regular board meetings and programs. There could be circumstances where a group/meeting is in a limited public forum setting. A limited public forum is created when a library opens spaces such as meeting rooms or display spaces for public use, but reserves their use or the groups that use them for the discussion of certain topics. *Rosenberg v. Rector and Visitors of the University of Virginia*, 515 U.S. 819, 829 (1995). A designated forum may be limited as to speakers or as to subject matter, if the distinctions drawn are reasonable in light of the purpose served by the forum and are viewpoint neutral. *Bronx Household of Faith v. Community School District No. 10*, 127 F.3d 207 (2nd Cir. 1997). Reasonable time, place and manner restrictions may also be imposed to limit expressive activity. *Perry Education Assn.* 460 U.S. at 46.

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Groups using the program room assume responsibility for any damage to library property. Written agreement to this will be signed at the time of reservation.

Minors must be accompanied by an adult at all times, in either - conference or program room. A minor child is defined as anyone under the age of 18.

See Appendix E for Meeting Room Form

### *Section 3.12 Study Room Policy*

1. A study room can be reserved in advance at the main circulation desk.
2. A study room is reserved for a 2 hour block, once a day
3. Exceptions may be given for specialized visits such as court ordered supervised visits or school-related proctored tests that the library oversees.
4. Study room can be reserved up to 30 days in advance.
5. If a study room is not in use, it is available on a first come, first served basis.
6. Time may be extended for an additional hour if no one has reserved or requested the room.

#### General information

1. No fee is charged for the use of the study room
2. Study rooms are available during library service hours only and must be exited 15 minutes before closing
3. Each study room seats two (2) at a table
4. Noise level must be kept low.
5. The lights must remain on
6. Non-compliance to the library rules and guidelines could result in suspension of privileges to the study room or the library.



### *Section 3.13 Bulletin Board Policy*

#### Bulletin Board Materials

Bulletin board materials may be submitted for posting by nonprofit organizations only for civic, educational, or cultural purposes. Such organizations may submit literature publicizing a specific event. Limited space generally allows only short-term notices. The Youth Services Manager must approve all postings and may prohibit postings which do not meet library standards. Library staff will place and remove postings promptly.

#### Requirement

1. Each item posted must be dated and signed.
2. A request for return of items, along with name and telephone number of person to be contacted, should be printed on the back of each article.

### *Section 3.14 Display Case and Exhibits Policy*

The Monticello-Union Township Public Library welcomes exhibits and displays of interest, beauty, information, and enlightenment to the community. Library displays shall have priority in the use of the display case. Community use of display case will be assigned on a first come, first served basis to groups primarily serving the needs and interests of the community. The Adult Services Manager shall accept or reject material offered for display based on its suitability, availability, and/or relevance.

#### Responsibility

The Library assumes no responsibility for the preservation or protection, and no liability for possible damage or theft of any displayed or exhibited items. All items placed in the library are there at the owner's risk.

#### Locations

Areas available to the public for displays and exhibits are the glass display case in the lobby exhibit wall space in the program room and foyer. A release form (Appendix E, page 88) must be signed by the exhibitor before any artifact or art piece can be placed in the library for the agreed upon period of time.

#### Guidelines

Exhibits should contribute positively to the library's environment, highlight if possible the library's collection, promote resources, services, and the mission of the library, enrich the life of the community, and be a means of strengthening partnerships between the library and the community.

Limited public forum - A display case, where a library has written a policy limiting what can be displayed, would be considered a limited public forum.

Originally Published December 31, 2009 [North Suburban Library System Newsletter](#) (see # page for full explanation)

#### Sales

The library retains the right of a sales commission of 30% for displayed artwork which is for sale. An inventory sheet must be filled out with a description and pricing of the art work available for sale to the Adult Services Manager. A W9 tax form will be required to have on file to sell artwork.

#### Publicity

Art exhibits displayed in the library's program room will be publicized in library publications such as the newsletter, calendars, press releases to local newspapers, flyers, and social media. A release authorizing the library to use the artwork for publicity purposes will be required.

#### Release Form

Person(s) displaying artwork or other exhibits need to sign a release form (Appendix F) before setting up their work.

### *Section 3.15 Computer/Internet Acceptable Use Policy*

Responsibilities of Computer Users: The Monticello-Union Township Public Library (MUTPL) requires computer users to respect the rights and sensibilities of all library users. Some Internet sites are inappropriate for viewing in a public setting. Users should refrain from the use of Internet sounds and visuals that may disrupt the ability of other library patrons to use the library and its resources. Library staff members reserve the right to end Internet sessions when sexually explicit or pornographic materials are displayed. (See also Illegal and Unacceptable Uses).

1. Internet Safety: Librarians are partners with parents in guiding children to safe and appropriate use of the Internet. Because of the requirements of the Children's Internet Protection Act (CIPA), MUTPL filters all public computers. Adult patrons may elect to disable the filter for unrestricted Internet access for any lawful purpose that meets MUTPL guidelines. (See appendix C, Freedom To View, page 87). Parents and guardians are responsible for supervising their children's Internet sessions.
2. Copyright: U.S. Copyright law (Title 17, U.S.C.) prohibits the unauthorized reproduction or distribution of copyrighted materials, except as permitted by principles of fair use. Users may not copy or distribute electronic materials without the explicit permission of the copyright holder. Responsibility for any consequences of copyright infringement lies with the users; MUTPL expressly disclaims any liability or responsibility resulting from such use.
3. Software/Hardware: Library software is copyrighted and may not be reproduced. (See also Copyright). Users may not install their own or any other software on library equipment. Users are not permitted to store any software or other data on the Library's computers or alter the programs currently installed on the systems. Anyone tampering with library hardware or software may be denied access to library computers in the future, and also may lose library privileges.
4. Disclaimer: Users access the library computer hardware, software and documentation at their own risk. The Monticello-Union Township Public Library is not responsible for equipment malfunction, loss of data, any damages to the user's disks, data or electronic transactions of any type.
5. Wireless Internet: Free filtered wireless internet is provided by the Monticello-Union Township Public Library for patrons to use their personal laptop computers or equipment. By choosing to use the library's WiFi service, the user agrees to abide by the library's Computer/Internet Acceptable Use Policy. The library assumes no responsibility for any alterations or interference with a computing device configurations, operation or data files resulting from connection to the WiFi Network.

6. Illegal and Unacceptable Uses: Patrons may use the library computers only for legal purposes. Examples of unacceptable uses include but are not limited to the following:

- Display of sexually explicit or pornographic materials;
- Harassment of other or violation of their privacy;
- Libeling, slandering or maliciously offending other users;
- Violation of copyright laws or software licensing agreements;
- Attempting to crash, degrade performance or gain unauthorized access to MUTPL's or other computer systems and networks;
- Damaging equipment, software or data belonging to the MUTPL or other users;

Note; This policy will be reviewed annually by the Board of Trustees.

IC 36-12-1-12 Policy for Internet or other computer network use

Sec. 12. (a) This section applies to a board of a public library that allows library patrons to use library software to access the Internet or other computer network.

(b) As used in this section, "computer network" has the meaning set forth in [IC 35-43-2-3](#).

(c) The board of a public library shall adopt a policy concerning the appropriate use of the Internet or other computer network by library patrons in all areas of the library.

(d) The board shall make the policy adopted under subsection (c) readily available to all library patrons.

(e) The board of a public library shall annually review the policy adopted under subsection (c).

[Pre-2005 Elementary and Secondary Education Recodification Citation: 20-14-1-7.]

*As added by P.L.1-2005, SEC.49.*

Violations of the Monticello-Union Township Public Library's Computer/Internet Acceptable Use Policy may result in the loss of Internet and/or library privileges. Illegal use of the computers also may result in prosecution by local, state or federal authorities.

### *Section 3.16 Computer Disaster Recovery Plan*

Declaring a disaster:

A disastrous event is one in which the library will be inaccessible for an extended period of time or the library's computer system must be replaced. A disaster may be declared by the president of the Board of Trustees at the recommendation of the director.

Systems affected:

- Evergreen Indiana Automated Circulation and Catalog system
- Bookkeeper's Computer
- Email
- Website
- Shared Folder (S: Drive)
- Network

Backup processing:

Evergreen Indiana is URL based and can be run from a functioning computer with internet access. The Evergreen database is housed off site and would not be affected by a local disaster at the library.

The bookkeeper's computer is backed up daily onto a removable media device. If this computer is damaged, data can be restored from the backup.

Library email is hosted by Google and all staff email, contacts, and calendars are offsite and can be accessed by a functioning computer with internet access.

The library's website is hosted offsite.

The shared drive ("S:\") is backed up daily onto a removable media device. If the computer hosting this drive is damaged data can be restored from the backup.

Network maintenance is managed by ENA. Automated systems are in place to check network status and alert ENA in the event of a network outage. If connectivity issues occur please contact ENA Help Desk at 888-612-2880.

Operation of Computer Systems during Interim Period

If the library remains open during a disaster period, circulation can operate on the Evergreen Indiana Standalone interface which would upload circulation transactions to the main server later. If the Standalone interface is not available, circulation records are to be kept manually and entered into the Evergreen Indiana when it is possible to do so.

In the event of a catastrophic disaster, bookkeeping and payroll functions would continue at another temporary facility until the library building reopens. Backups would be used to restore data.

### *Section 3.17 Circulating Laptop Policy*

The Monticello-Union Township Public Library offers laptop computers for use within the library. The computers are loaned at the circulation desk.

You must be at least 18 years of age and be able to provide valid photo identification, such as a driver's license, which the library will keep as long as you have a computer.

You must also sign the Library Laptop Checkout agreement and abide by the posted Computer/Internet Acceptable Use policy adopted by the Board of Trustees of the Monticello-Union Township Public Library.

- 1.** There is no charge to use the computers, and you are not required to have a library card. You may, however, check out only one at a time, and you may use the computer only in the library for a two hour block.
  - a.** Wireless internet access is available throughout the library building.
  - b.** You are not permitted to save documents to the laptop's hard drive for future retrieval but must use a flash drive or virtual means to save documents.
  - c.** If you need assistance, feel free to ask a library staff person.
  - d.** You also are not permitted to download software or modify settings on the computer, including the home page setting, the wallpaper, etc. Violators may lose their library computer and building privileges.
  - e.** If no one else is in need of a laptop, time may be extended for an additional hour.
  - f.** Library classes take precedence over the use of laptops

Note: An individual who violates the Computer/Internet Acceptable Use policy will forfeit all computer privileges, at a minimum, for the rest of the day. Violations will be determined solely by the library staff. The library director may add further suspension and will provide formal notice of the suspension and a means of appeal.

See Appendix G for Laptop Checkout Agreement Form

### *Section 3.18 Social Media Policy*

MUTPL endorses the use of social media tools as an important enhancement of communication, collaboration, and information exchange between staff, patrons, and the general public. Social media use can also provide streamlined, cost-effective marketing and outreach as well as foster a sense of community between the library and its users. Use of social networking sites by the library complements the mission of the library by helping to ensure high quality customer service. This policy defines acceptable use parameters of social software for all users and staff of MUTPL.

#### **Definition**

Social media is defined as any Web application, site, or account created and maintained by MUTPL which facilitates an environment for library staff and patrons to share information about library related subjects/issues.

#### **Acceptable Use**

Postings of relevant comments are welcome. However, the following is unacceptable for posting (either directly or by posting links):

1. Material that violates the law (including hate speech) or incites others to violate the law.
2. Material that infringes upon the intellectual property rights of any third party.
3. Material that compromises any computer security such as malware or other computer viruses.
4. Commercial solicitations or promotions.

The library reserves the right to remove postings that are off topic or violate these guidelines and may exclude users from posting who violate the guidelines. The library administration will be the sole arbiter of these cases.

### *Section 3.19 Genealogy*

The Monticello-Union Township Public Library will conduct genealogy searches per request. Requests should be specific in nature. Include as much detail as with the request such as birth/death dates, spouse or children's names, etc. The Library's genealogy collection consists of local Indiana history, cemetery records, microfilm on local newspapers, and online resources. Keep in mind that time and staff constraints prevent us from assisting in detailed or large projects. A genealogy request that requires extensive research will be directed to the White County Historical Society.

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## Section 4: Library Collections

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## *Section 4.1 Introduction/Purpose*

The collections of the Monticello-Union Township Public Library are resources through which the library meets the needs of the community. Materials are provided which aid patrons in the pursuit of information, education and recreation. An essential purpose of the library is to serve as a resource where individuals can examine many points of view and make their own decisions.

## *Section 4.2 Mission Statement*

The Monticello-Union Township Public Library is a service institution. It seeks to inform, educate, entertain, and culturally enrich the community.

## *Section 4.3 Collection Development Policy*

### *Adult*

The Adult Services Manager is responsible for the selection of all adult materials. The goal is to create a collection that will provide a broad range of topics and up-to-date and accurate information. The fiction and nonfiction collections will include a diverse selection of materials meeting the literary, recreational, and informational needs of the community. Selection does not constitute endorsement or advocacy within the work's contents by the library.

### *Children*

The library makes available a collection that satisfies the informational, educational, recreational, and cultural needs of children from infancy through young adulthood, as well as the needs of teachers and others who work with youth.

Children's material for ages birth to eleven is selected using the collection development guidelines. Materials are chosen based on reviews in professionally recognized journals, popularity, award winners, children's book lists, and input from patrons.

In selecting materials for the children's collection, the library recognizes that it serves children of varying backgrounds and interests, taking into account age and development levels. The Library's children's collections serve children from infancy through age eleven (11):

1. The collection promotes early literacy and provides materials that support school reading programs and homework assignments.
2. The children's collections are intended to encourage children to develop a lifelong habit of reading for both recreational and informational needs.

#### Teen

This collection serves children from ages twelve to eighteen (12-18). Teens use a wider range of library materials than any other age group. The teen collection includes fiction and nonfiction resources.

1. The teen collection supports school assignments, pursuing higher education, and career exploration.
2. The teen collection has a broad range of subject areas with a representation of diverse points of view.

The Monticello-Union Township Public Library adheres to:

1. The American Library Association's Bill of Rights (Appendix A)
2. Freedom to Read Statement (Appendix B)
3. Freedom to View Statement (Appendix C)
4. Request for Reconsideration of Library Materials (Appendix D)

#### Request for Reconsideration of Library Materials

Inclusion of an item does not imply endorsement of a particular belief or view by an author.

Library materials will not be marked or identified to show approval or disapproval of the contents. Items will not be concealed, except for the purpose of protecting them from damage or theft.

1. Patrons requesting reconsideration of materials in the library collection must complete a Request for Reconsideration of Library Materials form available at the main circulation desk (Appendix D).
2. Staff is to be polite, courteous, and cooperative when a patron requests or submits a this form, but is to take no action or make any statement which will commit the library in any way.
3. The completed form will be given to the appropriate department head who will respond in writing to the complaint in consultation with the director.
4. Further review can be requested from the library board of trustees who may review the complaint as a body or as an advisory committee for a recommendation.
5. Each request will be handled on a case by case basis.

## Criteria for Collection Development

It is the library's primary objective to offer the best quality materials based on the community's general and special character and interest. Careful consideration is given to the purchase of requested material not held by the library. Every attempt is made to acquire titles by local authors, artists, and producers that are published by mainstream publishers. Materials receiving unfavorable reviews may be selected if there is significant patron demand, if the material is of particular interest locally, or if the material fills a special unmet need in the collection. No materials will be rejected solely on the basis of the author's point of view.

Potential collection materials, which may meet one or more of the following, will be evaluated and, when appropriate, selected according to the following criteria:

- Current and anticipated needs of the community
- Relation to existing collection and other material on the subject
- Timeliness of information
- Suitability of the subject, style and format for the intended audience
- Quality of production and availability
- Cost and funding
- Importance as a document of the times
- Importance as a representation of important movements, genres, social and historical trends
- Evaluation in review media
- Literary merit
- Reputation, skill, and purpose of the author, producer, publisher or creator
- Representation of diverse points of view
- Receipt of, or nomination for, major awards or prizes

## Tools

Library materials selection will be made from current review sources such as *Library Journal*, *Book Page*, *Publisher's Weekly*, and *School Library Journal*, standard lists, patron requests, and library staff recommendations. Special attention will be given to starred reviews in professional journals.

## Scope

The scope of the Monticello-Union Township Public Library collection refers to the formats offered:

1. Intended audience
2. Subject range and depth of materials, especially nonfiction.
3. Emphasis is given to materials that fulfill the wide-ranging interests of the general public.
4. Entertainment; education; differing social, religious, and political viewpoints; materials that are representative of various customs, cultures and languages; diverse formats; and subject matter for many levels of comprehension.
5. Materials intended for an academic audience or that have a narrow appeal will generally be omitted from the collection.
6. The collection is not archival nor a depository, and it is reviewed and revised on an ongoing basis to meet contemporary needs.

## Format

The library purchases various types of formats which are intended to meet the cultural, informational, educational, and recreational needs of our patrons. Hardcover, - paperbacks, audiobooks and e-formats are purchased to round out the library's collection.

## Electronic Resources

Electronic resources are a growing and increasingly vital format in libraries. The Monticello Union-Township Public Library's goal is to increase its electronic resources collection. Electronic resources are subject to the same criteria noted above and the following standards:

### Content

- Scope, comprehensiveness
- Correctness of information and frequency of updates
- Years of coverage/archives
- Quality of indexing

### Interface

- Ease of searching
- Search assistance and online help
- Stability and speed of connection

### Output Features

- Clear screen displays
- Printing capabilities
- Downloading options
- Document delivery options

### Other

- Availability of training for staff
- Costs for access and other uses

## Gift Books/Other Circulating Materials

1. The library will accept gifts of money to purchase materials as memorials or for other reasons.
2. The wishes of the donor will be followed in the purchase of materials so long as items conform to the library's selection policies.

3. The library welcomes gifts of materials as long as they may be accepted without commitment as to final disposition.
4. Any donation that will be used to purchase materials will receive a plate acknowledging the source of the gift.
5. The library reserves the right to give donated books to the Friends of the Library to sell or to otherwise dispose of donations not added to the collection.

#### A. Adopt-an-item Program

Monticello Union Township Public Library patrons may choose to “adopt” an item for the library.

The library will keep a list of popular authors and high demand- titles available for adoption at the circulation desk.

The adopter can make a monetary contribution which will be deposited into the Adopt an Item Fund to purchase materials to add to the library’s collection.

Each “adopter” gets his or her name on a special bookplate in/on the item if he/she so desires.

Adopters will be the first to check the item out of the library when they pay for the item.

A receipt will be provided for tax purposes.

All decisions concerning the selection and location of all library materials are the library’s responsibility.

#### Public Input

The Monticello Public Library values the input of its patrons. Purchase suggestions from patrons are welcome and provide librarians with useful information about interest and needs of the community. Any patron may suggest an item he/she would like to see added to the collection by submitting a “suggestion form.” The Adult Services Librarian or Youth Services Librarian will evaluate each suggestion using the criteria guidelines in the Collection Development Policy to decide whether or not the item will be added to the collection. The patron will be informed of that decision if he/she provides a name and contact information on the request form.

## Weeding

Systematic, continual evaluation of the library's holdings is necessary to provide an up-to-date collection in good physical condition. The library believes that the amount of use that an item receives in the present outweighs the possibility that someone may use it some day. No extraordinary effort is made to preserve the last copy of any title in the collection. If an item is from a local author or based in a local setting, it will be considered to keep, but with no guarantees. Items may be discarded by the library if they are surplus to the needs of the collection or physically so worn as to be unusable or if the content proves to be no longer relevant or valid in light of newer information.

Withdrawn materials will be given to the Friends of the Monticello Union-Township Public Library to be sold, recycled, or thrown away, depending on the condition of the materials. Due to limited shelf space multiple copies are generally not purchased unless popular demand (hold list exceeding five patrons) requires it. Should demand no longer be a concern, after a year additional copies will be weeded out.

Evaluation: The criteria and guidelines set forth in MUSTIE (Misleading, Ugly, Superseded, Trivial, Irrelevant, Elsewhere) and CREW Guidelines (Continuous Review of Evaluation and Weeding) determine the evaluation process for collection maintenance for the library.

The general criteria for weeding include the following:

- Availability of updated, newer, or revised materials
- Historical value of the item or local connection
- Condition of the item
- Item's place in a series
- Item's current demand in the community
- Possible future usefulness
- Unneeded duplicates
- Availability of other items on the same subject in the collection
- Cost of replacement, if necessary

It is critical that outdated information, especially in law, business, finance, and medicine be discarded.

## *Request for Reconsideration of Material*

Public libraries have the obligation of reflecting within its collection differing points of view. The Monticello Union-Township Public Library adheres to the American Library Association's Bill of Rights, the Freedom to Read and View Statements (Appendix A, B, C). Inclusion of an item does not imply endorsement of a particular belief or view by an author. Library materials will not be marked or identified to show approval or disapproval of the contents. Items will not be concealed, except for the purpose of protecting them from damage or theft.

Patrons requesting reconsideration of materials in the library collection must complete a Request for Reconsideration of Library Materials form available at the main circulation desk (Appendix D). Staff is to be polite, courteous and cooperative, but is to take no action or make any statement, which will commit the library in any way. The form will be given to the appropriate department head who will respond in writing to the complaint in consultation with the director. Further review can be requested from the library board of trustees who may review the complaint as a body or as an advisory committee for a recommendation. Each request will be handled on a case by case basis.



## Appendix A

### American Library Association's Bill of Rights

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

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

Adopted June 19, 1939.

Amended October 14, 1944; June 18, 1948; February 2, 1961; June 27, 1967; and January 23, 1980; inclusion of "age" reaffirmed January 23, 1996, by the ALA Council.

## Appendix B

### Freedom to Read

The freedom to read is essential to our democracy. It is continuously under attack. Private groups and public authorities in various parts of the country are working to remove or limit access to reading materials, to censor content in schools, to label "controversial" views, to distribute lists of "objectionable" books or authors, and to purge libraries. These actions apparently rise from a view that our national tradition of free expression is no longer valid; that censorship and suppression are needed to counter threats to safety or national security, as well as to avoid the subversion of politics and the corruption of morals. We, as individuals devoted to reading and as librarians and publishers responsible for disseminating ideas, wish to assert the public interest in the preservation of the freedom to read.

Most attempts at suppression rest on a denial of the fundamental premise of democracy: that the ordinary individual, by exercising critical judgment, will select the good and reject the bad. We trust Americans to recognize propaganda and misinformation, and to make their own decisions about what they read and believe. We do not believe they are prepared to sacrifice their heritage of a free press in order to be "protected" against what others think may be bad for them. We believe they still favor free enterprise in ideas and expression.

These efforts at suppression are related to a larger pattern of pressures being brought against education, the press, art and images, films, broadcast media, and the Internet. The problem is not only one of actual censorship. The shadow of fear cast by these pressures leads, we suspect, to an even larger voluntary curtailment of expression by those who seek to avoid controversy or unwelcome scrutiny by government officials.

Such pressure toward conformity is perhaps natural to a time of accelerated change. And yet suppression is never more dangerous than in such a time of social tension. Freedom has given the United States the elasticity to endure strain. Freedom keeps open the path of novel and creative solutions, and enables change to come by choice. Every silencing of a heresy, every enforcement of an orthodoxy, diminishes the toughness and resilience of our society and leaves it the less able to deal with controversy and difference.

Now as always in our history, reading is among our greatest freedoms. The freedom to read and write is almost the only means for making generally available ideas or manners of expression that can initially command only a small audience. The written

word is the natural medium for the new idea and the untried voice from which come the original contributions to social growth. It is essential to the extended discussion that serious thought requires, and to the accumulation of knowledge and ideas into organized collections.

We believe that free communication is essential to the preservation of a free society and a creative culture. We believe that these pressures toward conformity present the danger of limiting the range and variety of inquiry and expression on which our democracy and our culture depend. We believe that every American community must jealously guard the freedom to publish and to circulate, in order to preserve its own freedom to read. We believe that publishers and librarians have a profound responsibility to give validity to that freedom to read by making it possible for the readers to choose freely from a variety of offerings.

The freedom to read is guaranteed by the Constitution. Those with faith in free people will stand firm on these constitutional guarantees of essential rights and will exercise the responsibilities that accompany these rights.

We therefore affirm these propositions:

1. It is in the public interest for publishers and librarians to make available the widest diversity of views and expressions, including those that are unorthodox, unpopular, or considered dangerous by the majority.

Creative thought is by definition new, and what is new is different. The bearer of every new thought is a rebel until that idea is refined and tested. Totalitarian systems attempt to maintain themselves in power by the ruthless suppression of any concept that challenges the established orthodoxy. The power of a democratic system to adapt to change is vastly strengthened by the freedom of its citizens to choose widely from among conflicting opinions offered freely to them. To stifle every nonconformist idea at birth would mark the end of the democratic process. Furthermore, only through the constant activity of weighing and selecting can the democratic mind attain the strength demanded by times like these. We need to know not only what we believe but why we believe it.

2. Publishers, librarians, and booksellers do not need to endorse every idea or presentation they make available. It would conflict with the public interest for them to establish their own political, moral, or aesthetic views as a standard for determining what should be published or circulated.

Publishers and librarians serve the educational process by helping to make available knowledge and ideas required for the growth of the mind and the increase of learning. They do not foster education by imposing as mentors the patterns of their own thought. The people should have the freedom to read and consider a broader range of ideas than those that may be held by any single librarian or publisher or government or church. It is wrong that what one can read should be confined to what another thinks proper.

3. It is contrary to the public interest for publishers or librarians to bar access to writings on the basis of the personal history or political affiliations of the author.

No art or literature can flourish if it is to be measured by the political views or private lives of its creators. No society of free people can flourish that draws up lists of writers to whom it will not listen, whatever they may have to say.

4. There is no place in our society for efforts to coerce the taste of others, to confine adults to the reading matter deemed suitable for adolescents, or to inhibit the efforts of writers to achieve artistic expression.

To some, much of modern expression is shocking. But is not much of life itself shocking? We cut off literature at the source if we prevent writers from dealing with the stuff of life. Parents and teachers have a responsibility to prepare the young to meet the diversity of experiences in life to which they will be exposed, as they have a responsibility to help them learn to think critically for themselves. These are affirmative responsibilities, not to be discharged simply by preventing them from reading works for which they are not yet prepared. In these matters values differ, and values cannot be legislated; nor can machinery be devised that will suit the demands of one group without limiting the freedom of others.

5. It is not in the public interest to force a reader to accept the prejudgment of a label characterizing any expression or its author as subversive or dangerous.

The ideal of labeling presupposes the existence of individuals or groups with wisdom to determine by authority what is good or bad for others. It presupposes that individuals must be directed in making up their minds about the ideas they examine. But Americans do not need others to do their thinking for them.

6. It is the responsibility of publishers and librarians, as guardians of the people's freedom to read, to contest encroachments upon that freedom by individuals or groups seeking to impose their own standards or tastes upon the community at

large; and by the government whenever it seeks to reduce or deny public access to public information.

It is inevitable in the give and take of the democratic process that the political, the moral, or the aesthetic concepts of an individual or group will occasionally collide with those of another individual or group. In a free society individuals are free to determine for themselves what they wish to read, and each group is free to determine what it will recommend to its freely associated members. But no group has the right to take the law into its own hands, and to impose its own concept of politics or morality upon other members of a democratic society. Freedom is no freedom if it is accorded only to the accepted and the inoffensive. Further, democratic societies are more safe, free, and creative when the free flow of public information is not restricted by governmental prerogative or self-censorship.

7. It is the responsibility of publishers and librarians to give full meaning to the freedom to read by providing books that enrich the quality and diversity of thought and expression. By the exercise of this affirmative responsibility, they can demonstrate that the answer to a "bad" book is a good one, the answer to a "bad" idea is a good one.

The freedom to read is of little consequence when the reader cannot obtain matter fit for that reader's purpose. What is needed is not only the absence of restraint, but the positive provision of opportunity for the people to read the best that has been thought and said. Books are the major channel by which the intellectual inheritance is handed down, and the principal means of its testing and growth. The defense of the freedom to read requires of all publishers and librarians the utmost of their faculties, and deserves of all Americans the fullest of their support.

We state these propositions neither lightly nor as easy generalizations. We here stake out a lofty claim for the value of the written word. We do so because we believe that it is possessed of enormous variety and usefulness, worthy of cherishing and keeping free. We realize that the application of these propositions may mean the dissemination of ideas and manners of expression that are repugnant to many persons. We do not state these propositions in the comfortable belief that what people read is unimportant. We believe rather that what people read is deeply important; that ideas can be dangerous; but that the suppression of ideas is fatal to a democratic society. Freedom itself is a dangerous way of life, but it is ours.

This statement was originally issued in May of 1953 by the Westchester Conference of the American Library Association and the American Book Publishers Council,

which in 1970 consolidated with the American Educational Publishers Institute to become the Association of American Publishers.

Adopted June 25, 1953, by the ALA Council and the AAP Freedom to Read Committee; amended January 28, 1972; January 16, 1991; July 12, 2000; June 30, 2004.

*A Joint Statement by:*

American Library Association

Association of American Publishers

*Subsequently endorsed by:*

American Booksellers for Free Expression

The Association of American University Presses

The Children's Book Council

Freedom to Read Foundation

National Association of College Stores

National Coalition Against Censorship

National Council of Teachers of English

The Thomas Jefferson Center for the Protection of Free Expression

## Appendix C

### Freedom to View

The FREEDOM TO VIEW, along with the freedom to speak, to hear, and to read, is protected by the First Amendment to the Constitution of the United States. In a free society, there is no place for censorship of any medium of expression. Therefore these principles are affirmed:

1. To provide the broadest access to film, video, and other audiovisual materials because they are a means for the communication of ideas. Liberty of circulation is essential to insure the constitutional guarantees of freedom of expression.
2. To protect the confidentiality of all individuals and institutions using film, video, and other audiovisual materials.
3. To provide film, video, and other audiovisual materials which represent a diversity of views and expression. Selection of a work does not constitute or imply agreement with or approval of the content.
4. To provide a diversity of viewpoints without the constraint of labeling or prejudging film, video, or other audiovisual materials on the basis of the moral, religious, or political beliefs of the producer or filmmaker or on the basis of controversial content.
5. To contest vigorously, by all lawful means, every encroachment upon the public's freedom to view.

This statement was originally drafted by the Freedom to View Committee of the American Film and Video Association (formerly the Educational Film Library Association) and was adopted by the AFVA Board of Directors in February 1979. This statement was updated and approved by the AFVA Board of Directors in 1989.

Appendix D

MONTICELLO UNION- TOWNSHIP PUBLIC LIBRARY  
REQUEST FOR RECONSIDERATION OF LIBRARY MATERIALS

Author: \_\_\_\_\_

Title: \_\_\_\_\_

Format: [ ] Book [ ] Movie [ ] Music Cd [ ] Magazine [ ] Audio Book [ ] e-Format

1. Have you read, listened to, or viewed the entire item? \_\_\_\_\_

2. What objections do you have to the material? Cite specific pages and passages and why you object.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Have you read any reviews about the material? Which ones?

\_\_\_\_\_  
\_\_\_\_\_

Name and contact information required if seeking a response.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name (Please Print) \_\_\_\_\_

If you are acting as the official spokesperson for an organization, please specify:

\_\_\_\_\_

Telephone: \_\_\_\_\_

Address \_\_\_\_\_



# Appendix E Meeting Room Registration Form

Not for profit \_\_\_\_ (No charge)

Location: \_\_\_\_\_

For profit or personal 10+ \_\_\_\_ (charge \$75.00)

Name of Organization \_\_\_\_\_

Name of contact Person \_\_\_\_\_

Daytime Phone Number to release to public for event questions \_\_\_\_\_

Address \_\_\_\_\_ Home Phone Number \_\_\_\_\_

Email address \_\_\_\_\_

Organization Office (Not person above) \_\_\_\_\_

Organization Phone Number (Not number Above) \_\_\_\_\_

Date of use \_\_\_\_\_ Time of use \_\_\_\_\_

Purpose of Meeting \_\_\_\_\_

Approximate size of group \_\_\_\_\_

Please check audio-visual or other equipment needed:

\_\_\_\_\_ # of chairs needed \_\_\_\_\_ Easel \_\_\_\_\_ # of tables needed

\_\_\_\_\_ DVD Player \_\_\_\_\_ Digital Projector \_\_\_\_\_ Dry erase marker board

\_\_\_\_\_ Lectern

I have received a copy of the Board adopted Program Room Policy of the Monticello-Union Township Public Library. By signing this contract, I agree to abide by the rules and regulations stated therein.

Date \_\_\_\_\_ Signature \_\_\_\_\_

## OFFICE USE ONLY

Staff initials taking request \_\_\_\_\_ Date/Time \_\_\_\_\_

email to: [circulationclerk@monticello.lib.in.us](mailto:circulationclerk@monticello.lib.in.us) Or fax: 574-583-2782

## Checklist

1. Set up is up to you to arrange tables and chairs how you want them
2. No cooking facilities - if you are bringing food you will need to do so the day of the event
3. You will need to leave the room as you found it - please throw trash in can. No food or anything else, other than soap and water, is to be placed down the sink.
4. If there is any damage in the room or the sink is plugged there could be a fee charged to fix any damage made.
5. Tables should be wiped down and put away at the end of your event.
6. Chairs need to be put back where you got them.
7. Shut lights off and let staff know you are done with the room
8. Please sweep the floor if needed. Broom and dustpan are in the kitchenette area.
9. Minors (those under 18) are not to be left in the room alone and must be accompanied by an adult at all times.

Please sign off once you have completed putting the room back to its original state and bring signed paper to a staff member.

Name \_\_\_\_\_ Date \_\_\_\_\_

**Please note:** The room should be left in the same condition as it is found. Failure to do so will result in a charge for restoring it to its former condition. This charge will amount to a custodial fee of at least \$15.00 per hour in addition to repairing any damage done to the room or equipment.

## Appendix F Display and Exhibit Release Form

### Monticello Union-Township Public Library Display and Exhibit Release

I, the undersigned, hereby lend the following works of art or other materials to the Monticello Union-Township Public Library for exhibit purposes only. In consideration of the privilege of exhibiting them in the Library, I hereby release said Library from responsibility for loss, damage, or destruction while they are in the possession of the Library.

Name of Organization/Individual \_\_\_\_\_

Exhibition to be held in the \_\_\_\_\_

During \_\_\_\_\_

Person Responsible for display \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

Address \_\_\_\_\_ Telephone \_\_\_\_\_

Email address \_\_\_\_\_

## Appendix G

### Laptop Agreement

#### Monticello-Union Township Public Library

#### Library Laptop Checkout Agreement

This agreement is made and entered into by and between the Monticello-Union Township Public Library, and \_\_\_\_\_, hereinafter referred to as the Patron.

The Monticello-Union Township Public Library does hereby let unto the Patron the following equipment for use within the library building only: One laptop computer (# \_\_\_\_). Said lease is to be for a period of two hours. Terms and conditions are as follows:

The Patron must be 18 years of age or older, as evidenced by a driver's license or other legal form of photo identification.

Collateral for said equipment, the Patron agrees to leave a driver's license or other legal form of photo identification with the library staff.

The Patron will hold the Library harmless from any claim of damages caused or occasioned by Patron's uses of the equipment.

The Patron agrees to be responsible and to compensate the Library for all loss, injury, and damage to said equipment while in the possession of the Patron, by theft, or otherwise, ordinary wear and tear accepted. The replacement value of the equipment is set at \$500.

You are not permitted to save documents to the laptop's hard drive, nor are you permitted to download software or modify settings on the computer, including the home page setting, the wallpaper, etc. Violators may lose their library computer privileges.

The Patron agrees to use the laptop only within the library building and promises not to remove it from the premises for any reason.

Upon the return of said equipment in proper condition and when due, the security deposit will be returned.

The checkout period is two hours. If no one else is in need of a laptop time may be extended for an additional hour. If no one else is in need of a laptop time may be extended for an additional hour.

The Patron will be allowed to borrow a laptop again in the future contingent upon whether said equipment is returned on the agreed upon date and time and in acceptable condition. Only one checkout per day is permitted to each Patron.

Signed by the Library and the Patron on \_\_\_\_\_, 20\_\_\_\_, at \_\_\_\_\_ a.m./p.m.

By \_\_\_\_\_

Library

Patron

The laptop (#\_\_\_\_\_) was returned to the Monticello-Union Township Public Library on \_\_\_\_\_, 20\_\_\_\_, at \_\_\_\_\_ a.m./p.m. Driver's License/ID was returned.